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Policy and Guidelines Paper

Organisational Resilience:
Practitioner Guide for NSW Public Sector Organisations

Preface

“It is important to view organisational resilience as a journey over time, where areas of focus and priorities need to be set based on the gap analysis and the business need”.

Government agencies and organisations need to be resilient. They need to be able to absorb an event that necessitates change, to adapt to that change, to continue to maintain their levels of service delivery.

The challenge facing our agencies is how best to develop and promote organisational resilience in a way that enables managers to build organisations that operate more effectively and confidently in our increasingly volatile, uncertain, complex and ambiguous world.

NSW Treasury supports the concept of organisational resilience, as this builds capability for organisations to respond to and recover from disruptive events, in a collaborative and timely manner. Such an approach enables organisations to more effectively utilise their limited resources, such as time, people, technology, or infrastructure, to maintain service delivery.

The Guidelines acknowledge that organisational resilience does not replace risk management or continuity planning; rather, resilience should be an organisational goal, whereas risk management and continuity planning are management tools.

Not only will these guidelines help build a value proposition for organisational resilience, it is also a further step in developing and promoting a body of knowledge and a common understanding of organisational resilience for the NSW Public Sector.

I would like to acknowledge the collective efforts of the members of the NSW Organisational Resilience Community of Practice, in committing the time and effort to develop these comprehensive guidelines.

I strongly encourage all agencies to refer to these guidelines when embarking on their journey to strengthen the resilience of their organisation.

Michael Pratt AM
Secretary
NSW Treasury

August 2018

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Note

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This publication can be accessed from the Treasury website www.treasury.nsw.gov.au.

Contents

Preface.....	i
Contents.....	ii
Purpose of the Guidelines.....	1
Amendment List and Version Control.....	2
Acknowledgements	3
Value Proposition	4
Understanding Organisational Resilience.....	5
Management Disciplines	6
Characteristics of Resilience	7
Ownership	7
Collaboration	7
Leadership and Culture.....	8
Building Organisational Resilience.....	9
Step 1: Analyse Existing State.....	10
Step 2: Improving collaboration	14
Step 3: Leadership and Behaviours.....	16
Step 4: Develop Improvement Plan	22
Role of the Practitioner	26
Role.....	26
Other Considerations	28
Appendices	29
Appendix A – Resilience Behaviours	30
Appendix B – Graphical Ownership of Resilience Disciplines.....	31
Appendix C – Assessment and Better Practice Guides	32
Appendix D – Graphical Collaboration Map	34
Appendix E – Example Health Check Output.....	35
Appendix F - Situational Awareness	37
Appendix G – Community of Practice Guidelines.....	38
Appendix H – Tips for Lesson Management	40
Appendix I – Glossary	43

Purpose of the Guidelines

This set of Organisational Resilience Guidelines (the Guide) is designed for the Practitioner of NSW public sector organisations to:

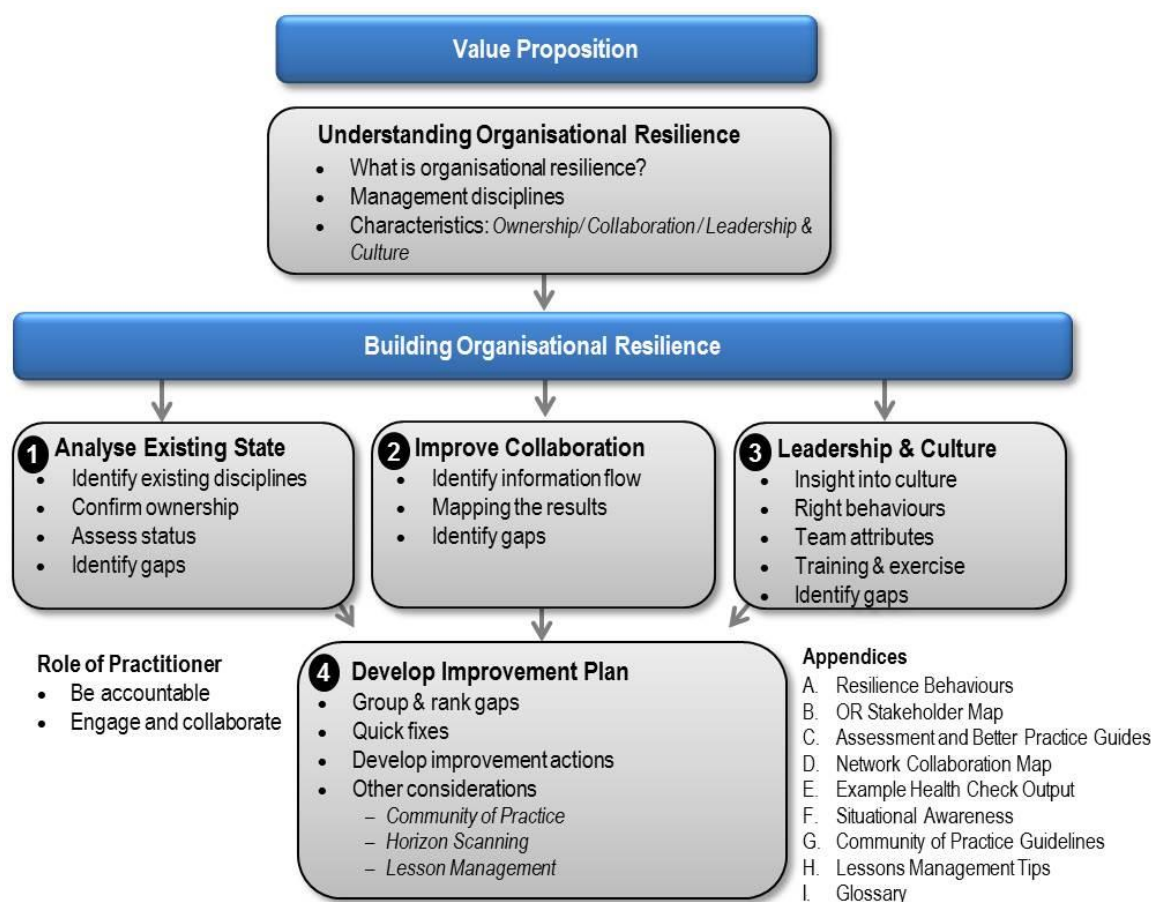
- Explain the disciplines and attributes of organisational resilience
- Provide advice on the areas a Practitioner can focus on to strengthen the resilience capability of their organisation

It is designed to be used by the Practitioner who has responsibilities for maintaining or building organisational resilience. They will often work in small teams and thus need to allocate time and resources efficiently to address the priority capability gaps in their organisation.

This Guide is aligned to the Australian Government Critical Infrastructure Resilience Strategy and the Organisational Resilience Good Business Guide, which aims *“to understand and apply an organisational resilient approach to enhance their ability to manage unforeseen, unexpected and emergent risks and threats”*¹.

Document Map

This guide has been divided into the following sections:



¹ Australian Government Organisational Resilience Good Business Guide (2016), pg 3

Amendment List and Version Control

Proposal for amendments or additions to the Organisational Resilience Guide for the NSW Public Sector are to be forwarded to the Organisational Resilience Community of Practice via:

Manager Business Resilience, Roads and Maritime Services; paul.g.mccarthy@rms.nsw.gov.au

Version	Changes From Previous	Date
1.0	Original issue - 2018	June 2018
2.3	Reader Review	June-July 2018

Document Review

This Guide is to be reviewed by the Organisational Resilience Community of Practice every year or immediately following a significant change in Commonwealth or State legislation, current standards or risk environment.

Acknowledgements

Standards/Guides

ISO/DIS 22316 – Security and resilience - Guidelines for organisational resilience

BS 65000:2014 – Guidance on organisational resilience

ISO 22301:2017 – Societal security - Business continuity management systems – Requirements

GPG 2018 - The Business Continuity Institute Good Practice Guide 2018 Edition

Good Security-Good Business (2008): Australian Government, Attorney-General's Department

Australian National Disaster Resilience Handbooks Collection

Handbook 3 – Managing exercises

Handbook 8 – Lessons management

Documents/Papers

Research Paper 1: CEO Perspectives on Organisational Resilience: Australian Government, Attorney-General's Department

Organisational Resilience: The Relationship with Risk Related Corporate Strategies. Australian Government, Attorney-General's Department

Parsons, D. Adversity Leadership: Resilience Expert Advisory Group (REAG), Trusted Information Sharing Network for Critical Infrastructure Resilience, Australian Government, Attorney-General's Department

BSI Group. Organisational Resilience: Harnessing Experience, Embracing Opportunity – Whitepaper

Denyer, D. (2017) Organisational Resilience: A summary of academic evidence, business insights and new thinking. BSI and Cranfield School of Management.

McAslan, A. (2010) Organisational Resilience: Understanding the Concept and its Application. Torrens Resilience Institute, Adelaide, Australia

Gibson, C and Tarrant, M. A Conceptual Models Approach to Organisational Resilience. The Australian Journal of Emergency Management, Vol 25, No 2, April 2010

Denyer, D. (2017) Organisational Resilience: A summary of academic evidence, business insights and new thinking, BSI and Cranfield School of Management

Value Proposition

NSW Government Agencies: Organisational Resilience, a Collaborative Approach

What is required?

Organisations operate in a complex, changing and challenging environment of interconnectedness and interdependence, delivering products and services to customers whose expectations for the availability and delivery of systems, products and services continues to increase.

Put simply, a small disruption has the potential to have a serious impact on an organisation and its reputation.

Developing and implementing an organisational resilience program will improve the organisations ability to anticipate, prepare for, respond to and adapt to incremental change and sudden disruptions. This will support the delivery of products and services, and meet customer expectations - even in times of disruption.

This requires the Practitioner to embrace a collaborative approach between the different management disciplines, as well as to help identify and develop the softer attributes of leadership and culture.

This Guide provides practical advice for the Practitioner on how to begin the process of designing and implementing a resilience program for their organisation. It draws on the collective experiences from the membership of the iCare Organisational Resilience Community of Practice.

Benefits to the organisation

At its foundation, the resilience program will lead to greater ownership and accountability across various management disciplines, but more importantly increased collaboration and information flow between these disciplines.

Other benefits for the organisation include:

- **Continuity of service to customers** – the overall aim of resilience is to enable an organisation to continue to deliver to its customers through change and disruption.
- **Stronger business as usual activity** –the resilience program strives to achieve better practice in the various management disciplines, as well as continually improving, refining and extending existing competencies. An organisation's ability to cope with disruptions effectively means they are also in a better position to deal with predictable change in a controlled and planned manner.
- **Productive relationships with both internal clients and external stakeholders** – one of the key outcomes of the program is to understand and map the interconnectedness and interdependencies for an organisation in terms of resilience. Using this as the basis of collaboration and engagement, it is designed to build and foster internal and external relationships, so that together they are better at anticipating, preparing for, responding and adapting to change.
- **Builds upon and supports the organisation's leadership capability, culture and values** – a key focus of the program is to develop the key leadership skills within any organisation through good management and decision-making skills. As well, a resilient culture is one that aligns with the values of most organisations including the NSW Public Sectors' (Service, Trust, Integrity and Accountability).

The Practitioner can use the tools developed within this Guide, to communicate effectively with the relevant stakeholders including the chief executive and other senior management in promoting organisational resilience both as a concept and as a program. It can be used to define its value proposition and outcomes in terms of achieving ownership and accountability, improved collaboration and leadership capability.

Understanding Organisational Resilience

Organisational resilience is the adaptive capacity of an organisation in a complex and changing environment.²

This definition should be balanced with a practical approach, on the basis that organisational resilience is a fundamental understanding and treatment of risk, particularly non-routine or disruption related risk.

It means accepting that resilience is not just about bouncing back from adversity., It is more broadly concerned with the capability to be both proactive and reactive in an approach to manage not only the sudden and dramatic change, but also deal with predictable change.

There are an infinite number of disruption scenarios, but only a finite number of outcomes. Leading organisations do not manage specific scenarios; rather they create the agility and flexibility to cope with turbulent situations.

Council on Competiveness, Transform. The Resilience Economy: Integrating Competiveness and Security (2007)

What does a resilient organisation look like?

Given the evolution of organisational resilience, there have been various models and competencies suggested to help establish a 'fit for purpose' organisational resilience model for an organisation.

Accepting that there is no single recipe or a 'one-size fits all' model, this Guide suggests that Practitioners focus on three main characteristics that can be applied to all organisation types.

These characteristics are leadership and culture, collaboration and ownership. They will be explored in more detail on pages 4-5.

² ISO/DIS 22316 Security and Resilience – Guidelines for Organisational Resilience

Management Disciplines

Organisations will have some or all of the management disciplines and soft attributes outlined in ISO 22316 and highlighted in the Australian Government Organisational Resilience Good Business Guide.

These disciplines and soft attributes all contribute to developing organisational resilience, and most organisations will combine disciplines based on its size and functions.



Top Tip

Organisational resilience should be based on those disciplines deemed a priority by the organisation and their alignment with better practices; as well as enhancing the collaboration between each discipline, and with the organisational units and external stakeholders

The disciplines that the Practitioner could consider are found in a number of sources including ISO 22316 and BS 65000³. As a guide, the Practitioner can select any relevant disciplines and those from ISO 22316 are shown in Table 1 as a guide. As a minimum the disciplines in bold should be considered.

Organisational Resilience Disciplines	
Risk management	Emergency or incident management
Asset management	Environmental management
Cyber security management	Quality management
Business continuity management	Communications
Crisis management	Facilities and asset management
Security – information and physical	Financial controls
Fraud control	Information technology
Work health safety	Human resources / people management
Stakeholder engagement	Strategic planning
Supply chain management	Training and exercising
Lesson management	Governance

Table 1: Organisational Resilience Disciplines

³ BS 65000 – 2014 Guidance on Organisational Resilience

Characteristics of Resilience

There have been various models and competencies suggested to help establish a 'fit for purpose' organisational resilience model for an organisation. Accepting that there is no single recipe or a 'one-size fits all' model, this Guide suggests that Practitioners look at addressing three key characteristics shown in Diagram 1.



Diagram 1: Characteristics that support organisational resilience

Ownership

This is where the various disciplines required to support the organisation are identified, and ownership of each is confirmed.

Organisations will structure the accountability for each of the disciplines differently, based on their size, structure, nature of their business, capacity to manage the disciplines, and on the experiences of the individuals and teams involved.

An important approach is to have an owner for each management discipline and for this to be documented and understood throughout the organisation.

This approach will clarify responsibilities for maintaining or building organisational resilience, improving the capability of each discipline and how it is integrated to support the overall level of organisational resilience.

In many organisations one manager or one team will have the responsibility for multiple disciplines.

Collaboration

This is the foundation behind identifying, analysing and improving key areas that will help build a more resilient organisation.

An organisation that **identifies, analyses and improves** the collaboration between key areas in the organisation, and with external stakeholders – will continue to improve the organisation's levels of resilience.

This requires the disciplines⁴ to understand each other's role and priorities, and to share their capability via a network of engagement and information flows.

This work will also help establish a level of trust across the organisation, which can be called upon during a disruption event. This is particularly important in times of a sudden and/or significant disruption.

Leadership and Culture

This includes identifying the cultural attributes of your organisation, and confirming the behaviours of key stakeholders within your organisation.

Leadership in terms of chief executive and other senior management endorsement and support is vital for building capability throughout the organisation.

Equally important is building a resilient approach at every level of management, by gaining insight into the organisation's culture, and through an awareness of adopting the right behaviours for the organisation.

Insights into culture

Identifying the cultural attributes within an organisation will assist in identifying the gaps required to support proactive resilience thinking, culture and leadership.

Practitioners will need to explore the values, attitudes, and experiences of their organisation, especially those of the management teams.

Practitioners may also need to engage with and identify the attitudes of key stakeholders and take actions to help them understand how they best contribute to improving or maintaining the overall levels of resilience through leadership and behaviour.

Leadership behaviours

Leadership behaviours play an important role in shaping culture and therefore in promoting a resilient culture. It is important for managers to understand their role and responsibilities in this respect. It is equally important that they have clear understanding of the behaviours they can adopt that contribute to a more resilient organisation.

For example, this includes developing the awareness of *what are the right behaviours* at the executive level, senior managers, or line managers. These right behaviours can be the cornerstone to building a more resilient culture throughout the entire organisation.



Managers can set a good example by leading scenario based team discussions about how the team could respond to different types of incidents. These discussions could be informal over a coffee or facilitated by a subject matter expert

Appendix A provides a guide to the types of behaviours and responsibilities that can be adopted by management at all levels throughout the organisation.

⁴ Refer to Table 1 – Organisational Resilience Disciplines

Building Organisational Resilience

This section looks at the steps that the Practitioner can follow to help build a more resilient organisation, shown in diagram 2.



Diagram 2: Steps for building resilience

Step 1: Analyse Existing State

This section identifies the components of organisational resilience that are already present in your organisation, and includes:

	Title	Description
1.1	Identify existing disciplines	Identifying existing disciplines across the organisation
1.2	Confirm ownership	Confirm the business units that are accountable for each key discipline
1.3	Assess status	Rate the effectiveness of each discipline against current standards or better practices and record the outcomes
1.4	Identify gaps	Record issues and actions that can be included in an improvement plan

1.1 *Identify existing disciplines*

Go through the list of disciplines in Table 1 on page 6 and identify those that exist within the organisation. Consultation with colleagues in other business units will probably be needed to develop the full picture.

Consider which of these are central to developing organisational resilience within the organisation. Decide which disciplines will be included in the organisational resilience collaborative network.



Top Tip

Experience has shown that, as a minimum, the disciplines in **bold** should be included in your organisational network

While most of the disciplines will exist in most organisations, some are more central to organisational resilience.

Document your reasons for deciding which disciplines are to be included in your network.



Top Tip

Inclusion in the OR collaborative network doesn't mean that any accountabilities for the disciplines will change. It only means that these disciplines are the initial areas of focus and hence will be included in discussions, planning and activities to improve organisational resilience.

The Practitioner may also identify some disciplines that simply do not exist. Some may not be required for the nature of the business undertaken, but if any are required and do not exist, this is an immediate gap to be identified.

This is to be recorded and included in Step 4 - Develop Improvement Plan.

1.2 Confirm ownership

By identifying the business unit that is the primary owner, an understanding of where the disciplines sit within the organisational structure will start to develop.

Note any disciplines that do not have a clear ‘owner’ and record to use in Step 4 – Develop Improvement Plan.

Example of how to map the disciplines with accountability is shown in Diagram 3.

The complete map is shown at *Appendix B*

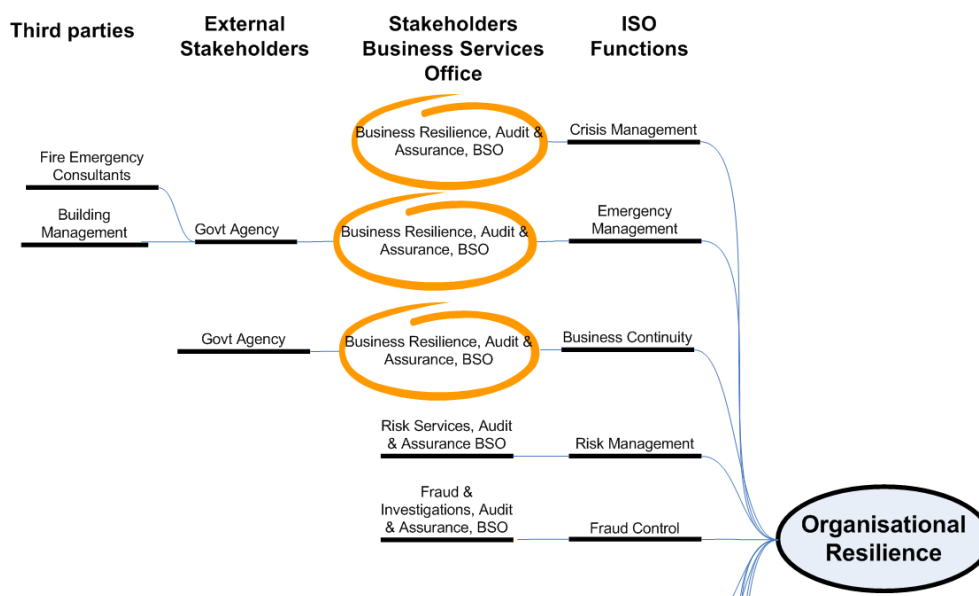


Diagram 3: Organisational resilience stakeholder map

An example of another way to capture this information is shown at Table 2.

Management Discipline	Accountable unit(s)	Comments
Risk Management	Audit and Risk Unit	
Business Continuity	Audit and Risk Unit	
Crisis Management	Nil or unclear	Confirm with Executive
Emergency Management	Nil or unclear	Confirm with General Manager
Cyber Security	Digital and Technology Services	
Fraud Control	Professional Standards Audit and Risk Unit	
Quality Management		
HR Planning	Strategic Human Resources	
Information Security	Digital and Technology Services	
ICT Continuity	Digital and Technology Services	
Physical Security	Division A Division B Property and Asset Services	
Supply Chain	Procurement	

Table 2: Stakeholder map in table form

In the example at Table 2, Crisis Management and Emergency Management may be identified as gaps because there is no business unit with clear accountability for these disciplines or functions.



Top Tip

Inform the Risk Management Team of any management disciplines that do not have an accountable owner because this may represent a risk to the organisation.

1.3 Assess status of disciplines

As you map the disciplines and validate the accountability there is an opportunity to rate the effectiveness of each discipline against current standards and better practices.

The intent here is to identify those areas that may require improvement and this information can be captured directly into Step 4 – Develop Improvement Plan.



Top Tip

When the Practitioner is gathering information from the disciplines' owners or other stakeholders, it may be more efficient to assess and identify gaps or weakness in each discipline as they arise. This can avoid having to re-visit stakeholders to address this in Step 4.

Tools to Assess Disciplines

A systematic approach to how you assess each discipline will involve using a graded ratings category system, as well as specific better practice assessment criteria for each relevant discipline. Whilst there are several tools being used across all sectors, you may need to develop your own assessment tool to suit your organisation.

To help identify the sources or templates available that can be adjusted to suit, consider applying the intelligence gathering methods shown in *Appendix C*. These include:

- Referring to the relevant standards and better practice guides
- Seeking advice from stakeholders especially Practitioners in like organisations
- Conducting research
- Reviewing your own lessons from past experiences.

The outcome is to develop appropriate assessment criteria for each discipline, and to use an agreed ratings table so that the assessment is meaningful in terms of current capability.

Examples of some tools are shown at *Appendix C* and include: A generic ratings table, an example ratings table, and abbreviated versions of better practice assessment criteria for business continuity and crisis management.



Top Tip

Discipline owners may not want to share the status of plans and procedures, particularly if they are poorly maintained. There is no need to force the issue, rather use the engagement to begin developing a collaborative relationship where they will feel able to share in the future.

Table 3 is an example of an assessment for two management disciplines.

	Resource	Status	Notes
Business Continuity	Business Continuity Management Policy	2	Recently revised
	Business impact analyses	1	BIAs not comprehensive or consistent Resources to support good quality BIAs have been developed and are being rolled out
	Business continuity plans	0	Business continuity planning is 'patchy' across the organisation – some good coverage but many gaps A variety of templates found on the intranet
	Business continuity exercise program	1	Some exercises conducted, but exercising needs to be expanded
Fraud Control	Fraud Control Policy	1	Past the date listed for revision
	Fraud Control Framework	2	Consistent with the ISO standard or Audit Office <i>Fraud Control Improvement Kit</i>
	Fraud Control Improvement Plan	2	Current, with contributions from all relevant org units. Recently approved by Exec
	Fraud Control Online Learning Module	0	Out-dated. Does not reflect current framework

3	Leading	Detailed definitions are shown at Appendix C
2	Established	
1	Developing	
0	Basic	

Table 3: Example of disciplines assessment

1.4 Identify gaps

Throughout this first Step, the Practitioner should identify and record gaps that arise in the capability of the disciplines and/or other external stakeholders that are relied upon to provide a service to the organisation.

These gaps can be recorded to be used when developing the improvement plan in Step 4.



Top Tip

Prior to commencing Step 1 – Analyse current state, decide how you will capture gaps or issues so they can be used when developing the improvement plans. This may simply be a worksheet.

Step 2: Improving collaboration

This section identifies the collaboration opportunities and includes:

Section	Description
2.1 Identify information flows	Between the priority disciplines and with external entities
2.2 Mapping the results	Recording the results graphically to highlight the interdependence between all disciplines
2.3 Identify gaps	Record issues and actions that can be included in the Improvement Plan

2.1 *Identify the information flows*

Using the high level Stakeholder Map developed in Step 1, identify the key information that each discipline needs to share with other disciplines or with external stakeholders.

This means focusing on the key information required between each discipline and why that information is required by the other discipline.

Example: Business continuity management would find it useful to know what the Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) are for all the software applications that the business uses to support its critical business functions. This would require Business Continuity to collaborate with IT to share that information.

Why is this information useful?

During the Business Impact Analysis process, Business Continuity will be identifying the maximum tolerable period of disruption (MTPD) for each critical business function.

Part of that process includes capturing all the resources required to support that critical business function.

If the RTO and RPO are longer than the MTPD, it means that IT is not able to support the recovery of the software application in sufficient time for the business to avoid breaching the MTPD.

This would cause the recovery strategy to fail

Every organisation is structured differently so the role of the Practitioner will vary. Some disciplines may fall within the direct control of the Practitioner; others may not and will require the Practitioner to develop a cooperative relationship with the business owner.

Mapping this information flow may require multiple meetings with owners of the key disciplines within your organisations. This often requires the Practitioner to develop a stakeholder engagement plan at the start of the process.

Practitioners should also be prepared for this information flows to adjust as the organisation becomes more mature in the way disciplines collaborate.



Top Tip

Collaboration is a two-way process – remember to share relevant information that you have gained with other parts of the organisation irrespective of them being part of your collaborative network or not. This builds trust and goodwill which are invaluable qualities when dealing with future incidents.

2.2 Mapping the results

The Practitioner will need to decide how they capture the information that highlights these key information flows. It can be captured in tables or can be mapped.

An advantage of producing a map is that it can quickly provide an overview of key information flows and thus priority collaborations between disciplines in your organisations.

Diagram 4 shows an example of this type of mapping that focussed on internal stakeholders

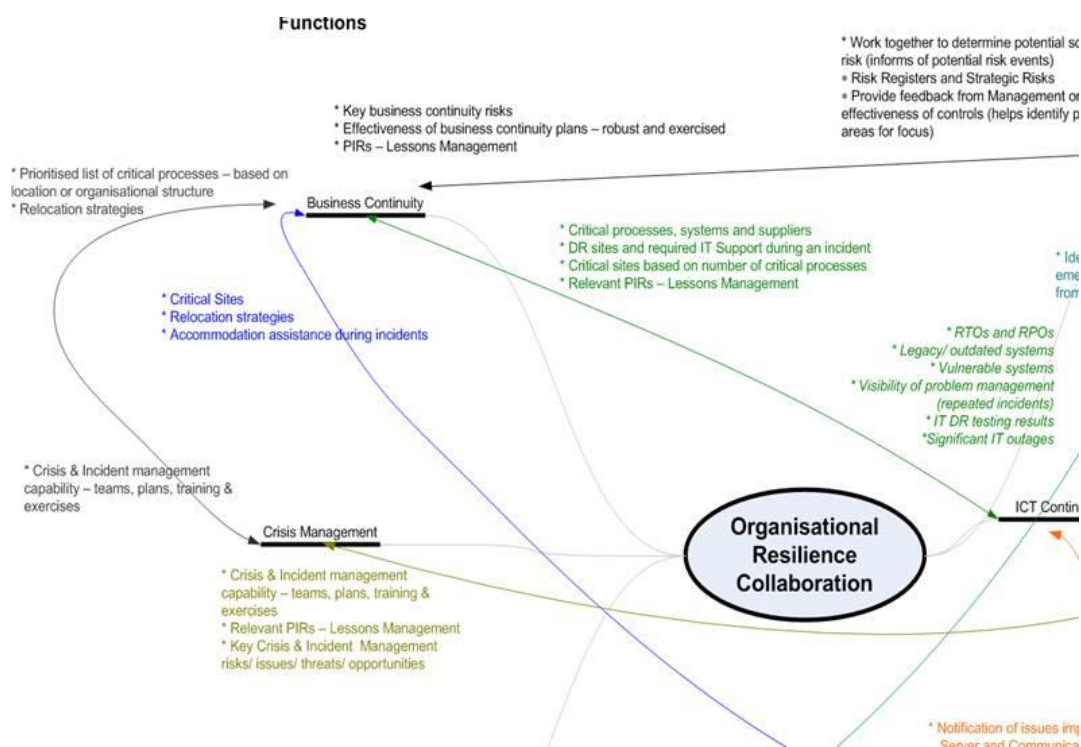


Diagram 4: Mapping information flows

A complete example diagram of the information flows is shown at Appendix D.



Top Tip

Inclusion in the OR collaborative network doesn't mean that any accountabilities for the disciplines will change. It only means that these disciplines are the initial areas of focus and hence will be included in discussions, planning and activities to improve organisational resilience

2.3 Identify gaps

Identify and record gaps that arise when mapping the existing and desired information flow. Also map the collaboration required between the key disciplines, and with external stakeholders.

Record any gaps to be used when developing the Improvement Plan in Step 4.



Top Tip

When mapping out your collaborative relationships make sure you capture all interdependencies, both internal and external. As a minimum include the following:

- Intra-agency collaboration (within your organisation)
- Inter-agency collaboration (throughout the Sector)
- Critical Infrastructure e.g. utilities, telecommunications and transport

Step 3: Leadership and Behaviours

It is important for the Practitioner to know and understand the importance of leadership and culture in shaping and enhancing an organisation's resilience capability.

This step includes:

Section	Description
3.1 Insights into culture	Tools the Practitioner to use to understand cultural characteristics
3.2 Right behaviours	All levels of management understand the behaviours required to promote organisational resilience
3.3 Team attributes	Record issues and actions that are to be included in an improvement plan
3.4 Training and Exercising	Provide realistic training opportunities to improve capability and understanding
3.5 Identify gaps	Capture gaps to be addressed though the improvement program

3.1 *Insights into culture*

At a fundamental level it is the culture of the organisation that will help shape its risk appetite, which in turn dictates the approaches used to improve resilience capabilities. It is important for the Practitioner to gain insights into the cultural aspects of their organisation and how it may impact on improving resilience capabilities. There are different tools that a Practitioner can use to get insights into the culture of their organisation.

People Matters Employee Survey

Many large organisations conduct annual staff surveys to give staff an opportunity to communicate directly with their immediate management as well as senior management.

The People Matters Employee Survey is undertaken annually across the NSW Public Sector. A number of questions in this survey relate to the cultural aspects of the organisation.

The Practitioner can work with their HR teams to review the responses and to start with, consider the following questions:

- I feel that senior managers effectively lead and manage change
- Senior managers encourage innovation by employees
- Senior managers promote collaboration between my organisation and other organisations we work with
- I feel that change is managed well in my organisation
- I am able to speak up and share a different view to my colleagues and manager
- My organisation is making the necessary improvements to meet our future challenges

Australian Government Organisational Resilience HealthCheck

The Organisational Resilience HealthCheck is a free self-assessment tool available online to evaluate resilience attributes and identify opportunities to improve resilience capability within an organisation.

The HealthCheck can be completed by an individual such as the Practitioner or collectively as a group, eg a management group, team members or workshop environment.

The HealthCheck will ask you to rate your organisation according to a set of low and high level descriptors for 13 resilience indicators. These indicators are grouped under three overarching resilience attributes that build business-as-usual effectiveness as well as robust and agile response and recovery capability.

The resilience attributes are:

- Leadership and Culture
- Networks and relationships
- Change ready

The relationship between the attributes and indicators is shown in Diagram 5 below.

Organisational resilience

Attributes and Indicators



Diagram 5: Attributes and Indicators⁵

The self-assessment list includes possible treatment actions and likely inhibitors for each of the above 13 resilience indicators.

An example of the output for this assessment tool is shown at *Appendix E*.

⁵ Australian Government Organisational Resilience HealthCheck – Australian Government Organisational Resilience Good Business Guide 2016

3.2 *Right behaviours*

Establishing the right behaviours at all levels is one way of shaping the culture throughout the organisation.

Determining the behaviours you need in times of disruption assists organisations to manage the disruption event more effectively.

In times of major disruption, it has been shown that a focus on the **behaviours** of senior managers has contributed to:

- Stronger leadership and decisiveness
- Greater confidence in managing change or an event
- Improved outcomes and less business disruption

Practitioners can help managers understand their roles and responsibilities in helping to build and maintain the appropriate levels of capability within an organisation.

Whilst each organisation will differ, the responsibility tables shown at *Appendix A* can be used to develop an appropriate list of the roles and responsibilities for your key stakeholders.



Top Tip

The focus on behaviours is more likely to achieve results in enhancing organisational resilience.

A focus on outcomes can be riskier. In the short term the right outcomes may still be achieved, whilst still not showing the right behaviours.

3.3 *Leadership skills*

Developing the key leadership skills within your organisation can improve the adaptive capacity, through good management and decision making skills. These skills can serve as a resilience building catalyst to increase your organisation's planning, preparation, response and recovery capability, especially when considering disruption events.

Achieving a level of organisational resilience is not just about achieving better practice in the various disciplines that fall under the umbrella of organisational resilience. It is about key individuals and teams having the competency required to better understand and address the uncertainty that may impact the organisation. It will be the responsibility of the Practitioner, working with the leadership, to develop the 'soft skills' and the critical thinking needed to drive the development of that understanding. In turn, that will directly contribute to the proactive and reactive approaches required to develop a resilience capability throughout the organisation.

Also, in terms of ability to influence the leadership and culture of an organisation, the Practitioner has a greater scope to influence team attributes, particularly decision making skills, through their role within the crisis management function.

Whilst there are numerous attributes that could be highlighted, this Guide highlights two team attributes that will help build the resilience capability for your organisation:

- Situational awareness
- Critical thinking and decision making

Situational awareness

Situational [awareness](#) is usually described as:

Being aware of what is happening in your vicinity, and understanding how any events and one's own actions may impact what you are doing, both immediately and in the near future.

As such, establishing and maintaining a high level of situational awareness during a disruption event will assist teams when making decisions and setting objectives or determining response tasks.

It involves practicing the processes to perceive, comprehend and project a situation in order to support a decision and actions. This was modelled by Dr. Mica Endsley (1995)⁶, which has historically been widely used, and is outlined at *Appendix F*.

To help improve the crisis or response teams' awareness for the need for situational awareness, the Practitioner can consider including these steps in the initial response and planning process for the team to:

Question	Comments
Determine what is Known	This will involve multiple information sources. The reliability of the information provider should also be considered and verified for correctness.
Consider Most Likely Case	This will be based on the team's own experiences, reliability of sources, history of similar events. The response will generally focus on dealing with the most likely outcome.
Consider Worst Case	This is crucial in ensuring the team remains aware that the situation may change, and deteriorate quickly. It helps sets the parameter of the overall situation.
Agree on Main Issues	This requires the team to articulate the above and set key objectives, so the planning and response can remain focussed on the priority issues.

Table 4: Situational awareness



Situational awareness can also be important when considering proactive engagement by decision making teams, such as undertaking horizon scanning to help determine likely changes to any risks to the organisation.

⁶ Endsley, M. R. (1995). Toward a theory of situation awareness in dynamic systems. Human Factors, Texas Tech University, pp 32-64.

Critical thinking

Critical thinking supports the decision making teams and it can be practiced to improve the adaptive capacity of these teams.

The Practitioner can apply some of the key elements shown in Table 5 for critical thinking into the training, exercising and education for response teams throughout the organisation.

Skill	Description
<p>Fast and slow thinking</p>	<p>Fast thinking is instinctive and automatic. It can make a team vulnerable to incorrect situational awareness and poor decision making.</p> <p>Slow thinking skills can be developed by using a critical decision making procedures, and by teams practicing through exercises and training.</p> <p><i>Kahneman D, Thinking Fast and Slow, Farrar Strasue and Giroux, 210, USA</i></p>
<p>Group think errors</p>	<p>Group think can result in faulty decisions, by teams that are highly cohesive and when they are under considerable pressure to make a quality decision. It can appear when team members are too similar in background, the team is insulated from outside opinions and there are no clear rules for decision making.</p>
<p>Cognitive biases</p>	<p>Decision teams should also consider that each member brings their own bias to the group. The team itself also can suffer from decision biases such as:</p> <p>Anchoring – the tendency to rely too heavily, on one trait or piece of information when making decisions</p> <p>Illusion of control – the tendency to overestimate the degree of influence over other external events</p> <p>Confirmation bias – the tendency to search for or interpret information in a way that confirms one's preconceptions</p> <p>Information bias – the tendency to seek information even when it cannot affect the actions being considered</p> <p>Overestimate of control strategies – assuming the planned response will fully address the disruption event</p>

Table 5: Critical thinking

3.4 Training and Exercising

Training and exercising are essential components of preparing decision making teams, and to fully embedding many of the above skills.

The Practitioner should follow the stages for exercise management, being:

- Concept development
- Planning
- Conduct
- Evaluate



Top Tip

Detailed guidance for exercise planning and management can be found in The Australian Institute for Disaster Resilience, Handbook 3 – Managing Exercises. See: <https://knowledge.aidr.org.au>

When planning exercises for decision making teams, some considerations for the Practitioner are shown in Table 6.

Exercise Planning Considerations	
1	Conduct alternative exercises without some/all of the primary leadership members to build depth of capability
2	Conduct cross team activities including an internal discussion exercise that requires business units to release employees to support another business unit for extended periods
3	Conduct exercises based on future and stretch scenarios to explore how your organisation would adapt to an event if that occurred
4	Conduct exercises and scenarios that lead to landscape changes where there is no return to the pre-event status
5	Develop and conduct resources based adversity exercises that stretch existing resource capabilities and require participants to look at new and innovative solutions
6	Utilise scenarios where the solution is not known (non-routine) and involves varied and significant challenges to the organisations
7	Involve critical services providers and/or regulators in discussion exercises, where possible
8	Ensure leadership teams actively participate in exercises, and not merely observe or facilitate

Table 6: Considerations for exercise planning

3.5 Identify gaps

Throughout this analysis, the Practitioner should identify and record gaps that arise in the cultural or leadership areas so that they can be used when developing the Improvement Plan in Step 4.

Step 4: Develop Improvement Plan

Practitioners will be required to develop and manage an improvement plan that involves multiple stakeholders. This step provides guidance in developing a plan and includes:

Section	Description
4.1 Group and rank gaps	Summarise the gaps identified and rank them in consultation with the Risk Management Team
4.2 Quick Fixes	Action any quick wins across the organisation
4.3 Develop improvement actions	Develop actions applying project management principles
4.4 Other considerations	Consider other initiatives to foster collaboration and levels of resilience

4.1 Group and rank gaps

Consolidate the identified gaps in accountabilities, resources and processes that exist currently within your organisation.

Collaborate with the Risk Management Team to assess the risks to organisational resilience for each identified gap.

In assessing the risk, consider firstly the likelihood of the gap having an impact and then the consequence of the gap impacting on resilience for the organisation. Consider impacts from a variety of perspectives, such as service delivery, finances, people and reputation.



Top Tip

Use the Risk Consequence Table for your organisation when completing this step. In doing so you are aligning the process with your organisation's Enterprise Risk Management Framework

It might not be possible to do a rigorous, data-driven risk assessment, so a simple High / Medium / Low assessment might be the best solution.

A ranking of the gaps identified in the example above is shown below:

Gap Identified	Risk
No central accountability for Emergency Management	High
Limited coordination of Business Continuity Management and ICT Continuity	High
Fraud Control Improvement Plan not current	High
BIAs not comprehensive or consistent	High
Limited business continuity exercising	High
Business continuity planning is 'patchy'	Medium
Multiple BCP templates on intranet	Medium
No existing Crisis Management Plan	Medium
No central accountability for Quality Management	Medium
Out-dated Fraud Control Policy	Medium
Fraud Control Framework not consistent with the ISO or Audit Office guidance	Medium
Limited coordination & communication between 'HR' and 'Financial Control'	Low

Table 7: Example of gap analysis – in priority

4.2 Quick fixes

Quick fixes or wins might improve organisational resilience with only moderate effort. It may also serve to demonstrate progress and build support for managing more complex issues. From the example of gaps above, some quick, easy fixes might be:

- Work with the executive to allocate or clarify accountability for Emergency Management
- Convene a meeting to initialise improved communication and coordination between Business Continuity Management and ICT Continuity
- Produce a first draft Crisis Management Plan
- Arrange for obsolete BCP templates to be removed from the intranet

4.3 Develop Improvement actions

As the Improvement Plan is developed, some of the larger actions may need to be undertaken as a project. The actions can be developed and managed in various ways but will usually be based on standard project management principles including stakeholder engagement and management.

Organisations may have specific systems to help manage the development and monitoring/reporting of actions or projects.

Work with relevant stakeholders

Many different areas of an organisation will typically need to be involved, so planning meetings to develop the Improvement Plan and any of the corresponding Project Plans will need to be organised.

For some issues this may involve internal and external parties, and may also require specialist contractors.



Top Tip

An Organisational Resilience Community of Practice would be an ideal platform for planning meetings with both internal and external parties

Gaps within your direct control

Gaps that are within direct control may be easier to address, compared to those under the control of other people. While there may be resource constraints, and other parts of the organisation will usually still have to be consulted, it is likely that an agenda for addressing the gaps can be set.

For example, for the list of identified gaps above, the organisation's head accountable for Business Continuity will have direct control over the following gaps:

- Limited coordination of Business Continuity Management and ICT Continuity
- BIAs not comprehensive or consistent
- Limited business continuity exercising
- Business continuity planning is 'patchy'
- Multiple BCP templates on intranet

4.4 Other initiatives to improve collaboration

Some of the more effective initiatives to help build a more resilient organisation include the following:

Community of Practice

Collaboration and communication is fundamental to developing a resilient organisation. An effective, yet simple method is to establish a Community of Interest or Practice within the organisation as a forum to encourage information sharing and planning activities. *Appendix G* gives guidance on the creation and management of an Organisational Resilience Community of Practice.



Top Tip

Issues arising from a lack of collaboration or coordination between management disciplines could be resolved through a Community of Practice.

Horizon Scanning

Horizon Scanning is a broad area that gathers evidence about future trends and possible situations that allow for the identification of challenges and opportunities.

Resilient organisations have annual horizon scanning workshops as a minimum, involving relevant management disciplines, but particularly risk management.

Horizon scanning is a structured evidence-gathering process. The process involves collecting or reviewing a broad range of evidence, research and opinions with the aim of identifying weak (or early) signals in the form of events, patterns, trends or other developments that allow for the identification of potential issues or benefits to the organisation.

There are no set rules for undertaking horizon scanning. The key is to gather thoughts, evidence and opinions surrounding the topic of interest from across a broad spectrum of sources. Horizon scanning incorporates both the collection and analysis.

Commissioned research, statistics, journal articles and press reports are often relied upon to inform views on a topic. However, effective horizon scanning requires a conscious look beyond traditional sources.

In addition to traditional sources, some alternate sources of information include:

- Blogs, opinion pieces, and social media
- Talkback radio and other radio journalism
- Interviewing Practitioners and other subject matter experts
- Engaging with clients, governments, service providers and other members of society
- Participating in and reading papers and lectures from conferences and think tanks
- Web-based videos, such as TED Talks or YouTube channels.

Key benefits of horizon scanning may be:

The ability to anticipate potential disruptive events by maximising the time available to prepare a response

The capability to identify the causes/precursors of disruption and potential systemic impacts to the organisation

For the Practitioner, the main function of horizon scanning is to identify possible changes in the forthcoming 6-12 months, especially where it may impact key parts of the organisation.

Lesson Management

Lesson management is the mechanism that enables lessons to be identified and embedded through action and change – with the aim to sustain positive performance and improve in areas where deficiencies are identified.

Whilst many organisations have a strong focus on identifying lessons from disruptive events and exercises, there is often less focus on taking the next steps to embed and measure the recommended changes or improvements.

The 4 phases of the Lesson Management lifecycle shown in Diagram 6, include:

- **Collection** of observations and insights from experiences
- **Analysis** of observations and insights to develop lessons that can be learned
- **Implementation** involves assessing lessons for implementation, communicating the lessons so that others can benefit, making the changes
- **Monitoring** implementation involves monitoring and measuring the changes to validate the lesson has been learned

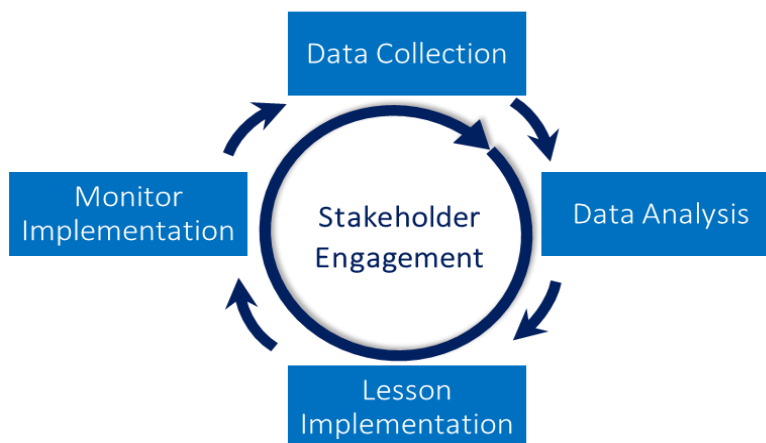


Diagram 6: Steps in lesson management

Tips for implementing lesson management in your organisation are shown at *Appendix H*.

Further details on how to implement all or some of the Lesson Management process: see

- Attorney-General's Department. (2013). *Australian Emergency Management Handbook Series: Lessons Management Handbook 8*. [Online]. Commonwealth of Australia.
- Available at <https://www.aidr.org.au/media/1480/handbook-8-lessons-management.pdf>

Role of the Practitioner

The success of any resilience program rests on the shoulders of the Practitioner. It is the knowledge, enthusiasm and communication skills of the Practitioner that will provide the momentum to deliver a resilience capability to the business.

Role

The **Practitioner** needs to understand the increasingly complex cultural, legal, political, regulatory, technological, natural, economic and competitive arena in which their organisation operates. This understanding is developed through monitoring the key issues and trends that may impact upon their organisation as well as the perceptions and values of external stakeholders.



Top Tip

Horizon scanning, combined with an analysis model such as PESTLE⁷, is a useful tool for the Practitioner to use to develop their understanding of the environment in which their organisation operates.

The Intellectual Component

The intellectual or conceptual component of organisational resilience provides the intellectual basis and justification for the organisation to adopt a more resilient approach. It draws on experience, improvements to business practices (gained through a lesson management system) and an analysis of immediate risks and future threats.

For the Practitioner this means the following:

Understanding the relevant policies, standards, procedures and legislation for those management disciplines present in the organisation to complete an effective gap analysis

Being able to articulate the benefits of collaboration between management disciplines – the value proposition

Having the ability to assess the value of and importance to the organisation of each management discipline and confirm the priorities for each discipline

The Practitioner identifies where collaboration will help improve the organisational resilience capability, aligns procedures, and facilitates a working relationship between all the disciplines. This is important in establishing or improving the levels of collaboration between the disciplines, and with external agencies.

The Moral Component

The Practitioner should provide guidance to the owners of the management disciplines to prepare, motivate and inspire them to confront and overcome challenges they will face when managing an incident. Key to this is the development of a common sense of worth and an expressed collective identity.



Top Tip

Establishing a Community of Practice is a tried and tested method of developing a common identity and sense of worth to the organisation.

⁷ Is an analysis model tool for strategic business planning
Stands for Political, Economic, Social, Technological, Legal and Environmental

Generally, some disciplines will fall within the direct control of the Practitioner, whilst others will require the Practitioner to develop a collaborative relationship with the respective business owner.

The Practitioner can use a **directive approach** for those disciplines that they manage, and rely on an **influencing approach** for those disciplines that are managed by other areas of the business. The focus is on developing and meeting organisational goals to strengthen the organisation as a whole rather than just one element.

An influencing approach will also be required for external agencies, highlighting the importance of developing a strong collaborative working relationship.

The Physical Component

The physical component comprises both the guidance and the knowledge of the Practitioner to assist the organisation in developing its organisational resilience capability. This will provide the organisation the people, resources and opportunity for training to develop the necessary resilience to sustain their critical business functions during an incident.

The Practitioner can leverage the Community of Practice to provide the foundation of the physical component and also influence the moral component.

Practitioner Behaviours

Specifically, the Practitioner should be able to take the lead on the development of an organisational resilience network and provide a “resilience lens” as a subject matter expert.

The types of behaviours a Practitioner should show for the each of these components is shown in table 8.

Practitioner Behaviours		Component
1	Articulate benefits of collaboration	Intellectual
2	Facilitate dialogue on the management system	
3	Influence others within the business	
4	Actively contribute in planning or strategy meetings	Moral
5	Offer awareness briefs and workshops to Business Units	
6	Advise Group on Business Unit Issues	
7	Assist other Business Units in training and briefing	Physical
8	Plan and conduct training and exercises	

Table 8 Practitioner behaviours

Other Considerations

Additional guidance for the Practitioner includes better practices in the areas of:

- Organisational resilience network design
- Subject Matter Expertise – the ‘Resilience Lens’
- Oversight Reporting

Organisational Resilience network design

An organisational resilience network can be used to outline the business needs and scope of relationships between key disciplines. It can also articulate the resilience related activities to be undertaken across the organisation and its divisions and help establish the maturity roadmap.

The organisational resilience network map is a powerful tool to articulate the value proposition for organisational resilience and time spent in producing such a network map is not wasted.

This framework can be captured in any suitable format. An example is shown at *Appendix D*.

Provides Resilience lens as a Subject Matter Expert

Both the *intellectual* and *moral* components of the Practitioner’s role require the Practitioner to view the organisation through a ‘resilience lens’ and provide a whole of business viewpoint.

The Practitioner would be expected to provide advice and directions on the elements within those management disciplines that they manage, and contribute to the further enhancement of the other disciplines to the overall benefit of the organisation.

The Practitioner should aim to achieve improved collaboration of outcomes across all the disciplines. For example: using the organisation’s Enterprise Risk Consequence table to support objective analysis of critical business functions as part of the business continuity BIA process.

Example: A critical business function that is heavily reliant upon its IT infrastructure is being relocated to new business premises.

It is identified by the organisational resilience Practitioner that ITSCM requirements have not been fully considered as part of the relocation strategy.

The Resilience Practitioner collaborates with Property Management and IT to develop a plan that enables the move to take place with the appropriate level of ITSCM in place

Oversight Reporting

The Practitioner has a role in establishing processes for monitoring, measuring and reporting on resilience activity to oversight groups such as an Audit and Risk Committee, or to the Executive Board.

The aim is to provide assurance to committee and board members that management is addressing resilience requirements within business areas.

What gets measured, gets managed

Peter Drucker (1909 – 2005)

The issues or areas that can be reported on vary, and will depend on the maturity of the organisational and management needs.

The reporting should focus on:

- Status and alignment to better practices for key disciplines
- Levels of collaboration between these disciplines and other agencies
- Management of issues or lessons and how they have contributed to improving resilience across the organisation

The Practitioner can use their organisation's preferred method of presenting the information, showing the following as a minimum:

- Outstanding capability gaps such as incomplete or non-existent plans
- Completed training and exercises undertaken
- Currency of plans and procedures including when they are scheduled for review

Appendices

- Appendix A: Resilience Behaviours
- Appendix B: Graphical Ownership of Resilience Disciplines
- Appendix C: Assessment and Better Practice Guides
- Appendix D: Graphical Collaboration Map
- Appendix E: Example Health Check Output
- Appendix F: Situational Awareness
- Appendix G: Community of Practice Guidelines
- Appendix H: Tips for Lesson Management
- Appendix I: Glossary

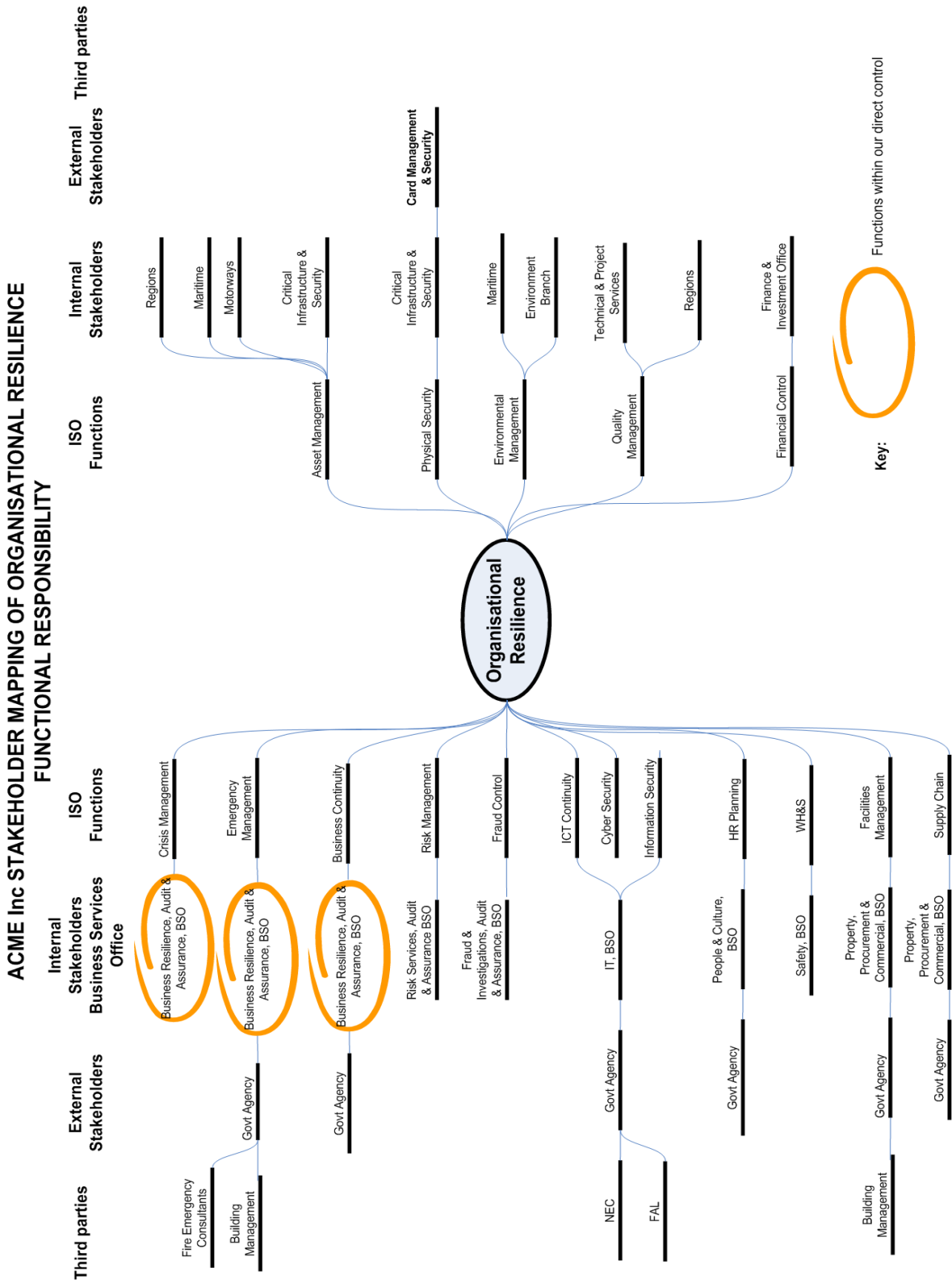
Appendix A – Resilience Behaviours

The Practitioner can utilise these tables as a guide to the types of behaviours and responsibilities that can be adopted by managers throughout the organisation.

Specific terms and responsibilities should be adjusted to suit an organisation.

Executive Level	Director – Senior Managers
Accept ownership of risk and the process during implementation workshops	Accept ownership of risk
Communicate / articulate ownership to others	Communicate / articulate ownership to others
Facilitate dialogue on the Risks	Facilitate dialogue on the management system
Provide Endorsement / open the door	Provide Endorsement / open the door
Initiate actions to test capability	Influence others within the organisation
Initiate assurance measures	Accept ownership of the process during implementation workshops
Influences others within the organisation	Use the tools that have been developed
	Actively participate in training and exercising
	Initiate actions to test capability
	Initiate actions to train staff and teams
Line Managers	Resilience Champions
Accept ownership of risk	Articulate ownership of the process across the Segment
Communicate / articulate ownership to others	Raise key issue with Executive & Directors
Facilitate dialogue	Facilitate access to Executive & Directors
Provide Endorsement / open the door	Influence Executive & Director ownership
Influence others within the organisation	Influence others within the organisation
Show ownership of the process during implementation workshops	Use the tools that have been developed
Use the tools that have been developed	Actively participate in training and exercising
Actively participate in exercising	Provide Endorsement / open the door
Drive change within their group	
Direct or Conduct Training	

Appendix B – Graphical Ownership of Resilience Disciplines



Appendix C – Assessment and Better Practice Guides

Method	Description
Standards and Guides	Refer to ISO and other standards
	Refer to better practice guides
	Review organisation policy and procedures
Stakeholders	Liaise with internal and external stakeholders
	Interview / determine requirements and priorities
Expertise	Refer to centres of practice or associations
	Seek advice from colleagues
	Engage with consultants
Research	Conduct own research
	Use organisational library services
	Refer to associations or institutes
Lesson Management	Review organisation post incident reviews for lessons learnt
	Research lessons learnt from like organisations

Example Ratings Table

3	Leading	Active co-production between disciplines within agencies. Widespread evidenced based practices, shared language and continuous review across all key areas of the organisation. Comfortable exploring problems that challenge the BAU. Deep understanding of problems and their complexity, acceptance of uncertainty and limits to existing capability. Deliberate proactive anticipation of issues.
2	Established	Utilisation of meaningful evidence and standard practices to drive capability development. Systematic wide-spread involvement in actively assessing implications for key areas of the organisation. Extensive engagement internally and externally to understand impacts, and address problems. Address issues within existing frameworks and no actively challenge existing ways of planning or responding. Little or no proactive anticipation of issues.
1	Developing	Standard processes and documentation used with little or no understanding of underlying issues. Tend to operate in silos. Generally reactive approach and one-off project based. Limited analysis or structured time to review, with learning and problem solving largely reactive. Initiatives are short-lived, limited capacity to embed sustained change.
0	Basic	Largely reliant on individuals to sustain capability with limited organisational focus. Often not systematic, lacks coordination and is not sustained. General approach over simplistic. Limited understanding of required effort to achieve.

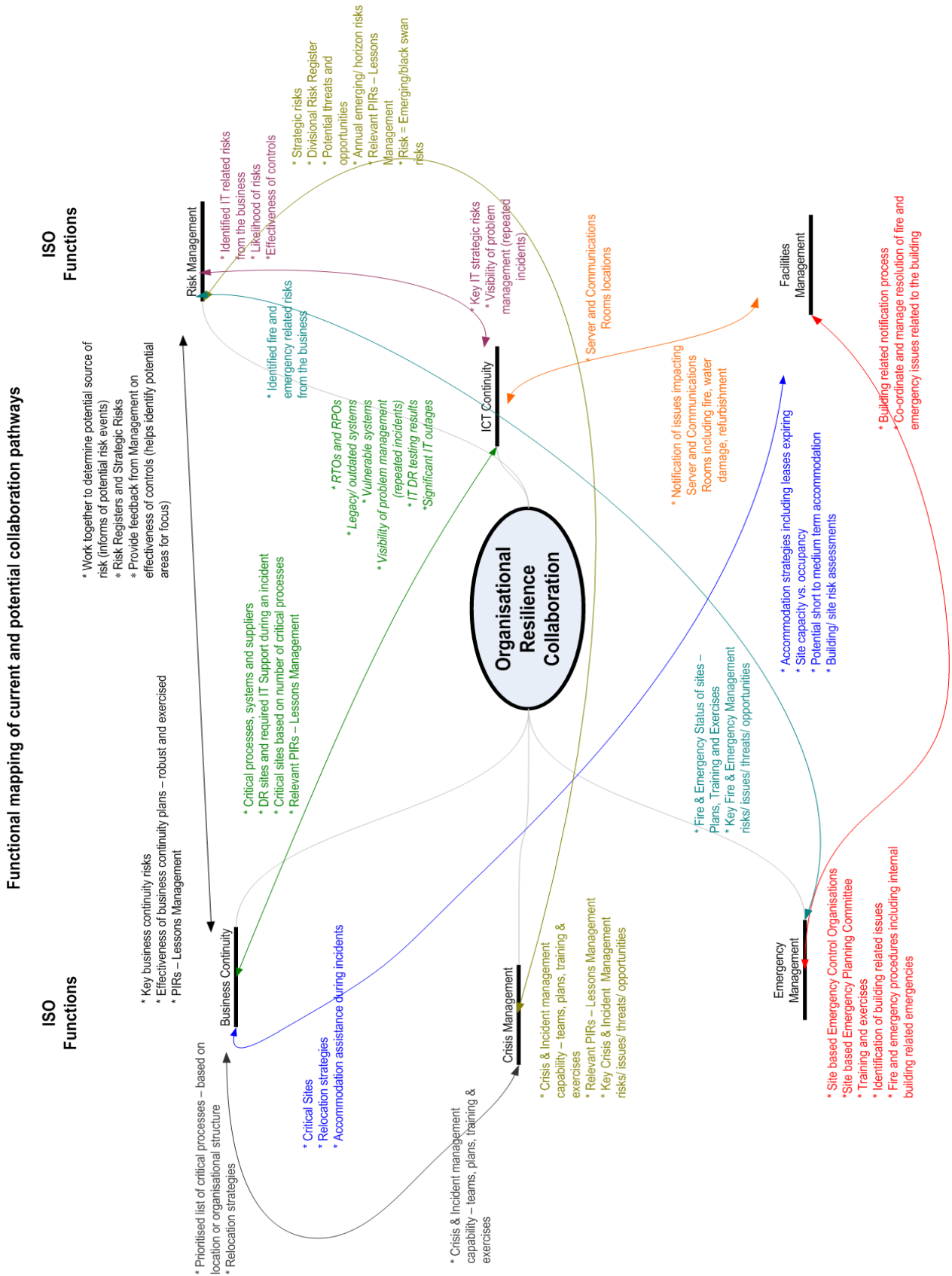
Crisis/Incident Management - Better Practice Criteria

Crisis Management		Comments	
1	Documentation and Plans		
	Applicable for all crises		
	Simple in structure and content		
2	Crisis Management Understanding		
	Triggers for escalation		
	Clear assessment process		
	Common planning process		
3	Crisis Management Training		
	Formal program		
	Consistent approach		
	Visibility of activities and results		
4	Crisis Management Assurance		
	Lesson management process in place		
	Risk involved in the process		

Business Continuity – Better Practice Criteria

Crisis Management		Comments	
1	Effective BCP documentation structure		
	Number of plans suit the organisation		
	Plans are documented and reviewed		
2	Recovery Strategies conform to better practices		
	BIA data captured and readily available during an incident		
	Critical business functions identified and prioritised		
	MTPDAO / RTOs / RPOs captured and agreed		
	Relocation strategy documented		
3	Testing of BCPs		
	Formal program		
	Consistent approach		
4	BCM Assurance		
	Lesson management process in place		
	Risk involved in the process		

Appendix D – Graphical Collaboration Map



Appendix E – Example Health Check Output

Outputs from the Australian Government Organisational Resilience HealthCheck Online Assessment tool

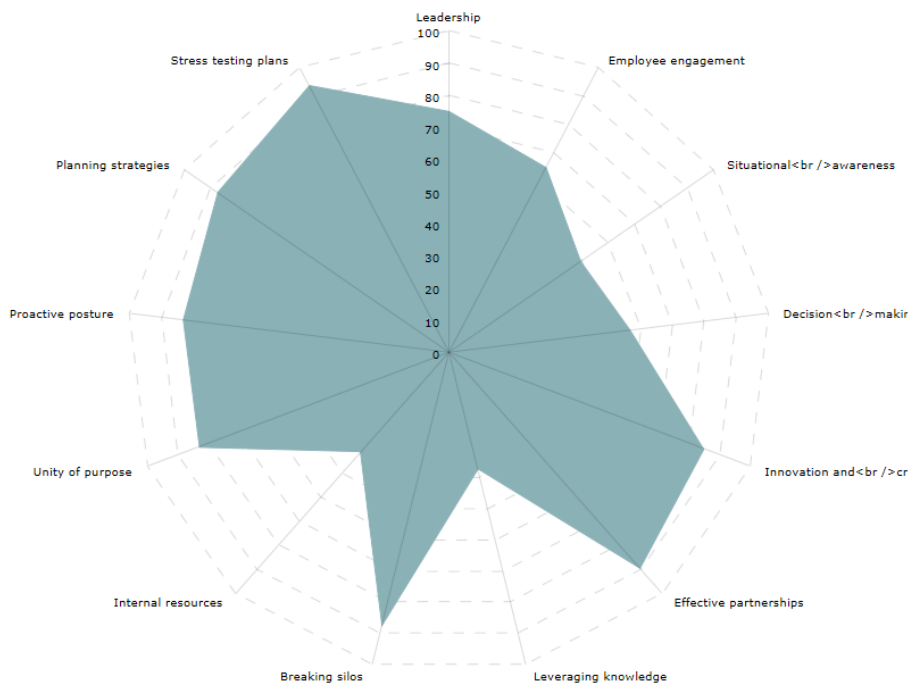
Page 1 of 3

Indicator	Low resilience indicator	ANSWER				High resilience indicator	Your score	Possible max score
		Low			High			
		1	2	3	4			
Leadership and culture attribute								
<i>Strong leadership to provide good management and decision making during times of challenge and adversity, as well as continuous evaluation of strategies and work programs against organisational goals.</i>								
1.1 Leadership	L1	Leaders display behaviours fearful of adversity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	21	28
	L2	Leaders do not 'walk the talk' nor demonstrate behaviours aligned with the organisation's values	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>		
	L3	Leaders are reactive and act under duress	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>		
	L4	Leaders are compliance driven, process focused	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>		
	L5	Leaders are oblivious to the needs of people working below them	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>		
	L6	Leaders are afraid or unwilling to make decisions without permission from senior management	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>		
	L7	Lack of visible executive and management buy-in to the need for resilience	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>		
		Leaders display decisive leadership, innovation and seek opportunity, including in times of adversity						
		Leaders 'walk the talk' and demonstrate behaviours aligned to the values of the organisation						
		Leaders are balanced and strategically focussed to ensure the organisation is acting with control and foresight						
		Leaders are outcome driven / results focused						
		Leaders care for the wellbeing of their people and their ability to thrive in times of adversity						
		Leaders are empowered to make decisions and are supported in doing so by senior management						
		Highly visible executive/senior management resilience champions and leader advocacy of the resilience agenda						

This table shows a section of the Health Check question that is found in the Australian Government Organisational Resilience Good Business Guide.

Practitioners have the choice to use the tables/questions as is, or to adjust them to suit their own organisation.

Spider graph



The spider graph is one method that can be used to display the information from the Health Check, and practitioners can use the data to display results to best suit their objectives and the organisation.

Spider graph calculation						
Behaviour	Your score as % of total	Possible max score	Your score	Possible max score	%	Max score as % of total
Leadership	75	100	21	28	75%	11
Employee engagement	65	100	13	20	65%	8
Situational awareness	50	100	12	24	50%	9
Decision making	57	100	16	28	57%	11
Innovation and creativity	85	100	17	20	85%	8
Effective partnerships	90	100	18	20	90%	8
Leveraging knowledge	38	100	9	24	38%	9
Breaking silos	88	100	14	16	88%	6
Internal resources	42	100	5	12	42%	5
Unity of purpose	83	100	10	12	83%	5
Proactive posture	83	100	10	12	83%	5
Planning strategies	88	100	21	24	88%	9
Stress testing plans	94	100	15	16	94%	6
TOTAL	938	1300	181	256	71%	100

Appendix F - Situational Awareness

The Endsley model for situational awareness (SA) describes the concept in three main stages:

Perception

The first step in achieving SA is to perceive the status, attributes, and dynamics of relevant elements in the environment. This is the most basic level and involves the processes of monitoring, cue detection, and simple recognition. This leads to an awareness of multiple elements (objects, events, people, systems, environmental factors), and an assessment of their current states (locations, conditions, modes, actions).

Comprehension

The next step involves an analysis of the above elements through the processes of interpretation, evaluation, and pattern recognition. This requires developing a comprehensive picture of the changing situation by integrating the information to understand how it will impact upon the organisation.

Projection

The last step involves the ability to project the future actions of the elements into the environment. This is achieved through knowledge of the status and dynamics of the elements to give an understanding of the situation. Followed by extrapolating this information forward in time to determine how it will affect future states for the disruption event being managed.

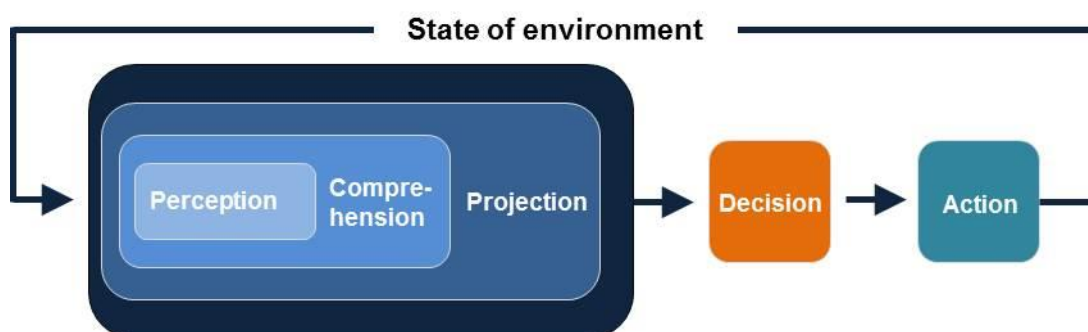


Diagram 7. Endsley Model for Situational Awareness

Appendix G – Community of Practice Guidelines

The Role of the CoP

The Community of Interest or Practice (CoP) is a learning forum where members teach and learn from each other. It is a group of Practitioners with a common sense of purpose who agree to work together to share knowledge, solve problems, cultivate best practice and foster innovation.

Members are characterised by their willing participation and ongoing interaction in developing organisational resilience. It is a place where, irrespective of their position within an organisation, members regard each other as fellow Practitioners, teachers, colleagues and a source of knowledge.

The Purpose of the CoP

Its intent is to foster collaboration, with a group focus on:

- **Best Practice** – develops, validates and ensures access to changes and current practices, systems, tools, standards, policies and procedures that reflect the current direction and practice for organisational resilience
- **Problem Solving** – brings together expertise from across the spectrum to resolve and focus on solving common problems which will benefit all CoP members
- **Development** – supports the maturing of organisational resilience, it will work together to review and improve the management of organisational resilience
- **Knowledge creation and sharing** – develops new knowledge to improve the quality of organisational resilience via the sharing of information, processes, procedures, systems information, awareness / training / capability programs and other information
- **Innovation** – Investigates new and emerging areas of knowledge to enable innovation of current practice and supporting processes and systems, a forum for new ideas and resources.

The Benefits of the CoP

The CoP intent is to benefit every member by:

- Setting the expectation for organisational resilience capability development
- Developing a pool of expertise who can act across functions
- Guiding the development and application of tools, templates and supporting materials
- Ensuring that organisational resilience is consistent and cascaded across the organisation
- Peer support & review for implementation of organisational resilience
- Developing consistency of organisational resilience capability, reporting and application
- Increasing awareness of emerging related threats and issues
- Capitalising on the successes, knowledge and lessons learnt across the organisation

Sponsorship & Membership of the CoP

Sponsorship for the CoP is to be received from the highest level of the organisation. It will be accountable to the executive and other councils or committees that determine the organisation's strategic response.

Membership of the CoP will vary based on the organisational structure and requirements. At a minimum, core membership may include:

- **Sponsor** – executive or other senior staff with ultimate responsibility for organisational resilience (e.g. chief risk officer)
- **Chair** – individual with operational responsibility for organisational resilience (organisational resilience or business continuity manager) who leads the CoP
- **Secretariat** – a clerical support role for the CoP (eg business support officer)
- **Participant** – representatives from each business area of the organisation that has a need for organisational resilience

All members may nominate a primary and alternate member.

Operating Principles of the CoP

The CoP's operating principles need to be clear and practical and may include the following:

- CoP is to convene on a regular basis with fixed periodicity (amended based on need)
- Have meeting notifications issued well in advance (e.g. minimum three weeks)
- Provide meeting minutes including a discussion summary and action points with due dates circulated to members following each meeting
- Make all primary & alternate members welcome to attend each forum (with only one representative required)
- Have a formal agenda, with items for member sharing and feedback a priority for each forum
- Request members forward proposed agenda inclusions to the chair for circulation prior to the meeting
- Make clear that members are expected to contribute regularly to the CoP and specifically following a project, exercise, incident / crisis or other related event that impacted their organisational resilience
- Invite specialist expertise to join on a full time or temporary basis to provide information, share expertise and experience, highlight emerging issues
- Strive to provide at least one new learning per meeting

Evaluate & Measure the Effectiveness of the CoP

The ongoing relevance of the CoP should be evaluated and monitored, and include:

- Attendance levels at meetings
- Level of participation of members in meetings
- Regular feedback from members concerning satisfaction
- Percentage of presentations, discussions etc by members
- Outputs achieved (eg checklists, tools, policies, procedures)
- Usage of supporting tools
- Periodical evaluation of outcomes
- Other indicators as agreed by the CoP

Duration of the CoP

The CoP Terms of Reference should include an effective date once drafted and content agreed by the CoP membership. It will be ongoing until terminated by agreement between the CoP members.

Appendix H – Tips for Lesson Management

Each public sector organisation has its own unique characteristics such as context, culture & values, people, systems, structures, and processes. Achieving successful lesson management outcomes involves considering these characteristics to build a robust and sustainable lesson management capability.

The Practitioner can consider the following when implementing their own processes

Step	Description
Collection	Information can be collected from multiple sources, and not only from exercises and incidents Apply the assessment and better practice guides at Appendix C to identify other sources for relevant information Use a reporting/analysis guide to help focus the collection planning (see below for an example of a planning and reporting guide for exercises)
Analysis	Identify who and how any analysis is undertaken Include stakeholders both internally and externally as appropriate Focus the analysis on the categories in your planning and reporting guide Limit the number of issues for each incident/exercise – to match the capability of the organisation to plan and implement required changes
Implementation	Apply project management approaches to developing and implementing changes As a minimum identify issue, actions, lead, dates due, stakeholders, monitoring methods, criteria for measurement
Monitoring	Planned for in the implementation phase Results to be reported back to the responsible manager/committee/steering group May require analysis of the results before reporting

Example – Categories for Exercise Planning and Reporting

Consideration	Description
Strategies and Plans	Improvements required to response plans or procedures
Activation & Escalation	Methods and effectiveness of initial incident assessment and notification Activation of response resources and immediate communications
Operational Response	Improvements to the operational response at the scene - may include control arrangements, coordination between stakeholders
Response Capabilities	Gaps in capability to be addressed to improve the response – may include facilities, personnel, equipment, training, logistics and support.
Systems and Processes	Systems or processes that impacted the response – may include communications systems, monitoring systems, recording systems etc
Information Management	Relevant stakeholders effectively informed Information storage with appropriate accessibility
Recovery and Continuity	Transition from the response to recovery – including continuity of core services, standing down for those involved, return to BAU

Assessing your Organisation

To assess the status of your organisation, refer to the Checklist [at Appendix AA] and determine actions that would be suitable and achievable to close the gaps.

Checklist	Yet to Commence	Work in Progress	Performing
Leadership expectations to support a learning culture			
LM requirements incorporated into EM doctrine level and approved by relevant authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LM requirements are embedded into relevant organisation practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholders trained in how to write, analyse and use well-constructed observations, insights and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Position descriptions/management roles for LM leaders defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LM is included in high level meeting agendas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mechanisms are in place to support LM at all levels within the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Governance			
LM Sponsor role defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LM requirements and expectations are documented, communicated and accessible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholder have been trained in relevant LM processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Process is in place for continuous improvement of the LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Process in place to protect the security of information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Process is in place for feedback to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes in place for sharing and change management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appropriate technology is in place to support LM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard Definitions			
LM language is defined and consistent with national approach	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholders have access to LM data dictionary and glossary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountabilities for management of data dictionary and glossary are clearly defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard LM language and definitions are reflected in doctrine and organisation practices and documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard LM language and definitions are reflected in technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Checklist	Yet to Commence	Work in Progress	Performing
Lesson Management Process			
LM Process role defined and assigned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documented LM process workflow and responsibilities including requirements for Data Collection, Data Analysis, Lesson Implementation and Monitoring implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes are in place for effective reviews eg after action reviews, debriefs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Good quality data inputs are provided eg observations, insights and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All parts of the agency know and use the LM system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholders have access to systems and processes to submit observations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Measurable changes (ie improvements) are occurring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collaboration networks are in place for sharing of lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LM subject matter experts available to support LM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholders have ready access to supporting resources eg tools, templates, guidelines, FAQs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes and technology in place to capture data eg observations as well as store, sort and distribute information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standards are in place for maintaining acceptable level of data quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes are in place for managing sensitive and legal issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes are in place for managing sensitive information eg lessons that may lead to disclosure of personal, ethical or safety issues or potentially incriminating information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Roles and Responsibilities			
LM roles defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Responsibilities for each role clearly defined and communicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix I – Glossary

Term	Definition
Business Continuity Management (BCM)	Provides for the availability of processes and resources in order to ensure the continued achievement of critical strategic objectives
Business Continuity Plan (BCP)	Documents the procedures and other information to be followed by business units in the event of an incident or crisis
Business Impact Analysis	The process of analysing business functions and the effect that a business disruption might have upon them
Critical Business Function	The vital function without which an organisation will either not survive or will lose the capability to effectively achieve its critical strategic objectives
Disruption event	An event that interrupts normal business, functions, operations, or processes, whether anticipated (eg cyclones, political unrest) or unanticipated (eg blackout, terror attack, technology failure or earthquake)
Emergency Management	The organisation and management of resources and responsibilities to ensure a co-ordinated response by all agencies having responsibilities and functions in emergencies
Enterprise Risk Management Framework	Components that provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management processes throughout the organisation
icare	icare is the independent agency to protect and insure the people, business and assets for NSW. It provides a network of communities for the NSW Government sector concerning a range of risk management disciplines including safety, health, recovery, enterprise risk and organisational resilience
Lesson Management (LM)	Is an overarching term that refers to collecting, analysing and disseminating experiences from operations, events, exercises, programs and reviews
Maximum Tolerable Period of Disruption (MTPD)	Time it would take for adverse impacts, which might arise as a result of not providing a product/service or performing an activity, to become unacceptable Also known as “Maximum Allowable Outage” (MAO)
Organisational Resilience (OR)	The ability to anticipate, prepare for, respond to and adapt to incremental change and sudden disruptions, so as to continue the delivery of products and services and meet customer expectations
Practitioner	The person/s who has responsibility for developing or maintaining organisational resilience
Recovery Point Objective	The amount of data loss that can be tolerated
Recovery Time Objective	The period of time required to fully re-establish adequate resource requirements
Risk Appetite	The amount of risk the organisation is willing to accept based on the level of residual risk and effectiveness of controls