

Collaborative Risk Management

Continuous Improvement

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V1.1

U.S. Department of Homeland Security
United States Coast Guard

U.S. Coast Guard
International Port Security Program

Agenda

- Continuous Improvement Overview
- Contingency Plans
- Building a Contingency Plan
- Lessons Learned



Continuous Improvement Overview

Continuous Improvement Overview

Continuous improvement may take many forms but follows the same underlying concepts.

- Invest in making things continuously better.
- Be proactive.
- Use systems thinking.
- Have complete participation.



System Improvement Considerations



Continuous Improvement

SWOT Analysis

Strengths	Weaknesses
Things you can control that provide you a competitive advantage	Things that stop you from performing at your best
Opportunities	**Threats**
Favorable external factors that can contribute to potential success	Things you have no control over that have the potential to cause harm

Benefits of Continuous Improvement

Common continuous improvement benefits include:

- Improved quality.
- Increased efficiency and productivity.
- Decreased costs.
- Reduced waste.
- Increased employee satisfaction.
- Increased teamwork.
- Improved customer satisfaction.

Creating a Culture of Continuous Improvement

- Lead by example
- Communicate regularly
- Ask for feedback
- Empower employees
- Recognize small wins
- Encourage participation by keeping it simple
- Making sharing ideas easy





Contingency Plans



Plans are Nothing...

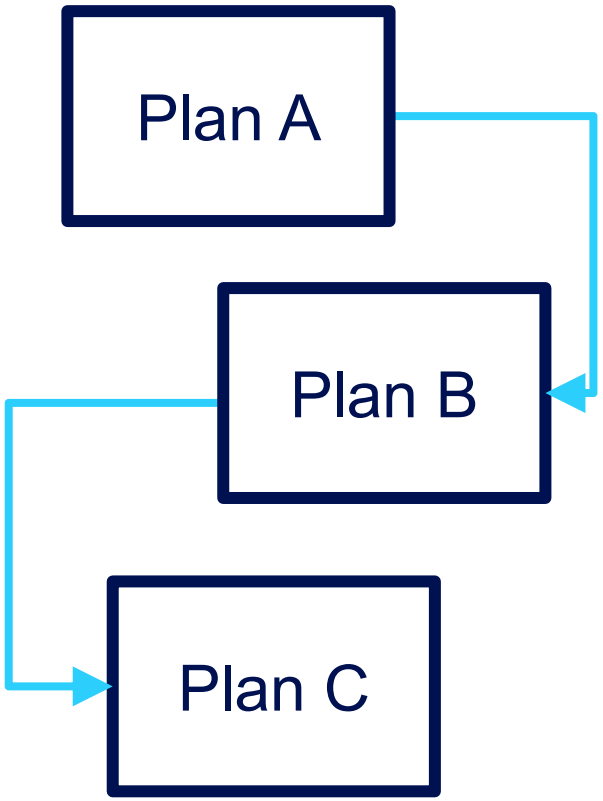
Planning is Everything!

Contingency Plans

The objective of a contingency plan is to return to normal operations as soon as possible.

Contingency plans

- Explain procedures that port users can follow if normal operations are suspended.
- Are developed in advance of incidents to increase the likelihood of a successful response.



Discussion

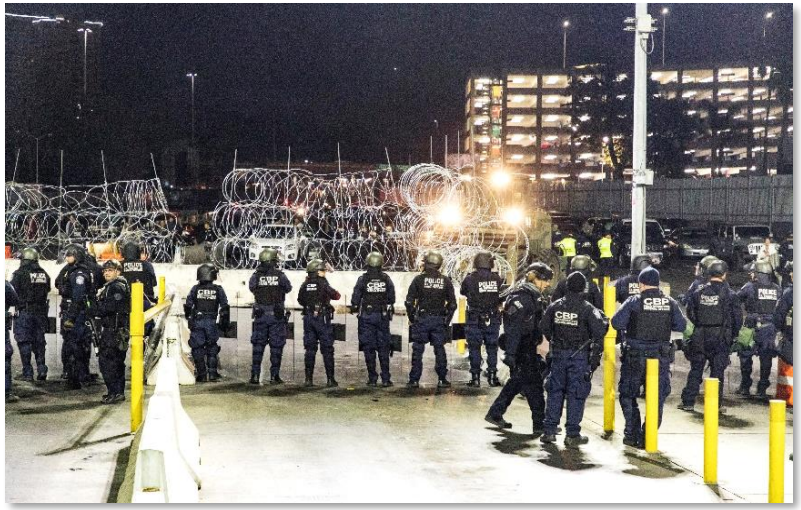
Discuss

- What items / types of items are contingency plans needed for?
- Who should be involved in plan development?
- How often should plans be reviewed?



When is a Contingency Plan Needed?

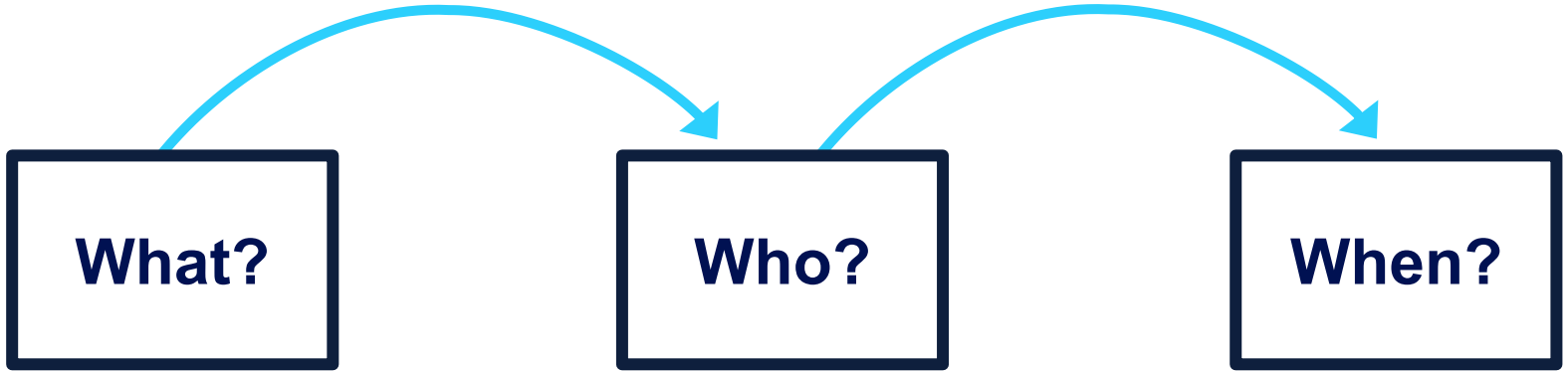
- Emergency situations
- Infrastructure damage or malfunction
- Natural disasters
- Terrorist incidents
- Incidents identified in the Port Facility Security Assessment (PFSA)





What Does a Contingency Plan Do?

In simplest terms, the contingency plan answers three primary questions.



What actions need to be taken?

Who is responsible for these actions?

When do these actions need to occur?

What Actions Need to be Taken?

Contingency plans describe specific actions to be taken in response to a situation.

- Actions should be detailed enough for personnel to clearly understand what is required.
- Actions should always be assigned to a specific team or individual in advance.
- Actions not included in the contingency plan may not be performed – always spell out required actions in the contingency plan.

Who is Responsible for These Actions?

Identify, coordinate responsibilities, and document assignments in the contingency plan.

- When developing the plan, consider all internal and external parties – including employees, organizations, and agencies.
- Everyone involved must agree to the provisions and detailed actions prescribed for them.

When Do These Actions Need to Occur?

Practice, Practice, Practice!

- The best way to ensure people are familiar with the contingency plan is to practice.
- Drills, exercises, and coordination meetings will help people to become familiar and comfortable with the required actions.

Critical Information

Category	Examples of Included Information
Notification procedures	Who needs to notify whom? When to notify?
Authorities and responsibilities	Who oversees the response?
Coordination mechanisms	How will information be shared?
Communication procedures	Telephone numbers Email addresses
Resources	Availability of equipment

What other information could be helpful to identify prior to building a contingency plan?

Reviewing Contingency Plans

Contingency plans are not a one-time effort, but ongoing commitments aligned to continuous improvement efforts.

Determine a review schedule for each plan.

Update timelines will vary, but may align to:

- Dates identified in the PFSP.
- A yearly schedule for plan review / maintenance.
- Significant changes to any plan component.
  - Example: New systems, organizational changes



Building a Contingency Plan

Building a Contingency Plan

While the format of a continency plan may vary, it will often include five primary sections.

- Introduction
- Responsibility
- Organization
- Notification / Reporting
- Response

Optional sections may be added as needed.

- Planning
- Preparedness

Introduction Contents

Purpose

- Why the contingency plan is being implemented

Objectives

- Specific goals of the plan

Scope

- What is covered/not covered by the plan

Assumptions

- List of default assumptions the plan is designed around

References

- Sources used to create the plan

Responsibility Contents

Leaders

- Designation, authority, and contact information for person or teams leading the response effort

Roles with aligned responsibilities / tasks and authority

- Agencies
- Organizations
- Teams
- Individuals
- Special resources

Organization Contents

Conceptual organization for the response

- Interact both horizontally and vertically in the organization

Reporting relationships

- Who reports to whom

Coordinating relationships

- Who works with whom

Notification and Reporting Contents

Notification requirements

- Stakeholders
- Agencies / organizations impacted
- Roles with responsibilities / authority

Communication method → Call / Email / Meeting / Text / Website

- Initial notification
- Status reports
- Post-incident report

Communication frequency

- Scheduled vs. as needed

Response Contents

Identification of actions

- Which actions need to be taken?
- Who is responsible for these actions?

Sequence events

- Is there a specific order in which actions need to occur?
  - Timing
  - Phase of response
  - Task-based
- What is the relationship between actions?

Optional Content

Planning

- Identifies responsibilities for initial development of the contingency plan.
- Determines intervals for reviewing and revising the plan.



Preparedness

- Creates a schedule for drills and exercises to assess effectiveness of the contingency plan.
- Identifies areas for improvement.



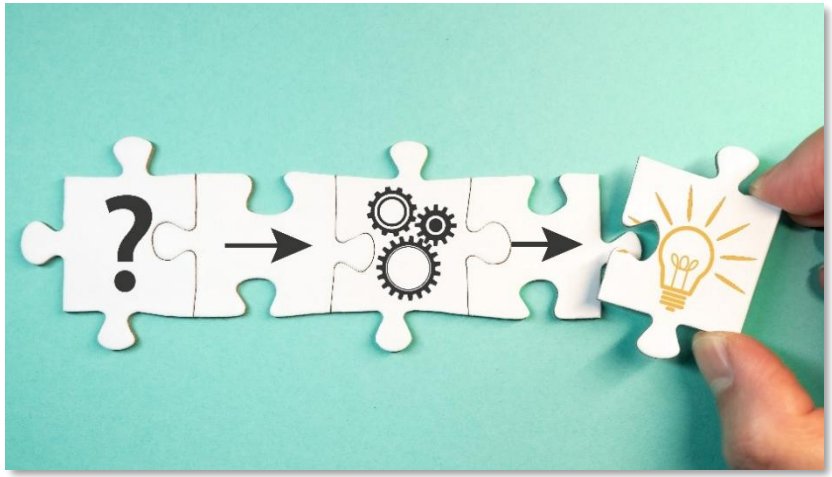
Lessons Learned



Failing to Prepare is Preparing to Fail

Lessons Learned

- Lessons learned are documented experiences from a project or event to continue positive and reduce negative impacts / results.
- Primary sources of lessons learned include
  - Drills
  - Exercises
  - Security Incidents
  - Training



Using Lessons Learned: Drills / Exercises (1)

- Capture lessons learned from all involved.
- Share findings with invested parties.
- Prioritize within categories.
  - Example: Mitigation strategy, functional area
- Retrieve and apply lessons learned in related future projects / incidents.



Using Lessons Learned: Drills / Exercises (2)

Increase Occurrence	Reduce Occurrence
✓ Celebrate success!	× Identify challenges.
✓ Record processes or tools that contributed to the outcome.	× Upgrade or obtain necessary equipment / systems.
✓ Provide resources (new or additional) to support demonstrated success.	× Provide training and supporting resources to employees.
✓ Revise policies or procedures based on success strategies and document in the PFSP.	× Revise policies or procedures to reduce adverse results and document in the PFSP.

Using Lessons Learned from Training

Training provides an opportunity to gather lessons learned in a secured environment.

- Observe security personnel performing actions to identify strengths and challenges.
- Identify process or resource challenges prior to occurring on-the-job.
- Conduct surveys or meetings post-training to gather individual reflections.

Using Lessons Learned: Security Incidents

Incidents may result from improper procedures, inadequate policies, faulty or outdated equipment, or performance problems.



Determine if vulnerabilities could be strengthened and / or if security measures could be improved

Maintain a record of lessons learned and actions to overcome deficiencies

Develop an annual work plan to address implementation of required actions



Questions?

Continuous Improvement &
Contingency Planning