

FEDERATED BUSINESS CONTINUITY PLANNING

CONCEPT OF OPERATIONS

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Federated BCP Command Structure

Business Continuity Planning (BCP) is a program that assesses the existing operations, risks, and customer relationships of an organization for the development of organizational preparedness. This federated BCP model develops an integrated approach to ensuring that critical processes continue to function during and after a disaster or incident that interrupts the operation of the organization and its business partners. The Homeland Security national incident management system (NIMS) incident command system (ICS) provides the basis for this BCP command structure.

The federated BCP command structure is designed to benefit the operational environment with coordinated emergency management (EM), IT disaster recovery (ITDR), continuity of operations planning (COOP), and collaborative information management (IM) BCP elements. Roles have been assigned as they pertain to executive management and decision makers. Federated BCP elements are supported through a BCP COOP program office. The four elements provide core services to keep the organization in operation during time of crisis. Similarly, the finance and administration functional area has been added because of critical importance during BCP activation. The federated BCP command structure is illustrated in figure 1.

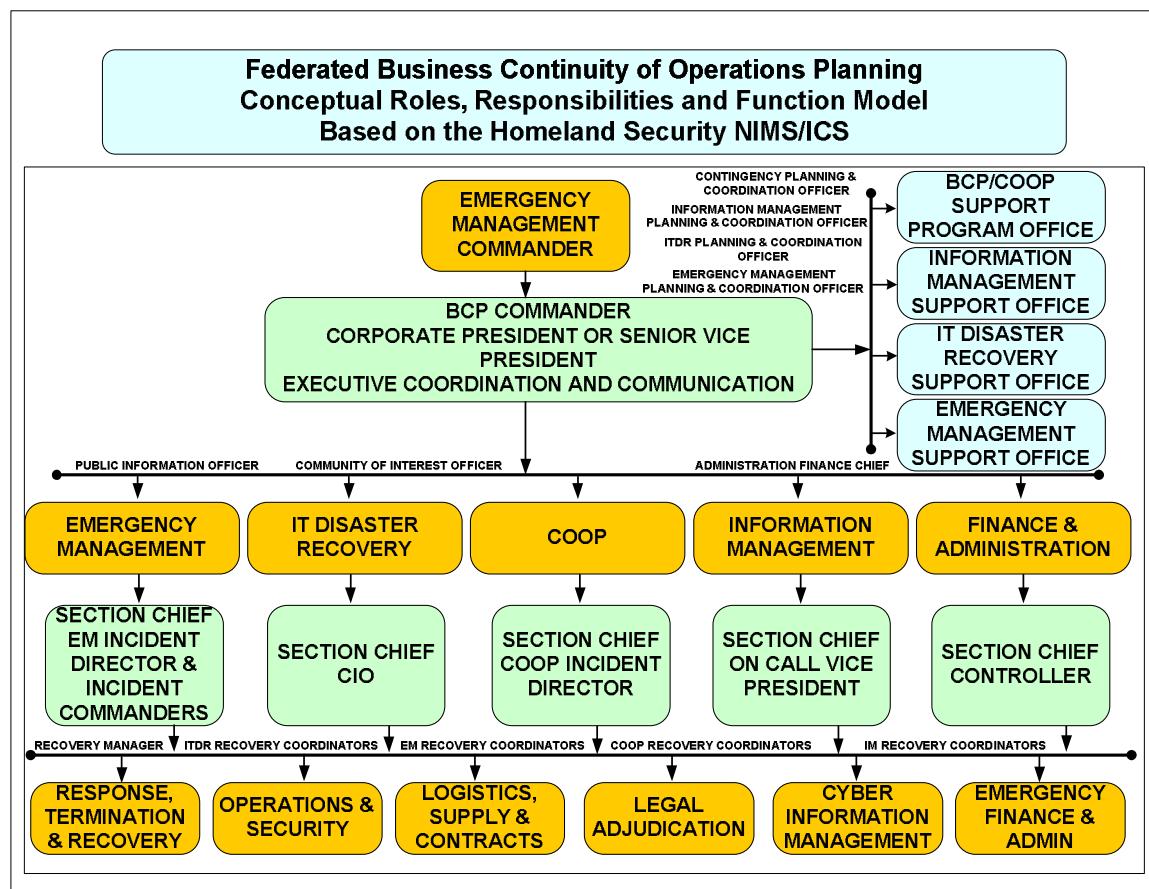


Figure 1: BCP Command Structure

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A culture of continuity event awareness is needed throughout the organization and leadership.

BCP Roles

- Emergency Management Commander (EMC) - The EMC is responsible for all emergency operations until threats and hazards to people, property and the environment are terminated. The EMC is a leadership position that owns the responsibility for executive decisions and communications.
- Emergency Incident Director (EID) – The EID is responsible for all emergency operations coordination and communications and doubles as the emergency management section chief. The EID is in place to coordinate multiple IC's during large scale multi-site emergency management events.
- Incident Commander (IC) - An IC is responsible for on-site field emergency operations until threats and hazards to people, property and the environment are terminated. IC's report to the EID and when necessary the EMC.
- BCP Commander (BC) - The BC is responsible for overall BCP coordination and communications. The BC declares BCP activation and termination in coordination with the EMC. The BC is a leadership position that owns the responsibility for executive decisions and communications.
- COOP Incident Director (CID) – The CID is responsible for all COOP operations coordination and communications and doubles as the COOP section chief. The CID is in place to coordinate multiple COOP coordinators across a wide area during large scale multiple site and organization continuity events.
- BCP Planning and Coordination Officer (PCO) – Each COOP, ITDR, EM and IM PCO is responsible for facilitating planning and training activities in times of order and provides coordination across the enterprise and collaborative business partners during BCP activation. PCO's report to the BCP program office and coordinate closely with the PIO, CoIO and members of the leadership advisory. PCO's ensure consistency in development and resources across the organization.
- Public Information Officer (PIO) – The PIO is responsible for public relations communication.
- Community of Interest Officer (CoIO) - The CoIO is responsible for business partner and oversight (USG) communication.
- Leadership Advisory (LA) – The LA is a designated group of corporate officers and section chiefs with the responsibility to provide accurate and truthful information to executive leadership. Critical corporate decisions for continuity, sustainability and survivability will rest with the LA.
- Administrative Finance Chief (AFC) – The AFC is responsible for overall coordination of emergency and contingency funding and cost collection.
- Section Chief (SC) – An SC is responsible for coordination of area activities and reporting to the EMC and BC any issues that require higher level attention
- Recovery Manager (RM) – The RM is responsible for all mission recovery coordination, which includes the restoration of support services needed to perform mission during BCP operations and full recovery to normal operations

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- Recovery Coordinator (RC) - An RC is responsible for supporting the RM by facilitating the resumption and recovery of EM, ITDR, COOP, and IM BCP elements

This functional model for BCP is considered to be a distributed solution that provides responsiveness in any situation and allows individuals to solve the problems at hand. The majority of recovery work will be done by operations teams under the direction of the section chiefs. The BCP command structure is intended to facilitate consistency in approach and communications. Each incident is unique and requires evaluation of vulnerabilities and threats to determine appropriate action. Such a distributed solution will maximize value and provide dynamic response in the most difficult of times.

Figure 2 illustrates the coordination and overlap of EM and BCP facilitated through consistent executive, command, public, internal and external communications where vulnerabilities for each incident are examined. BCP activation is called for by the BC and cleared by the EMC when safe to proceed. When emergency management is not involved the BC assumes full authority of recovery operations. Note that appropriate levels of physical and cyber security must be maintained throughout the BCP life cycle.

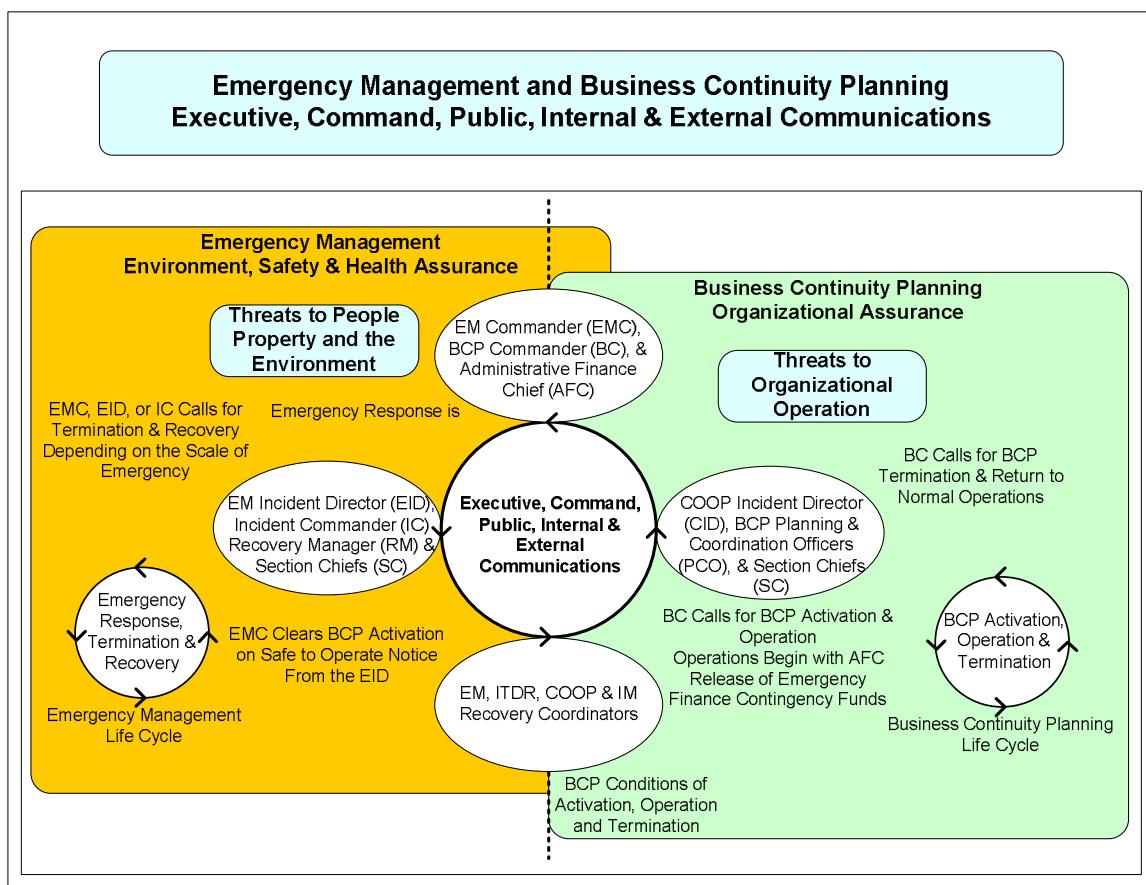


Figure 2: EM and BCP Coordination

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BCP Conditions of Activation, Operation and Termination

Emergency operations have established methodologies for emergency response rooted in the NIMS / ICS. These include roles and activities that define initial emergency response (activation phase), resolution of the emergency situation (termination phase) and return to normal operations (recovery phase). BCP activation will work in-kind with EM, meaning that the EMC will have authority of control for the BCP activation and operation phases for all operations of the organization. The EID will work with the EMC, the IC's and SC's to manage initial response through to the termination of the emergency situation. The emergency situation is terminated when threats and hazards to people, property and the environment are controlled and a safe environment is restored. Upon BC declaration of BCP activation, the COOP, ITDR, IM and EM PCO's coordinate BCP operation with the SC's and the recovery teams (recovery manager and recovery coordinators). Executive, command, public, internal and external communications are coordinated with the PIC and CoIO and the four BCP PCO's.

BCP Conditions of Activation

BCP activation is triggered when an incident is determined to threaten mission operations. Threats to mission operations include: threats to work force personnel, property and the environment requiring emergency response; threats to critical infrastructure that are essential to the operation of the organization (facilities, energy and water utilities, information and communication networks); threats to the operability of critical processes, supply chain and partnerships.

The BC declares BCP activation to initiate resumption and recovery services and communication. BCP activation puts into action mission operation contingency plans in order to sustain critical processes and services with the release of contingency funds availability from the AFC. The BC works in coordination with the EMC when emergency management is necessary to restore a safe working environment. When the safety to people, property or the environment are threatened the EMC assumes authority for recovery operations. Otherwise the BC assumes full authority of recovery operations.

BCP Conditions of Operation

BCP operations initiate upon BCP activation as contingency plans and recovery operations begin. Contingency operations run in conjunction with EM recovery operations through to completion of the BCP operations phase. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations. The BC declares that BCP operations are completed upon consensus from the EMC, PCO's, LA, SC's, RM and RC's.

BCP Conditions of Termination

BCP operations can be terminated when facilities, infrastructure and services are sustainable and reliable. The BC declares that normal operations may resume upon consensus from the EMC, PCO's, LA, SC's, RM and RC's. The AFC closes contingency funds availability upon return to normal operations.

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Critical Issues

BCP operations are dependent on planning, communication, coordination and security. Critical issues include:

1. Personnel Safety
2. Environmental Safety
3. Physical Security
4. Cyber Security
5. Identification of Critical personnel
6. Identification of Critical assets
7. Identification of Critical processes
8. Identification of Vital Records
9. Established Command Structure
10. Managed Command Communications
11. Managed Public Information and Safety Communications
12. Managed EM and BCP Internal Communications
13. Prioritization of Activities
14. Training, Testing and Continual Improvement
15. Timely Implementation
16. Managed Internal Work Force Information and communications
17. Managed Telecommute Work Force Information and communications
18. Managed External Partner and Oversight Information and communications
19. Managed Legal Adjudication and Information Protection
20. Managed Contractual Obligations