

ESTABLISHING A CONTINUITY OF OPERATIONS PLANNING PROGRAM

PRESENTATION FOR HOSPITAL & HEALTHCARE ORGANIZATION
LEADERSHIP & DEPARTMENT HEADS

DEVELOPED BY: CENTRAL NEW YORK HEALTH EMERGENCY PREPAREDNESS COALITION
CONTINUITY OF OPERATIONS WORK GROUP

1. COOP Overview
2. Planning Process
3. Essential Functions & Business Impact Analysis (BIA)
4. Governance & Project Management
5. Project Management: Action Plan

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1. COOP OVERVIEW

- A. What is Continuity of Operations Planning?
- B. Why Establish a Continuity of Operations Plan?
- C. What is Needed?

WHAT IS CONTINUITY OF OPERATIONS PLANNING?

- Process to identify Essential Functions (EF) and develop action plans and strategies to maintain patient care, facility services and business operations;
- Continuity of Operations plans identify:
 - Risks and measure impact to operations;
 - Essential functions and impacts of interruptions;
 - Supporting activities needed to maintain functions;
 - Recovery objectives and strategies.



WHY ESTABLISH A COOP PLAN?

- Ensures critical planning gaps, and budgetary and management challenges are identified and addressed;
- Protects patient safety; ensures access to care;
- Recognizes and protects the business and investments of the hospital in order to:
 - Maintain market share in highly competitive environment;
 - Maintain revenue and profitability by continuing to provide and bill for services in a timely manner;
- Meets regulatory and accreditation standards.

WHAT IS NEEDED?

- Executive support to ensure organizational awareness and participation;
- Project leadership by Steering Committee;
- Announcement summarizing objectives, planning roles and participant expectations;
- Simple, clearly defined planning processes:
 - Project planning tools to define milestones and resources;
 - Data gathering and documentation tools and templates.

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1. PLANNING PROCESS

- A. Identify Mission Essential Functions
- B. Data Analysis: Risk Analysis & Business Impact Analysis (BIA)
- C. Determine Continuity Plan Priorities
- D. Develop Additional Elements of Continuity Plan



COOP PLANNING OBJECTIVES

- Ensure continued performance of essential functions;
- Reduce loss of life/minimize damage;
- Ensure succession to office of key leadership;
- Reduce/mitigate disruptions to operations;
- Protect essential assets;
- Achieve timely recovery/reconstitution;
- Maintain TT&E program for validation and improvement.

IDENTIFY ESSENTIAL FUNCTIONS

- Essential Functions (EF):
 - Clinical and business activities that cannot be deferred and must be performed continuously or resumed quickly;
 - Key planning factors necessary to determine care delivery, staffing, communications, essential records, facilities, etc.
 - Distinguish between essential and important (non-essential) functions:
 - Identify activities that can and cannot be deferred;
 - Deferring non-essential activities free up resources that can be redirected to those that cannot be deferred.

DATA ANALYSIS

- Review HVA to identify threats and risks to operations and infrastructure;
- Business Impact Analysis (BIA) results in prioritization of EFs:
 - Develop work plan for conducting the BIA;
 - Review operations within each department;
 - Identify all departmental EFs and their Essential Supporting Activities (ESA);
 - Analyze data and rank according to priority.

DETERMINE CONTINUITY PLAN PRIORITIES

- Focus on rapid resumption of the health care organizations EFs and their Essential Supporting Activities (ESA);
- Once primary EFs are identified, it is important to be able to accomplish the critical activities needed to support their execution.

DEVELOP ADDITIONAL ELEMENTS OF PLAN

- Orders of Succession
- Delegation of Authority
- Continuity of Facilities
- Continuity Communications
- Vital Records Management
- Plan for Human Resources
- Plan for Devolution of Control
- Plan for Restoration/Reconstitution
- Maintaining Continuity Readiness

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3. ESSENTIAL FUNCTIONS & BUSINESS IMPACT ANALYSIS

- A. Identify Essential Functions (EF)
- B. Conduct Threat & Risk Analysis
- C. Conduct Business Impact Analysis (BIA)
- D. Determine Continuity Priorities

IDENTIFY ESSENTIAL FUNCTIONS

- Primary essential functions (EF) of the health care organization:
 - Activities that enable an organization to provide vital clinical and business services;
 - Cannot be deferred;
 - Must be performed continuously or resumed quickly;
 - Key planning factors to determine appropriate care delivery, staffing, communications, etc. essential records, facilities, etc.

CONDUCT THREAT & RISK ANALYSIS

- Review HVA to identify threats and risks that pose a hazard to the operations of the hospital and IT infrastructure.

CONDUCT BUSINESS IMPACT ANALYSIS (BIA)

- BIA data informs strategic and financial decisions.
- Systematically measures impact if functions and processes cannot be performed.
- Identifies, prioritizes and documents essential functions and relative importance of departmental processes and resources
 - Business Processes
 - Equipment or Resources
 - Staffing Positions
 - Data & Records
 - Technology & Equipment
 - Departmental Dependencies
 - Financial Impact

DETERMINE CONTINUITY PRIORITIES

- Once EFs are identified, must be able to accomplish the critical activities needed to support their execution;
- Focus on rapid resumption of EFs and their Essential Supporting Activities (ESA);
- Use data to make decisions to reduce risks that will have the greatest adverse impact.



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4. GOVERNANCE & PROJECT MANAGEMENT

- A. Continuity Steering Committee
- B. Continuity Planning Committee & Program Coordinator
- C. Project Management – Key Planning Committee Activities



CONTINUITY STEERING COMMITTEE

- Members include executive sponsor and key leaders:
 - COO, CNO, CMO, CIO; VP Facilities, VP HR, EM, etc.
- Responsible for determining objectives and priorities, recovery solutions, risk mitigation strategies etc.;
- Appoint a Continuity Program Coordinator and Planning Committee to execute project activities;
- Arrange for an announcement summarizing objectives, planning roles and participant expectations.

CONTINUITY PLANNING COMMITTEE & PROGRAM COORDINATOR

- Led by Continuity Program Coordinator;
- Members include key operational and department leaders:
 - Materials Management, Support Services, Finance, Risk/Compliance, IT, Security, ED, HR, Nursing etc.
- Responsible for executing projects and activities:
 - Identify project participants; Provide education on planning objectives, data gathering and tools;
 - Oversee and ensure completion of data gathering and other tasks assigned to project participants.

PROJECT MANAGEMENT

- Key Planning Committee Activities:
 - Identify organization's primary essential functions (EF);
 - Develop a work plan for conducting the BIA;
 - Collect list of depts and associated cost centers from finance;
 - Educate department leaders on objectives and how to complete business continuity profile;
 - Review with each department their EFs that support the hospital's primary EFs, and identify all essential supporting activities needed for their execution;
 - Oversee completion of business continuity profiles.

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5. PROJECT MANAGEMENT: ACTION PLAN

- A. Identify Essential Functions (EF)
- B. Conduct Business Impact Analysis (BIA)
- C. Review Data & Capabilities
- D. Develop Strategies and Integrated Plan Framework



CONTINUITY STEERING COMMITTEE

- Identify the health care organization's Essential Functions (EF);
- Conduct Business Impact Analysis (BIA):
 - Develop a work plan for conducting the BIA;
 - Review with each department their EFs that support the organization's primary EFs, and identify all Essential Supporting Activities (ESAs) needed for their execution;
 - Complete business continuity profiles.



CONTINUITY STEERING COMMITTEE

- Review Data & Capabilities:
 - Review BIA and HVA findings;
 - Use data to make decisions to reduce risks having the greatest adverse impact;
 - Examine 96-hour capabilities and strategies for ensuring continuity;
 - Meet with facilities, supply chain and IT to understand capabilities and integration points.



CONTINUITY STEERING COMMITTEE

- Develop Strategies & Integrated Continuity Plan:
 - Determine strategies and requirements for continuity of operations, alternate locations and mobile capabilities;
 - Solicit cost estimates for selected alternate site, mobile and disaster recovery strategies; Present recommended strategies and pricing options for approval;
 - Develop approach to align/integrate emergency operations, IT disaster recovery and COOP plans;
 - Develop additional elements of continuity plan.