

# **Application of DAS Statewide Enterprise Model to Business Continuity Planning (BCP)**

*Current Needs Assessment*



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## Document Revision History

<b>Version Number</b>	<b>Date</b>	<b>Description</b>
1	5/22/07	First draft Ron Miles and Shannon Mecham
2	5/23/07	w/ Mary Philp's comments
3	5/25/07	Final Draft
4	7/17/07	Community Corrections
5	7/25/07	Language change page 7

# Business Continuity Planning

## Current Needs Assessment

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### 1. Current situation:

- The Oregon Department of Corrections (ODOC) is comprised of fourteen institutions in various locations around the state, with central ODOC offices in Salem.
- In the event of any emergency, natural or man made, each institution is equipped with universal Emergency Preparedness Manuals (EP). These manuals allow for flexibility of implementation.
- Through training and practice, the EP manuals provide instruction for each institution to stand in place for up to 72 hours without external support.
- ODOC does not have a statewide recovery and restoration plan. In the event of an actual disaster, the absence of a recovery and restoration plan could cripple ODOC operations.
- Critical functional units within ODOC have developed or are developing preliminary business contingency plans. These units include Information Systems (ISD), Pharmacy, Payroll and Benefits, Fiscal Services, Victim Information Notification Everyday (VINE), Health Services, Offender Information and Sentence Computation (OISC), Community Corrections and Oregon Board of Parole and Post Prison Supervision.
- The department has purchased a business continuity-planning tool from eBRP Solution, Inc. that will help the department identify and maintain recovery plans related to the work force, property/buildings, utilities, vendors, and multiple other aspects of business recovery from an emergency.
- In 2006 DAS developed policy #107-001-010, which requires ODOC to develop and implement a BCP that insures critical business functions are able to continue throughout an emergency.

- External affiliates are instrumental to ODOC's long-term recovery and restoration.
- Fully develop, test, implement and maintain disaster recovery and business continuity plans.

## 2. Desired or necessary situation:

A business continuity plan that will:

- Quantify the impact of any kind of statewide emergency within the ODOC in terms of dollars, time, services, and work force.
- Identify acceptable potential losses to the ODOC as well as acceptable one-time and annual costs due to a statewide emergency.
- Address the ODOC's ability to prioritize and maintain statewide services in the event of emergencies that result in loss of workforce; loss of utilities; loss of property/buildings; and loss of Information Technologies (IT).
- Identify, prioritize and provide for the restoration of critical business functions provided by the department within 1 hour; 24 hours; 72 hours; 7 days; and 30 days.
- Identify, prioritize and provide for the restoration of critical local business and intergovernmental interactions within 1 hour; 24 hours; 72 hours; 7 days; and 30 days.
- Establish alternative statewide command and business centers if current centers such as the Dome building or the Central Distribution Center are disabled or destroyed.
- Remain dynamic and can be implemented, maintained, tested and adapted to changes in the status quo of the department and the state.
- Secure commitment from ODOC labor and management to implement the plan.
- Gain commitment from ODOC to dedicate the necessary resources - physical and financial - to research, design and implement the plan.

## Assumptions

- Community Correction and reporting field offices are included in ODOC plan.
- In the event of an actual state-wide emergency, most federal, state, county, city, and community resources such as police, fire, medical services and food supplies will be used to aid the citizens in the areas that are hardest hit.
- Interagency support agreements with other public safety partners exist; however, ODOC must initially be able to maintain operations as a “stand-alone” entity, without shared resources.
- This type of continuous operation is time limited. Food supplies, staff response, water, power, structural integrity of buildings, and functional IT services are examples of areas that can be manipulated to meet short-term objectives which require external services over longer periods of time.

## Current Business Processes

- At this time ODOC has no comprehensive BCP that would provide for the restoration of statewide internal services or interactions with other state agencies.
- The current business practice assumes there will be some institutions that will be unaffected by an event and therefore will be available to assist those institutions that are impacted. The current plans also assume the availability of local police, fire, ambulance, and hospital to assist in restoration process of normal operations at the institution level.
- If a regional or state-wide disaster were to occur that included the capitol and surrounding area, many critical functions of the department would be affected such as ODOC’S Executive Management Team (EMT); Central Distribution Center (CDC); IT resources; inmate program management; staff training, and financial services, all located in the Salem area.

## Products and Services

- The primary product and service provided by ODOC is public safety. Current business practices achieve the short-term goal of maintaining safe and secure operation of the institutions. This accomplishes the most critical business function provided by the ODOC – to promote public safety by holding inmates accountable in a safe and secure environment.
- The impact of the ODOC is much greater than public safety. ODOC is a large organization providing approximately 4500 jobs to Oregonians. ODOC purchases a variety of goods and services from local, national, and international companies and provides many services to state and local communities where ODOC offices, institutions and other properties are located.

## External Actors

### CRITICAL

1. DAS – DAS policy is driving this, they are also significant as an influencing and involved factor.
2. ODOC – The agency that is responsible for implementing the changes that result from the analysis. ODOC is also significant as an impacted, influenced and involved party.
3. Governor, Ted Kulongoski – The best interests of the state are his responsibility and the DAS policy is a result of his executive order.
4. ODOC Director, Max Williams – The DAS policy directly names the Director of ODOC as the responsible party for compliance.

### IMPACT/IMPACTED

1. Champions, John Koreski and Stan Czerniak – As the EMT representatives for this concept, they are directly impacted by the project as a whole.
2. Central Distribution Center – As the primary provider of supplies for the department any business continuity plan will directly impact CDC and all other ODOC warehouses.

3. Dome Building – Offices for executive and policy level employee’s who will lead most response teams formed under the BCP.
4. Institutions – All institutions will be directly impacted by the BCP by maintaining safe and secure operations until the plan is completed and ready to be implemented.
5. Brentwood, other ODOC offices or properties – All locations within ODOC will be impacted by the BCP, including the possibility that the site could be used for an alternate purpose.
6. Inmates – The BCP will impact inmates as security and inmate health and welfare are affected.
7. Inmate Families – The BCP will impact inmate families through personal concerns for inmate welfare during an emergency.
8. Staff – The health and safety of all staff will be a primary concern and focus of the BCP.
9. EMT – All aspects of the operations of ODOC will be involved in the BCP, therefore all of the executive management team members will be impacted by the BCP.
10. Local Communities – Communities surrounding each institution may assume that the institutions will be a resource for them in a time of emergency. This assumption may not prove to be true in an actual emergency.

#### INFLUENCE/INFLUENCED

1. Department of Human Services (DHS) – Due to the significant involvement of DHS with former inmates and inmate families, the services provided by DHS will be influenced by the ODOC BCP. Depending upon the nature of the emergency DHS is potentially an impacted party.
2. Department of Forestry – Due to significant statewide interaction through the use of ODOC inmate work crews and wild land fire support, the operations of the ODF will be influenced by the BCP. Depending upon the nature of the emergency ODF is potentially an impacted party.
3. City and County Jails, Law Enforcement Agencies – Depending upon the nature of the emergency the BCP may influence or impact these parties. ODOC’s ability

4. Vendors – Depending upon the nature of the emergency the BCP will influence or impact these parties. ODOC’s ability to purchase and receive goods and the strain placed upon these companies during an emergency response to their community will determine the degree of the impact or influence.

#### INVOLVED

1. Labor Organizations – The health and well-being of their membership will be a concern.
2. Volunteers – The health and well-being of volunteers with ODOC will be a concern as well as the delivery of services provided by the volunteers. The nature of the emergency will determine the degree of involvement.
3. Contractors – The health and well-being of contractors with ODOC will be a concern as well as the delivery of services provided by the contractors. The nature of the emergency will determine the degree of involvement.
4. Local Emergency Services, Fire and Ambulance – The nature of the emergency will determine the degree of involvement.

#### INTERESTED

1. Oregonians – All of the citizens, lawmakers and service providers will be interested to know that ODOC is continuing to protect their communities during times of emergency, by maintaining secure and safe custody of the inmates committed to the ODOC.

### Model of the Business Processes

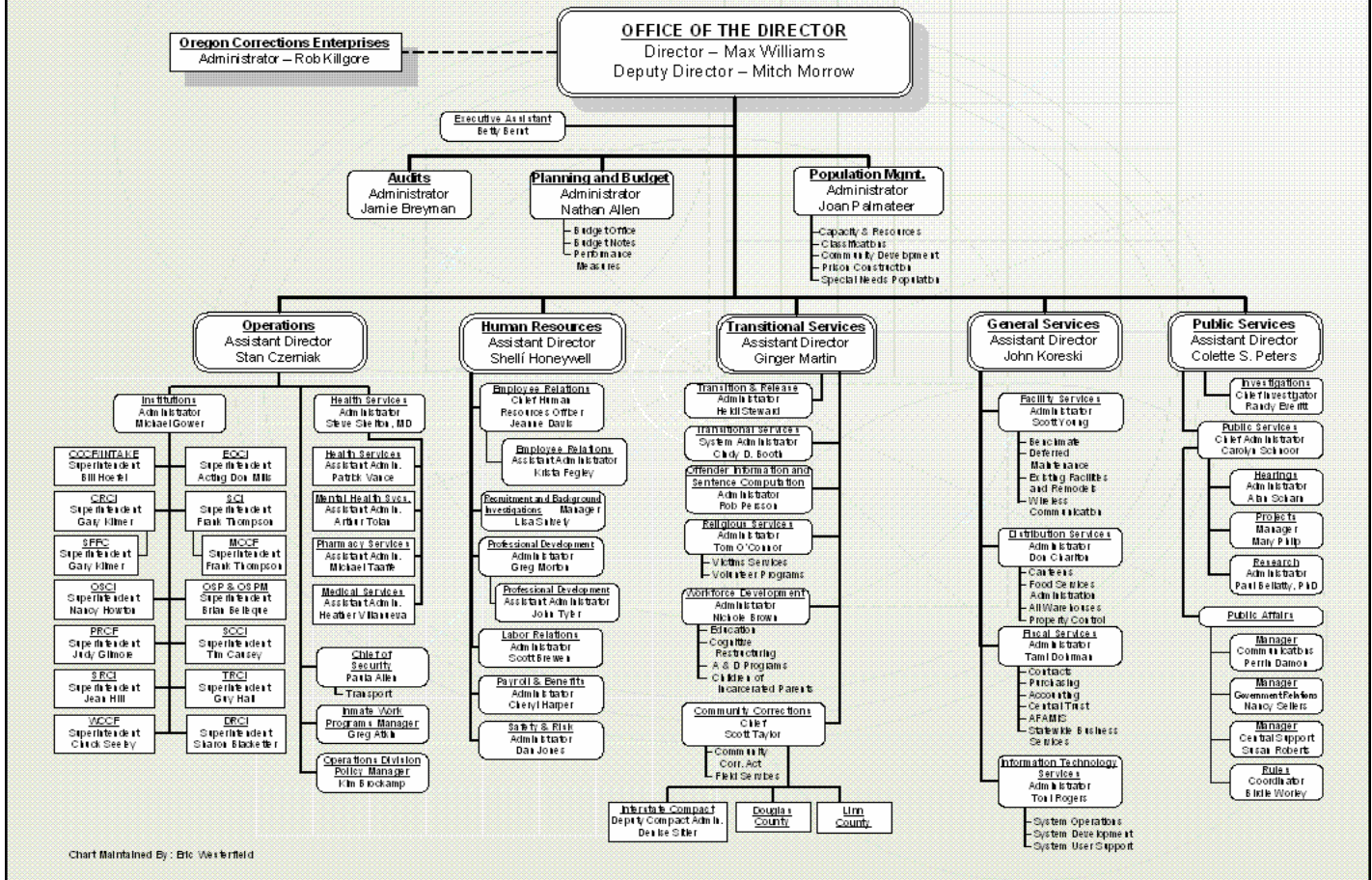
The official organizational chart of the ODOC shows that 51 of 64 entries, equaling 80 percent, are located in the Salem area. In a worst-case scenario where an emergency event decimates the capitol region ODOC will be without any of the services provided by 80 percent of the Department’s resources.



# Oregon Department of Corrections

## Central Administration Organizational Chart

March 30, 2007



## Proposed Business Processes and Solutions

- The research and development of a BCP that encompasses the entire scope of the ODOC.
- The plan must provide for the continuation of the public safety service performed by the ODOC.
- The business plan will focus on intra-agency restoration, reestablishing communication and all support services between the institutions and the centralized organizational structure which remains.
- The plan will need to:

- Reestablish communication and interaction with outside suppliers of goods and services.
- Reestablish communication and interagency activities with all other State agencies.
- Include training for all staff members to be able to carry out their designated functions if the plan is implemented.
- Establish designated personnel to monitor, test, and update the BCP on a continuous basis.
- Involve all aspects of the department including the non-institutional areas and properties.

The following chart shows the current status of key areas significant to the ODOC and the need for a BCP.

DOC Business Continuity Plan Score Card - as of 05/21/07							
DOC Strategic Element	Analysis of Business Needs	Develop Profile	Develop Requirements and Strategy	Implement Strategy	Develop and Maintain Plans	Conduct Testing	Implement Continuous Improvement
Institutions	C	C	C	C	C	C	C
Information Services	C	C	C	C	IP	IRP	IRP
Utilities	IP	IRP	IRP	IRP	IRP	IRP	IRP
Work Force	IP	IRP	IRP	IRP	IRP	IRP	IRP
Physical Property	IP	IRP	IRP	IRP	IRP	IRP	IRP
Interagency Interaction	IP	IRP	IRP	IRP	IRP	IRP	IRP
Service Providers	IP	IRP	IRP	IRP	IRP	IRP	IRP
Vendors	IP	IRP	IRP	IRP	IRP	IRP	IRP
Community Partners	IP	IRP	IRP	IRP	IRP	IRP	IRP
C = Complete							
IP = In Progress							
IRP = In Research Phase							

## Conclusion

In order to ensure the restoration of key services and activities of ODOC (aside from the short-term operations of the institutions) a business continuity plan is vital.

The final comprehensive Business Continuity Plan will:

- A. Allow the ODOC to assure that critical business functions at all levels of the department will be maintained or restored as quickly as possible in the event of a major catastrophe.
- B. Provide for a coordinated and efficient department-wide response to emergency situations.
- C. Comply with the DAS Policy #107-001-010, Statewide Business Continuity Plan.
- D. Provide the greatest assurance to the citizens of the state of Oregon that the ODOC is prepared to continue their role in providing public safety.