OSC|10
Ohio Safety Congress & Expo

Business continuity planning - sometimes the first step is the hardest
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Thursday, April 1, 2010 10:30 to 11:30 a.m.

Introduction

- Currently a mass casualty planner at the Ohio Department of Health
- Previously the Pandemic Influenza Planner for the Columbus Department of Public Utilities
- 18 years experience in Environmental, Health, and Safety Consulting

BCP vs. COOP

- *Business Continuity Plan (BCP)*
  - Private sector focus
- *Continuity of Operations (COOP) Plan*
  - Government sector focus

Goal: The ability to sustain mission-critical systems and processes during an unplanned interruption event.

Learning Objectives

- At the conclusion of this presentation, attendees will be able to:
  - Distinguish between critical, essential, and non-essential functions.
  - Identify equipment, documents, and systems that support critical and essential functions.
  - Recognize potential planning challenges and opportunities.
  - List the additional elements that should be included in a comprehensive COOP.

Frame of Reference

Typical components of a COOP Plan include:

- **Critical and Essential Functions**
- Orders of Succession
- Delegations of Authority
- Alternate Facilities
- Interoperable Communications
- **Vital Systems, Equipment, Records, and Databases**
- Human Capital Management
- Training, Testing, and Exercises
- Devolution
- Reconstitution

Step 1: *Explain the purpose and process to senior management and gain their support.*

(Or your planning will go nowhere.)

Purpose/Process

- Purpose
  - Minimize/mitigate financial loss
  - Protect the safety of employees
  - Ensure the continued availability of critical services/functions
- Process
  - Enterprise-wide senior level management meeting
  - Functional unit management meeting
  - Functional unit employee meetings
  - Department/Section meetings

CAUTION!

Be prepared to explain how the information you collect **WILL** be used and how it will **NOT** be used.

Step 2: *Identify your organization's functional units and learn what they do.*

DPU Functional Units

- 3 water plants
- 2 wastewater treatment plants
- Sewer maintenance and operations
- Compost
- Watershed management
- Water distribution maintenance
- Water control center
- Building maintenance
- Vehicle maintenance
- Street lights
- Overhead and underground power
- Meter reading
- Meter repair
- Engineering/Design
- Permitting
- Dispatch
- Customer call center
- Administration

Do Your Research

- Organizational charts
- Strategic plans
- Annual reports
- Emergency plans
- Tactical communications plans
- Operational procedures
- Information technology disaster recovery plans
- Regulatory reports and inspection records
- Strike plans

Step 3: *Identify all job classifications within each functional unit and ALL tasks performed by these individuals.*

Hint:

Decide whether you are going to step all functional units through the process together or one at a time.

Example: Water Plant

- Plant Manager
- Operators
- Building and Plant Maintenance Workers
- Storekeepers/Inventory Control Specialists
- Office Worker/Administrative Assistant

Example: Operator Tasks

- Visually inspect all areas of the plant for proper equipment operation.
- Analyze water quality control samples for pH, fluoride, chlorine, and turbidity.
- Oversee capital improvement projects.
- Fill chemical day tanks.
- Manually operate valves, gates, etc. as needed.
- Treat water; turbidity removal.
- Dispose of hazardous waste.
- Monitor sludge pumping.
- Fluoridate water.
- Disinfect water.
- Complete monthly, quarterly, and annual reports.

Step 4: *With managers AND representatives from each job classification, categorize each task as critical, essential, or non-essential.*

CAUTIONS!

No one likes to be thought of as being non-essential!

Often, managers are not critical!

Reiterate Your Purpose

- *Because the safety and health of our employees are core values of this organization, reasonable and prudent measures will be taken to protect employees from unreasonable risks in the event of an emergency. Such measures could include the suspension of noncritical work functions and reducing the number of employees reporting for duty. For this reason, three categories of employees and functions have been identified:*

Define Your Terms

- ***Critical Functions*** – Functions that, if unavailable, could lead to a major service outage. These functions must be performed to meet the plant's mission.
- ***Critical Employees*** – Without these employees, the plant cannot fulfill its mission under normal or emergency situations.
- ***Essential Functions*** – Functions that, while essential to normal plant operations, could be suspended in an emergency without compromising the plant's mission.
- ***Essential Employees*** – Employees who perform essential functions.

Define Your Terms *(cont.)*

- ***Non-Essential Functions*** – Functions that can be suspended in an emergency without compromising the plant's mission.
- ***Non-Essential Employees*** – Employees who perform non-essential functions. These employees enhance the quality and value of services provided by the plant but are not essential to fulfill the plant's mission.

Tie Tasks to Your Mission Statement

- *The Plant's mission is to treat and distribute potable water to Columbus residents and contracting communities, and to protect and develop water sources to help ensure adequate water supply in the future.*

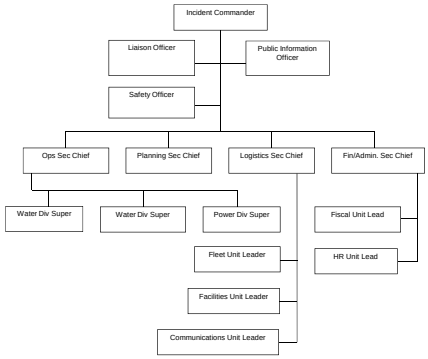
Example: Operator Tasks

- Visually inspect all areas of the plant for proper equipment operation.
- Analyze water quality control samples for pH, fluoride, chlorine, and turbidity.
- Oversee capital improvement projects.
- Fill chemical day tanks.
- Manually operate valves, gates, etc. as needed.
- Treat water; turbidity removal.
- Dispose of hazardous waste.
- Monitor sludge pumping.
- Fluoridate water.
- Disinfect water.
- Complete monthly, quarterly, and annual reports.

Consider Critical Time Requirements

- Is it necessary for the function to be performed within a specific time frame?
  - Payroll
  - Regulatory reporting
- What are your anticipated operational planning periods for specific incidents?
  - Wind storm
  - Pandemic

Don't Forget Incident Command System Roles



Don't Forget Your ICS Backup Plan

ICS Role	First Alternate	Second Alternate
Incident Commander	Deputy Director	Deputy Director
Liaison Officer	Regulatory Compliance Advisor	Regulatory Compliance Advisor
Public Information Officer	Public Relations Specialist II	Public Relations Specialist II
Safety Officer	Occupational Safety & Health Unit Manager	Safety Program Manager
Operation Section Chief	Power & Water Assistant Administrator (Water)	Water Supply Treatment Coordinator
Planning Section Chief	Management Analyst II	Management Analyst I
Logistics Section Chief	Plant Maintenance Manager	Sewer Maintenance Manager
Finance/Administration Section Chief	Fiscal Manager	Fiscal Manager
Water Division Supervisor	Water Supply Treatment Coordinator	Engineer IV
Waste Water Division Supervisor	Sewers & Drains Division Assistant Administrator	Sewers & Drains Division Assistant Administrator
Power Division Supervisor	Electricity Distribution Manager	Electricity Distribution Assistant Manager
HR Unit Leader	Human Resources Program Mgr	Human Resources Program Mgr
Fleet Unit Leader	Fleet Coordinator	Auto Mechanic Supervisor II
Fiscal Unit Leader	Fiscal Manager	Management Analyst II
Facilities Unit Leader	Building Maintenance Manager	Plant Maintenance Manager
Communications Unit Leader	Manager	Senior Storekeeper

Step 5: *Identify vital systems, equipment, records, and data bases needed to support each task.*

Example: Analyze water quality control samples for pH, fluoride, chlorine, and turbidity

- Vital Systems or Equipment
  - Vehicle to collect daily distribution samples
  - Fuel
  - Chlorine meter and batteries
  - Refrigerator to store reagents
  - Power (for refrigerator)
  - Sample bottles and lids
  - Calibration gas
- Vital Records or Data Bases
  - Calibration log
  - Supervisory Control and Data Acquisition system
  - Bench sheets
  - Laboratory Information Management System

Other Things to Document

- Location of systems, equipment, records, and data bases.
- Person responsible for them.
- Unique risks or seasonal sensitivity.
- Maintenance frequency and responsibility.

Planning Challenges and Opportunities.

Challenges

- You will need to ask a lot of "dumb" questions.
- You may encounter people who have a hard time envisioning the effects of a catastrophic event.
- You may encounter people who are bent on working against you.
- Unions.
- You will be perceived as a threat to people.
- The project may seem overwhelming.

Opportunities

- You might:
  - Uncover opportunities to improve efficiencies and save money.
  - Provide justification for additional equipment or personnel.
  - Help prevent "brain drain."
  - Launch hazard vulnerability assessments and business impact analyses.
  - Get people thinking about allocation of scarce resources and supply chain management.
  - Move the organization away from hazards-based planning to capabilities-based planning.

Thank You

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