

Effective COOP Planning

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- **How do emergency plans and continuity plans differ?**
 - **Emergency management plans and continuity of operations plans serve very different purposes. There are only small areas of overlap.**
 - **Emergency management plans address operational emergencies and are intended to address situations of relatively short duration.**
 - **Continuity of operations plans are intended to continue essential activities and functions, and need to be separate from EM plan.**



Building Your Approach

1. Generate a team vision....

- Carrying on the Lab’s “business” through (that is, *in spite of*) disruptions
- “Business” is everything the Lab does
- ‘Disruptions’ include more than operational emergencies



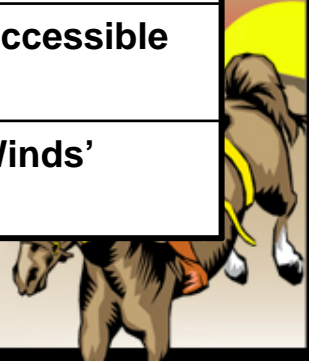
2. Examine the risks you want to look at....

- Go with an all hazard approach
- Examine a broad range of natural, technological, and business threats



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Legal Problems	Labor Disputes	Budget Changes	Terrorist Event
Multi-tenant Sites	Denial of Svc Attacks	Blackouts	Virus Attacks
Medical Emergencies	Vandalism	Winter Weather	Loss of Records
Espionage	Civil Unrest	Sabotage	White Collar Crime
Wild Fire	Workplace Violence	Computer Failure	Contract Change-out
Fire within Building	Pandemic	Computer Hacking	Facility Damage
Unauthorized Access	Tornadoes	Flooding	HVAC Failure
Supply Disruptions	Employee Morale	Plumbing Failure	Earthquake
Decision-making Failures	Cyber-security Incidents	Vendor Bankruptcy	Facility Inaccessible
Loss of Key Staff	Severe Storms	Negative Publicity	Political 'Winds'



3. Decide what type of a planning approach you want to use....

- There are lots of approaches, plan types, titles, purpose statements, etc.**
- Look at what you have now and what you want for a long range end-state.**



Lots Of Plan Types

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Plan	Purpose	Scope
Continuity of Operations Plan (COOP)	Provide procedures and capabilities to sustain an organization's essential, strategic functions for extended period	Addresses the subset of an organization's missions that are deemed most critical; usually written at senior management level; not IT-focused
Business Continuity Plan (BCP)	Provide procedures for sustaining essential business operations while recovering from a significant disruption	Addresses business processes; IT addressed based only on its support for business process
Business Recovery (or Resumption) Plan (BRP)	Provide procedures for recovering business operations immediately following a disaster	Addresses business processes; not IT-focused; IT addressed based only on its support for business process
Continuity of Support Plan/IT Contingency Plan	Provide procedures and capabilities for recovering a major application or general support system	Fills role of IT disaster recovery plan; addresses IT system disruptions; not business process focused
Disaster Recovery Plan (DRP)	Provide detailed procedures to facilitate recovery of capabilities at an alternate site	Often IT-focused; limited to major disruptions with long-term effects
Emergency Management Plan (EP)	Provide coordinated procedures for minimizing loss of life or injury and protecting property damage in response to a physical threat	Focuses on personnel and property particular to the specific facility; not business process or IT system functionality based



4. Look at which organizations are already involved in planning....

- **Emergency Preparedness**
- **Information Technology**
- **Operations**
- **Supporting service organizations**



- **Responsible for INL Emergency Plan / RCRA Contingency Plan (PLN-114)**
- **Tasked by our Leadership Management Team (LMT) to build Pandemic Plan**
- **Developed team for building Pandemic Plan – which will become a COOP segment**
- **Developed conceptual COOP approach**



5. Draw a picture of what might happen and what the associated impacts are....

- Natural (regional hazards)**
- Technological (power failures)**
- Population events (pandemic)**
- Malevolent (workplace violence)**



6. Use a graded approach....

- How bad can it get?
- What if it does not get quite that bad?
- Concentrate on the potential impacts



Proposed Graded Approach

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EVENT LEVEL	EVENTS	IMPACT	ESSENTIAL SERVICES AND PERSONNEL
<p>1</p>	<p>Sustained or rolling power outages forecast to last a week or longer</p> <p>Catastrophic dam failure (1 of 3)</p> <p>Pandemic influenza with projected major absenteeism for one or more months</p>	<p>Major to all organizations and employees</p>	<p style="color: red; text-align: center;">MINIMUM SAFE</p> <p>Access to INL site restricted to those identified on CMT approved list.</p> <p>Non-essential facilities are shut down. Utilities may be off.</p> <p>Essential facilities as defined by CMT have minimum staffing.</p> <p>Few or no services.</p>



Graded Approach (Cont'd)

EXPECT THE UNEXPECTED

EVENT LEVEL	EVENTS	IMPACT	ESSENTIAL SERVICES AND PERSONNEL
<p style="text-align: center;">2</p>	<p>Regional power outage > 72 hrs</p> <p>Seismic event with damage to >50% buildings</p> <p>Pandemic influenza with >20% absenteeism or other substantial impacts to INL organizations</p>	<p>Substantial to all organizations and employees</p>	<p style="color: red;">ESSENTIAL ONLY</p> <p>Access to INL site restricted to those identified by a Division Director or above.</p> <p>Non-essential facilities are “dry and dark.” Designated personnel provide periodic safety and security checks.</p> <p>Essential facilities as defined by CMT have minimum staffing.</p>



Graded Approach (Cont'd)

EXPECT THE UNEXPECTED

EVENT LEVEL	EVENT	IMPACT	ESSENTIAL SERVICES AND PERSONNEL
<p style="text-align: center;">3</p>	<p>Regional power outage >24 hrs</p> <p>Seismic event with impacts on region</p> <p>Severe winter storm >72 hrs</p> <p>Influenza outbreak with ~20% absenteeism for several weeks</p>	<p>Significant to most organizations and some employees</p>	<p style="color: red;">LIMITED ACTIVITY</p> <p>Access to INL and STC facilities restricted to those identified by a Department Manager</p> <p>Some non-essential facilities are closed or on very limited ops.</p> <p>Essential facilities as defined by CMT have limited staffing.</p> <p>Support services limited.</p>



Graded Approach (Cont'd)

EXPECT THE UNEXPECTED

EVENT LEVEL	EVENTS	IMPACT	ESSENTIAL SERVICES AND PERSONNEL
4	Seismic event Failure of (#) network servers Forecast shortage of critical resources (fuel) Influenza outbreak with ~10% absenteeism for several weeks	Impacts limited to involved organizations and some employees	REDUCED ACTIVITY Assess non-essential facilities to determine need to operate. Essential facilities staffed and operating if capable. Support services may require re-allocation and may be delayed.



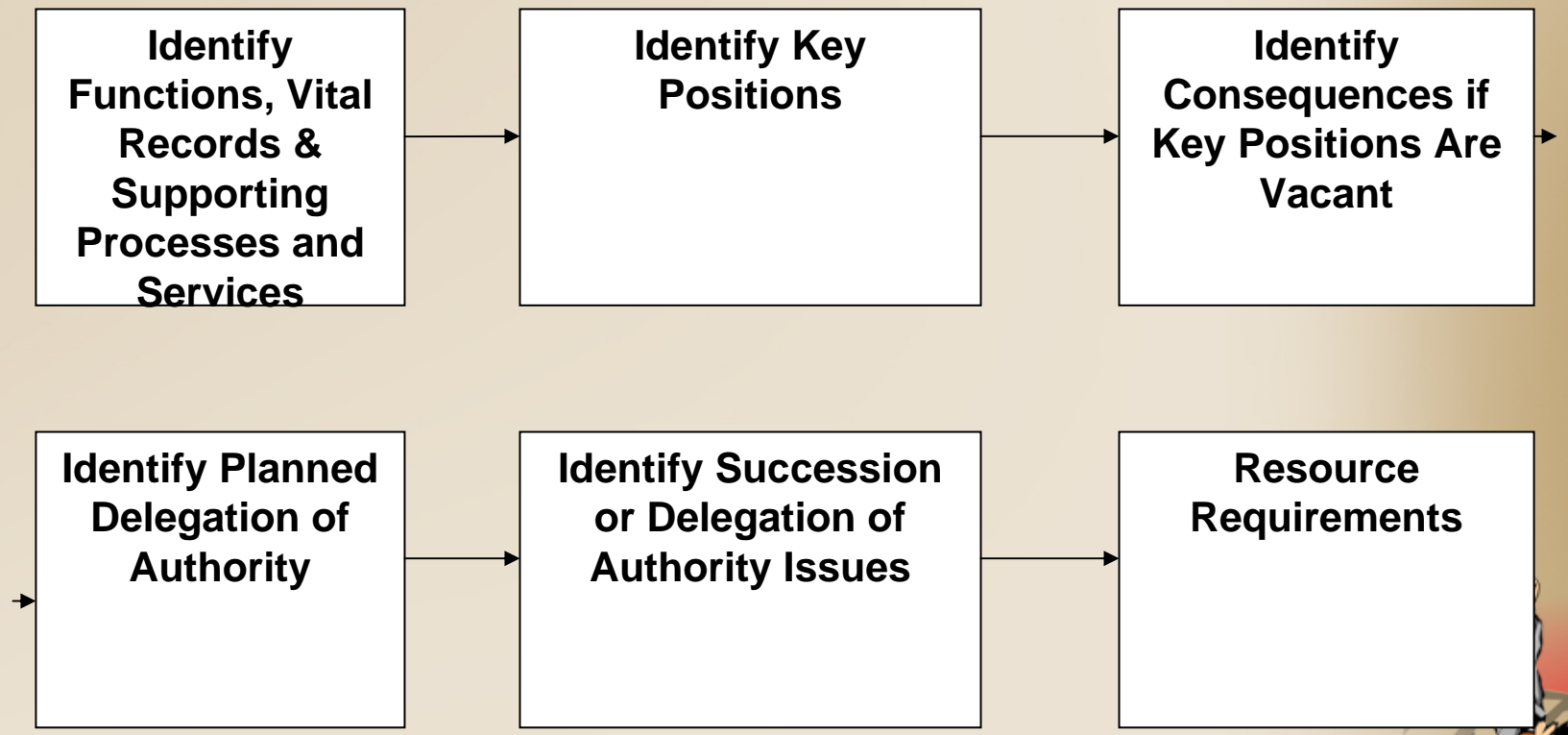
7. Lay out the steps to a business impact analysis....

- Several different models available**
- Determine the level of detail that you want**
- Are you going to use an automated or manual system?**



Sample Planning Sequence

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8. Test and deploy process for data entry and management....

- Flow down to working organizations**
- Let the organizations populate data**
- Have a process for quality (and reality) checks**



9. Have a plan to maintain the data....

- **Initial entry**
- **Scheduled maintenance**
- **Management directed updates**



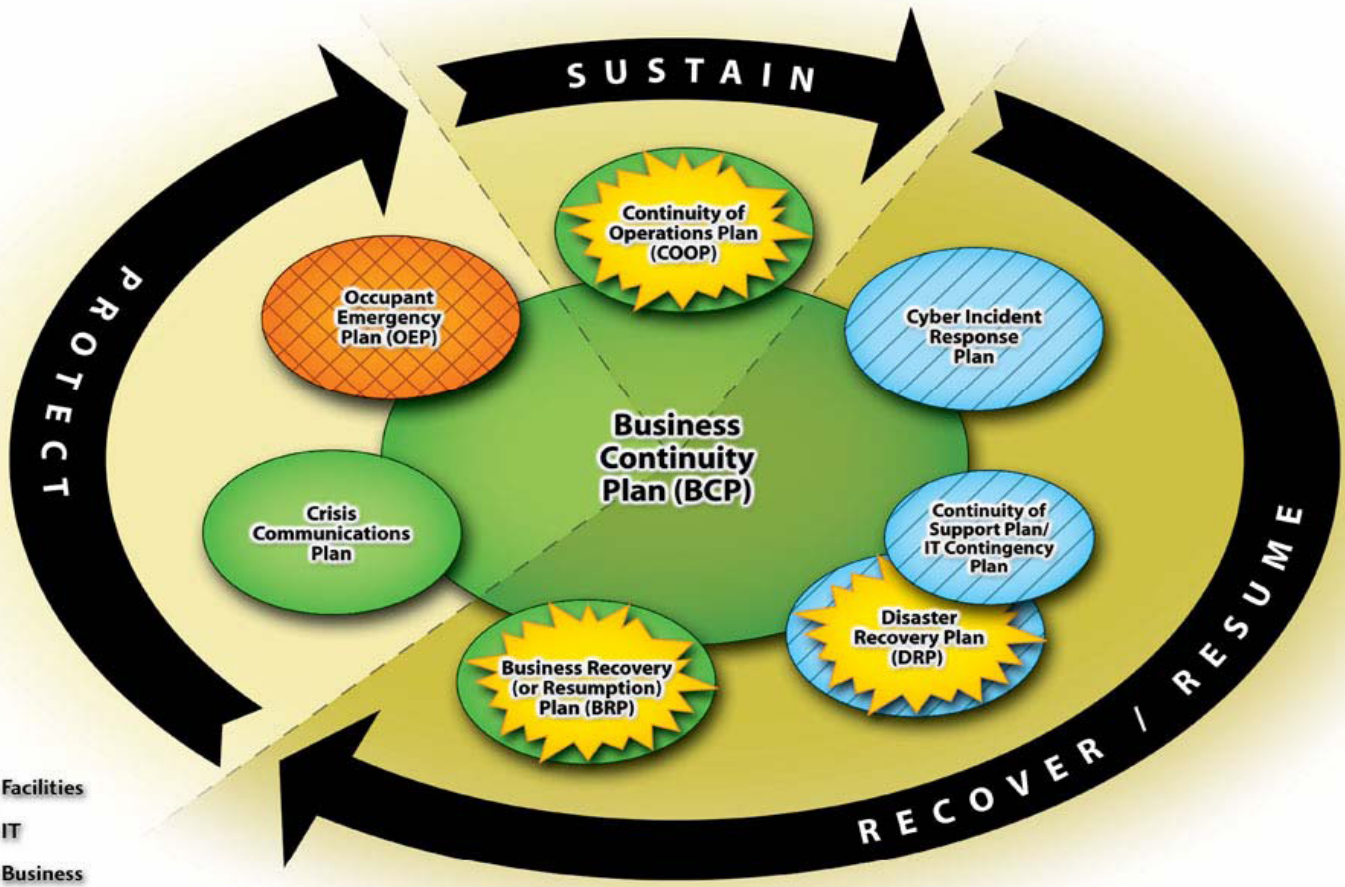
10. Consider the ongoing life cycle of the program....

- Data can change rapidly**
- Out of date data may not be of any use to management**
- You may not have time to update data before or during an event**



Plan Life Cycle Approach

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- Legend**
- = Facilities
 - = IT
 - = Business
 - = Major Impact



Thanks for your attention!

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