Mission Continuity Program
Elements of the BETH3 Model:
Loss of Building

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I think we may need to update our disaster recovery plan. This one suggests we all run around in circles shouting 'What do we do?!' 'What do we do?!!'
Purpose of today’s presentation

• Overview of the University's Mission Continuity initiative
  
• Overview of the BETH3 model
  – How it functions within the Mission Continuity effort at Penn

• More in-depth information about Loss of Building plans
Mission Continuity: vision

• Develop sustainable, University-wide program

• Uphold core missions of the University (research, teaching, service)

• Continue programs and systems that may be impacted or threatened in the case of a disruption to normal operations, a crisis, or a disaster.
Some definitions

• **Emergency response vs. continuity of operations**
  – Immediate actions vs. keeping critical functions of the organization going

• **Critical functions, processes or operations**
  – Necessary to keep key University services running

• **Incident response**
  – Usually for loss of facility
  – Includes evacuation, e.g.

• **Disaster recovery**
  – Recovering lost technology
History: criticality filters

- Spring/summer 2008: **criticality filters** completed by Schools and Centers
- Contents:
  - Inventory of **critical functions and assets** needed to maintain an organization’s mission
  - Information on **desired or required recovery time**
  - Whether recovery plans were in place
- Raised awareness
What we learned: oh, no!

– Over **2000** processes, functions or assets deemed **critical**
  • i.e., needed to be restored within 5 days
– Nearly **30%** were deemed necessary to be restored within **24 hours**
– Over **2/3** reported there were no plans
Results of the criticality filter

• Assembled committee to choose software
  – ISC, OACP, PSOM, Purchasing, EVP, Provost’s Office
• Database software Shadow-Planner selected winter 2009
  – Web-based
  – Configured and piloted FY09
Structure: Mission Continuity

Leadership

• Provide structure for Schools and Centers to develop plans

• Work with Mission Continuity Representatives and Plan Liaisons

• Provide training and additional support
  – askmc@lists: e-mail for help
  – Website
  – Monthly user group meetings
Structure, cont.: Schools and Centers

1. Determine their organization’s planning strategy and needs
   - Centralized vs. distributed model; PSOM probably do a combination
   - Staff needing training

2. Develop Mission Continuity Foundation Plans

3. Enter plans into Mission Continuity system

4. Test and maintain plans
Mission Continuity

Plan • Respond • Recover

Mission continuity planning is designed to ensure that the University is prepared to resume operations as efficiently as possible in the event of a crisis (such as a fire, flood, or other cause of interruption in operations). As part of Penn's Mission Continuity program, Schools, Centers and departments are responsible for developing mission continuity plans and recording them online using special software tailored for Penn, called Shadow-Planner.

Who is responsible?

Each School and Center will identify people responsible for developing and updating mission continuity plans. These plan liaisons and plan contributors will be trained in using the software, so they can easily enter and maintain their plans in the University's Shadow-Planner repository. A mission continuity representative will also be designated in each School and Center. These representatives will serve as a conduit for two-way communications and be responsible for sharing and distributing important program information within their organization and sharing lessons-learned and feedback with other program participants. Some individuals may serve in more than one role. For example, the same person may be both a plan liaison and plan contributor.

Who benefits?

The University benefits from having consistent and accessible mission continuity plans for all organizations and buildings. Should disaster strike, these plans will provide the information necessary to help Schools and Centers resume their operations as quickly as possible.

More information

On this site, you will find guidance on creating a mission continuity plan, links to the tools the University provides for mission continuity planning, information on where to get help, and details about the overall Mission Continuity program.

If you have questions or want more information about the Mission Continuity program, please send an email to askmco@lists.upenn.edu and someone will be in touch to address your concern or question.
School/Center strategy for creating Foundation Plans

• Distributed model: Provost’s Center, EVP, President’s Center

• Centralized model: SAS, Law, Annenberg, Nursing

• Hybrid: PSOM
Foundation Plan Components
defined by Provost and EVP

- Critical processes and functions
- Call lists
- Roles and responsibilities
- Building/facility information
- Necessary equipment and supplies
- Key technology and system applications
- Vital documents
- Key third-party vendor/partner information
Foundation Plan Methodology: BETH3

• Loss of Building

• Loss of Equipment
  – Includes vital documents

• Loss of Technology

• Loss of Human Resources

• Loss of Third-party Vendors/Partners
Loss of Building plans

• Two types of plans recommended:
  • Incident response
  • Continuity of operations
Incident response plans

• Immediate response to an event or crisis in the facility (within 2-3 hours)
  – Evacuation
  – Calls to first responders

• Response may vary
  – time of day, time of year

• Blue Book

• Activate communication plan for immediate response
Continuity of Operations

• Alternative facilities
  – Partner with another unit on campus

• Access to necessary supplies
  – Documents
  – Equipment

• Who can work from home?
  – Adequate computing capability, such as firewall issues, VPN, remote desktop access

• Activate communications plan
  – Forwarding phone calls
  – Splash page on website
Foundation Plan Structure

• Plan structure in database (Shadow-Planner)
  – Triggers, Actions, Responsible persons, Procedures
  – When, What, Who, How

• How it looks in the database
Triggers: often time-related

• **Duration**
  – Facility unavailable for:
    • 3 hours – 1 day
    • 1-3 days
    • 3 days - 1 week
    • 1-3 weeks
    • 3 weeks to 1 semester

• **Time of year**
  – Summer vs. academic year

• **Time of day**
  – During business hours
  – After hours
Sample plans: Continuity of Teaching/Research

- Committees assembled 2009-2010
- Representatives from undergraduate Schools and several Centers
- Concerned with continuity of instruction or research in the event of any kind of outage
- Total of 10 sample plans (BETH3) usable by any School
- Also usable by Centers as plan templates
### Sample Loss of Building Plan

#### Copy of Research -- Loss of Building

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Action</th>
<th>Responsible</th>
<th>Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. OUTAGE IN PART OR ALL OF ONE OR MORE BUILDINGS, DURATION UNKNOWN</td>
<td>1. Activate Initial Response plan as appropriate</td>
<td>Awaiting Documents</td>
<td></td>
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<tr>
<td></td>
<td>2. Establish outage response team and/or command center for follow-up activities, if appropriate</td>
<td>Awaiting Documents</td>
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<td></td>
<td>3. Secure building as much as possible, with special attention to confidential or sensitive records</td>
<td>Awaiting Documents</td>
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<td></td>
<td>4. Initiate communication plan as appropriate</td>
<td>Awaiting Documents</td>
<td></td>
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<td></td>
<td>5. Engage Public Safety and University executive leadership as needed</td>
<td>Awaiting Documents</td>
<td></td>
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<td></td>
<td>6. Engage FRES for mitigation activity</td>
<td>Awaiting Documents</td>
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<td>7. Engage mitigation vendors as needed</td>
<td>Awaiting Documents</td>
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<td>8. Engage EHRs as needed</td>
<td>Awaiting Documents</td>
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<td>9. Engage Risk Management as needed</td>
<td>Awaiting Documents</td>
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<td></td>
<td>10. Engage Vice Provost for Research as needed</td>
<td>Awaiting Documents</td>
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<td></td>
<td>11. Confirm scale of outage, possible duration, and range of solution set</td>
<td>Awaiting Documents</td>
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<td></td>
<td>12. Contact funding agencies as appropriate</td>
<td>Awaiting Documents</td>
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<td></td>
<td>13. Contact affected departments</td>
<td>Awaiting Documents</td>
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<tr>
<td></td>
<td>14. After building becomes accessible again, recalibrate equipment and perform other maintenance tasks to make facility usable</td>
<td>Awaiting Documents</td>
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<tr>
<td>2. BUILDING HOUSES ANIMAL FACILITIES</td>
<td>1. Conduct actions listed in first trigger as necessary</td>
<td>Awaiting Documents</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Notify ULAR</td>
<td>Awaiting Documents</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Notify IACUC</td>
<td>Awaiting Documents</td>
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<td>4. Initiate ULAR procedures</td>
<td>Awaiting Documents</td>
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<td></td>
<td>5. Work with ULAR, Associate Dean and faculty to identify alternative housing options/relocation and/or reoccupancy planning</td>
<td>Awaiting Documents</td>
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<tr>
<td>3. BUILDING HOUSES WET BENCH RESEARCH</td>
<td>1. Conduct actions listed in first trigger as necessary</td>
<td>Awaiting Documents</td>
<td></td>
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<tr>
<td></td>
<td>2. Confirm conditions and status of utilities and building systems and their ability to service research agenda, utilizing the following hierarchy: human safety, animal safety, stored specimen safety, equipment safety</td>
<td>Awaiting Documents</td>
<td></td>
</tr>
</tbody>
</table>
Constructing a plan

• Start with Pre-Planning Questionnaire (PPQ)
  – Available on Mission Continuity website
  – Use for
    • Interviews
    • Ask relevant people to complete all or part of it
• Make into plan in a spreadsheet template
  – Template available on Mission Continuity website
  – Cut and paste information into Mission Continuity tool
Mission Continuity training and support

Knowledge Link modules:
– Mission Continuity Knowledge Building module
– Mission Continuity: Shadow-Planner Application
– Information Security and Privacy

PLUS:
• Additional site visits and workshops on demand
• Website
• Monthly user group meetings
• askmc@lists
Finding us

• Website:  www.upenn.edu/missioncontinuity

• Questions?  askmc@lists.upenn.edu

• Shadow-Planner:  http://missioncontinuity.upenn.edu