

## CONCEPTUAL DRAFT – PRE-DECISIONAL

### Guidance: Building All Hazards Operational Public Private Partnerships

**Purpose:** Provide a guidance resource for state, local, tribal, territorial governments and private sector businesses attempting to build public private partnerships that integrate before disaster (preparedness - planning, training, exercises), coordinate operationally during an event (crisis, disaster, emergency, Stafford/Non-Stafford), and collaborate post-event (recovery and resilience activities) consistent with Grant Guidance and prevailing doctrine under the National Preparedness Goal and PKEMERA. Those programs that exist are at different levels of maturity and functionality similar to when the fusion centers began to stand up requiring some standardized level of capability, function, and focus.

**Background:** Currently, no clear prevailing model exists for operational public private partnerships that employ common processes understood across the homeland security enterprise – scalable from small businesses to global brands – participating with all levels of government. Proven collaboration models, like Business Emergency Operations Centers, have yet to be widely adopted on the regional, state, and local level.

While Business Emergency Operations Centers have existed in some form since the immediate time following Hurricane Katrina, they, or similar constructs enabling public-private partnerships have languished largely because no guidance has been developed to facilitate development in all at the least all 50 states, territories, and major metropolitan areas.

In 2012 only 23 states had identified public-private partnership programs that strengthen coordination between the private sector entities and government to contribute to both business and community resiliency. In 2016, that number remains unchanged in part to resources and funding but also in a lack of guidance and in some cases disconnected guidance. BEOCs and other operational and resilience-oriented public private partnerships foster the development of cross sector and cross industry relationships and insight into best practices.

The rapid growth of global security operations centers in companies, corporate emergency operations centers, and other private sector coordinating capabilities has created an increasing demand for coordinated integration into all levels of government Emergency Operations Centers (EOC), intelligence fusion centers, and operational public private partnerships such as Business Emergency Operations Centers (BEOCs). This is an unreported capacity gap which will grow as businesses continue to expand their emergency management and resilience functions. Further, exercises such as Cascadia Rising, CUSEC 13, and others have demonstrated gaps exist vertically and horizontally in all phases of emergency management as businesses work to stay in business and public sector counterparts.

Businesses want to ensure sustainable and continuous operations and limit their risk and serve their customers. Government wants to ensure a safe, reliable economically viable community exists for citizens in all-hazards. Both need a familiar mechanism that can address mutual operational priorities, engage in problem-solving dialogue, and identify capabilities efficiently employed benefiting the whole community scalable from a local crisis to a national catastrophe.

In the end - the less government and business coordinates to reduce risk and increase – the more costly the outcome for citizens and customers and communities nationally.

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#### Vision:

Networked, efficient operational coordination achieved through integrated planning, shared situational awareness, and a deliberate common operating process between private sector businesses and government focused on achieving strategic mission priorities, helping businesses stay open, and minimizing the time and costs of coordination.

#### Problem Statements the Guidance is intended to Address:

- Regardless of type or size of the organization, business and government both need basic, factual information about the state of things in a timely manner.
- Integrated planning between private-public entities is a huge gap area – at all levels.
- There is no standard/clear channel for where people look for the official word for information on a disaster. Companies often get multiple competing requests for information from Federal, State, and Local entities causing additional workload and frustration for the private sector.
- We need an operational coordination framework that aligns timeline of disaster, key decision thresholds, information requirements, data sources, and resource allocation determinations. –
- Neither government nor private sector enterprises can effectively respond to disruptions, crisis, and disasters without sharing information among and between partners for resumption of normal operations.
- Uneven information sharing linkages exist between government and the private sector.
- Information sharing is crisis-oriented creating false assumptions and mis-understandings headed into crisis - i.e. - Capabilities not fully known.
- No coherent standards exist for linking government and private sector information sharing - FEMA Regional organization is a soft boundary whereas states and national boundaries are well understood by private sector.
- Federal, State, Local, Territorial, Tribal processes for private sector information sharing not mature. (\*this is highly generalized – but it is a gap between those businesses involved in fusion centers and those considered to be part of NIPP.)
- Government desires insight into logistics aspects of private sector supply chain and operations.
- Private sector wants to know priorities of government response and recovery efforts to align – currently less than cohesive process to achieve this.

#### Clarifying Statements about this Guidance:

- Process is defined first. Then technology supports the process. Use what works.
- Document does not supersede the NIPP or DHS I/A Info Requirements for Fusion Centers but provides clarity for those dynamics most typically focused on threat and terrorism and identifies how to approach differences between intelligence (fusion), vulnerability (infrastructure), and remaining operational elements (emergency management).
- Common operating process is a shared vision of how to coordinate between government and

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private sector intended to focus on what needs to be shared rather than specifically what technology is required to share.

- To the extent technology matters – typically open data sharing is preferred over proprietary and closed systems.
- This is not an unfunded mandate - i.e. - require states to build BEOCs without grants or technical assistance. Existing Federal grant programs authorize expenditure to advance this capability.
- Private sector shares data and information much differently than government and government will need to be more flexible in approach to achieve objective.
- Obtaining the right timely information is more valuable and helpful than perfecting information. Knowing the kinds of information needed before the event, helps improve speed, accuracy, and actionability in an event.
- This guidance should be a dual use roadmap:
  - Jurisdictions trying to build a program or those seeking to improve existing program.
  - Private Sector trying to understand how to plug into government process.

#### DESIRED OUTCOMES BY FOLLOWING GUIDANCE:

- Improved access to information and data at all levels that provide a sound decision-making landscape for government and private sector businesses.
- Increased efficiency in response and recovery operations planning for public and private sectors.
- Enhanced operational coordination between the private sector and the government.
- Understanding of processes and capabilities across government and private sector.
- Identifying shared priorities in operational time periods so that public sector is aware and incorporating into the incident action plan. (For example - helping private-public determine what is the most important mission priority (by agency/by company). (e.g. big box retailer decision to set up logistics/open stores), something each organization cannot live without (e.g. can't exist for long without re-supply of stores = need rolling trucks).
- Private-public partners have a shared understanding of what operational function is most essential to the continuing functionality of an organization.
- The focus is not just on access to information at all levels, but on better understanding and definition of priority information requirements based on what you want people to report on and share and have access to.
- Developed and measurable positive ROI for both sectors due to the partnership.
- Clarification that virtual and physical constructs are both needed before, during, after disaster.

#### POTENTIAL OPPORTUNITIES TO ACTUALIZE THE GUIDANCE:

- EMI PPP Courses – revise existing IS courses.
- Technical Assistance – develop METT-like workshop toward initial operating capability for states.
- Partnership with Association or Non-Profit – in co-producing guidance, promoting, possibly developing a PPP to be more community rather government-driven.

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### OUTLINE

#### Preface

*The intended audience for this guide primarily are community leaders seeking to develop, integrate improve, or sustain public private partnerships focused on efficient operational coordination enabled by effective information sharing. Building a resilient community by ensuring government and businesses are sharing impacts, priorities, information, and capabilities allowing the community to thrive through all hazards.*

- A focus on principles of joint planning and operational coordination, information sharing as an enabler if well understood requirements and standards are in place.
- Focus on developing a clear business process workflow for public/private industry engagement, and develop ESF/functional area specific annexes that align and provide definition to the common operating process relative to known operational phases.
- This guidance can assist in building a Business Emergency Operations Center but it is intended to assist in building the trust needed for efficient operational coordination enabled by effective information sharing.
- Shifting language to “all hazards operational public private partnerships” allow more flexibility for virtual and other models where BEOC can be too restrictive denoting a physical, co-location that is more uncommon than the norm.
- Above all – simplicity, agility, and actionability.

#### I. Introduction and Overview

##### a. Purpose

##### b. Goals:

- i. Develop collaborative framework that builds trust along with resilience
- ii. Improve Information Access Facilitating knowledge and efficient access to specialized resources benefiting community members in the time of need.
- iii. Provide common process for disaster private sector sharing with government.
- iv. Promote understanding of shared interest of private sector and government.
- v. Provide clarity for linkages across already established structures to ensure known points of coordination and processes
- vi. Define key operational thresholds where decisions need to be made, and related priority information requirements by ESF/functional area.

##### c. Applicability and Scope

##### d. Principles

##### e. Authorities

##### f. How to use the Guidance - Shared interest for citizen and customer – community.

- i. Private Sector - Business

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- ii. Public Sector – Government
    - g. Relationship to existing national doctrine and guidance
      - i. National Preparedness Goal
      - ii. CPG 101, 502
      - iii. NIMS
      - iv. NRF
      - v. NIPP
  - II. Public – Private Coordination, Roles, and Interface
    - a. Private Sector – how the private sector organizes
      - i. Operations Executive
      - ii. Chief Security Officer
      - iii. Chief Resilience Officer
      - iv. Corporate Emergency Manager
      - v. Business Continuity
      - vi. Corporate Affairs & Governmental Relations
      - vii. Non-Profits and Non-Governmental Organizations
      - viii. Academia
    - b. Public Sector
      - i. Federal
        - 1. NBEOC
        - 2. NICC
        - 3. PSAs
        - 4. Other Coordinating Mechanisms and Roles
      - ii. State
        - 1. Emergency Management Directors
        - 2. Homeland Security Advisors
        - 3. EOCS
        - 4. Fusion Centers
        - 5. Business Development Departments
      - iii. Local
        - 1. EOCs
        - 2. Fusion Centers
        - 3. Community Development Organizations
    - c. Role & Function of the private sector in an emergency management context.
      - i. Vendor and Procurement.
      - ii. Consumer, Supply Chain.
      - iii. Responder and Operational Coordination.
      - iv. Survivability, Business Continuity.
      - v. Donations and Philanthropy.
      - vi. Employee Communications and Corporate Affairs.
  - III. Identified Models

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- a. Ad Hoc public private partnerships caused by a specific threat or incident.
  - b. Philanthropic PPP addressing the recovery caused by a specific threat or incident.
  - c. BEOC
    - i. Led by government.
    - ii. BEOC – led by private sector.
    - iii. Virtual BEOC.
  - d. Coordinator or Liaison Model.
    - i. EOC
    - ii. Fusion Center
  - e. Integration Program
    - i. Based in Fusion Center.
    - ii. Based in EOC.
    - iii. Based in Emergency Management Agency.
- IV. Model Approach to PPP - Before, During, After Disaster.
- Functional capabilities are described in this section before identifying the subsequent steps as a roadmap and also as a slight maturity model. The focus on the national system is on realizing operational coordination and integrated planning, and that well defined information sharing and processes are a means to achieve that, not an end.
- Government needs to share as much as possible, as easily as possible.
  - Insight into both government and private sector status enables decision-making
  - Understanding risk helps mitigate / improved contingency planning through full-cycle information and data sharing.
  - A common operating process helps provide a common operating picture and improve operations based on common understanding of risk and operations.
- a. Baseline Capabilities for operational public private partnerships focused on disasters
    - i. Partnership Spans Before, During, After Disaster.
    - ii. Clearly Identified Points of Coordination.
    - iii. Scalable means of Collaboration.
    - iv. Enables preparedness activities before an event.
    - v. Facilitates information sharing and operational coordination during an event.
    - vi. Convenes community post event.
    - vii. Shapes resilience activities into meaningful outcomes.
  - b. Chartering
    - i. Identifying the purpose – keeping businesses in business.
    - ii. Getting the right people & industries in the room – stakeholder identification.
    - iii. Scoping boundaries.
  - c. Connecting
    - i. Identifying linkages to existing coordinating mechanisms.
    - ii. Governance & Selecting Right Model for Community.

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- iii. Negotiating common ground.
- iv. Institutional Networked Approach – Vertical and Horizontal
- d. Integrating
  - i. Planning
  - ii. Training
  - iii. Exercises
  - iv. Reciprocal human capital programs.
  - v. Logistics & Donations of Goods.
- e. Coordinating Operations
  - i. Developing mutual Information requirements
  - ii. Reporting structures and formats
  - iii. Sensitive, Classified, and Proprietary Information Sharing
  - iv. Setting an operational rhythm
  - v. Activation Procedures .
  - vi. Supporting and enabling technologies.
- f. Collaborating
  - i. Resilience-building activities and programs.
  - ii. Business community leadership.
  - iii. Assessing impact and measuring effectiveness of partnership.
- g. Information Sharing
  - i. Steady State and Event-Driven Information sharing relationships.
  - ii. Link decision making to high level thresholds where information requirements can support.
  - iii. Define and link key operational thresholds where decisions need to be made
  - iv. Define related priority information requirements by ESF/functional area.
    - 1. Core Information Requirements.
    - 2. Government
    - 3. Private Sector
  - v. Mutual event-driven priorities.
  - vi. Technology and Tools.
- V. **Joint Public – Private All-Hazards Information Sharing**
  - A. Information Requirements
    - i. Joint Public - Private Sector core cross-cutting priority information requirements
    - ii. Private Sector Information Requirements
    - iii. Government Information Requirements
    - iv. Minimum requirements for information for the purposes of coordination across agencies.
    - v. Process to determine requirements that can be implemented in a standard way.
  - B. Operational Coordination
    - i. Identifying critical cross sector and industry dependencies
    - ii. Movement of Resources

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- iii. Transportation
- iv. Just-in-Time Logistics
- C. Decision-Making
  - i. Executive-Level Decision Making
  - ii. Operational Decision Making
  - iii. Tactical Decision Making
  - iv. Decision Making by the Citizen – Customer
  - v. Linking decision making to high level thresholds where information requirements can support shared understanding of consequences from action taken
- D. Operating Status
  - basic elements required for reporting operational status
  - i. Power & Energy
  - ii. Technology/Communications
  - iii. Transportation
  - iv. Supply Chain
  - v. Food & Grocery
  - vi. Retail & Markets

#### VII. Technology

- A. Landscape
- B. Standards
- C. Systems
- D. Data Dictionary

#### VIII. A Step By Step Approach to Build Disaster-Oriented Public Private Partnerships

##### Step 1: Identify mutual challenges, Shared Priorities and Needs

- a. Engaging around issues, opportunities, problems.
- b. Improving functional areas.

##### Step 2: Align on Organization and Structure

- a. Standard Policies and Procedures
- b. Clear business process workflow for public/private industry engagement.
- c. Databases
- d. Staffing

##### Step 2: Familiarization with Capabilities, Needs and Requirements

- a. Training Resources
- b. Available and Accessible Information

##### Step 3: Establish Partnerships

- a. Identifying partners and creating an open door
- b. Avoiding organizational conflicts of interest.

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Step 4: Determine the Process for Information Exchange

- a. Ensuring a focus on business need for information sharing.
- b. Identify Information Exchange Procedures
- c. Decision-making support mechanisms

Step 5: Becoming Operational

- a. Normal Operations
- b. Emergency Operations
- c. Post-Incident Collaboration

Step 6: Continuous engagement and improvement to raise awareness of the partnership

- a. Preparedness and Sustainment
- b. Training
- c. Workshops
- d. Exercises
- e. Communications
- f. Assessment

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#### Appendix

- A. Operational status reporting template for various industry types, ESFs
- B. 96-Hour Event phases of operations, decision thresholds, information requirements and defined resource needs from a private sector perspective.
- C. Operational PPP Charter Template
- D. BEOC SOP Template
- E. Private Sector Businesses aligned with ESFs based on the NRF
- F. ESF for Business and Industry Template – Florida
- G. Private Sector Annex to a State EOP – Illinois
- H. SOP for PPP Based in Fusion Center – Ohio
- I. Corporate EOC Emergency Support Functions – Walmart
- J. Corporate Operations & Business Continuity SOP – Lowes
- K. Private Sector Community Driven Engagement Plan – AirBnB, Starbucks
- L. Model Position Description: Government Private Sector Liaison
- M. Private Sector Integration Program Rules of Engagement - Maryland Emergency Management Agency
- N. Member Agreement – FEMA, National Business Emergency Operations Center
- O. Central U.S. Earthquake Consortium GIS/IT Working Group Process for Information Sharing, GIS, and Common Operating Picture.

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#### Annex

- A. Academic Resources on Disaster and Resilience-Oriented Public-Private Partnerships
- B. Available Training
  - a. EMI
  - b. Independent Study
- C. Standards and Programs
  - a. NFPA
  - b. EMAP
  - c. ASIS
  - d. ISMA
- D. Technologies Often Discussed for Private Sector Information Sharing & Situational Awareness
- E. Recovery-Oriented PPP Use Case
- F. Response-Oriented PPP Use Case

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- e) CUSEC CAPSTONE 14 AAR
- f) New Jersey Business Force
- g) National Defense University Defense Horizons October 2012 Newsletter
- h) Cascadia Rising Private Sector AAR

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