

CNY & Capital District Health Emergency Preparedness Coalition

Continuity of Operations Planning Work Group

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Overview of Continuity Planning & Work Group Resources

1. Continuity Planning Objectives
2. Getting Started - Project Management
3. Planning Elements
4. COOP WG Activity & Resources



CONTINUITY PLANNING OBJECTIVES

- Process to identify mission essential functions and develop action plans and strategies to maintain patient care, facility/organizational services and business operations for an extended period.
- Essential functions are the processes and services that cannot be deferred and must be performed continuously or resumed quickly.

CONTINUITY PLANNING OBJECTIVES

- Continuity of Operations plans identify:
 - Risks and measure impact to operations;
 - Essential functions and impacts of interruptions to them;
 - Supporting activities needed to maintain essential functions;
 - Recovery objectives and strategies.
- Consists of complex, time intensive and multi-disciplinary planning activities which require executive support and participation of administrative and departmental leaders.



CONTINUITY PLANNING OBJECTIVES

- Ensure ability to continue the core mission; reduce/mitigate disruptions to operations
- Protect patient safety; ensure access to care
- Protect the business and essential assets of the organization
- Identify measurable risks; address critical planning gaps
- Ensure succession of key leadership
- Mitigate economic impacts and control recovery costs
- Achieve timely recovery/reconstitution



GETTING STARTED - PROJECT MANAGEMENT

- **Executive support** is vital to ensure organizational awareness, participation and commitment of time and resources
- **Project leadership and committee** responsible for identifying essential functions, and determining objectives and priorities, recovery solutions, risk mitigation strategies etc.
- **Participation of department heads and other patient care, operational leaders** to identify the supporting processes and resources to needed maintain mission essential functions.
- **Planning tools** and clearly defined planning processes:
 - Project planning tools to define milestones and resources;
 - Data gathering and documentation tools and templates.



PLANNING ELEMENTS

Identify Essential Functions

- Activities that enable an organization to provide vital patient care, and operational and business services that cannot be deferred and must be performed continuously or resumed quickly;
- Distinguish between functions that can and cannot be deferred. Deferring non-essential activities frees up resources that can be redirected to those that cannot be deferred.

PLANNING ELEMENTS

Essential Function Examples

Hospital

- Emergency Services
- Surgical Services
- Patient Care Units
- Laboratory Services
- IT & EHR
- Human Resources
- Pharmacy Services
- Food Services
- Laundry

LTC

- Nursing Services
- Admission/Discharge
- Facility Management
- IT & EHR
- Finance
- Dietary Services
- Pharmacy Services
- Family Communication

Home Care

- Patient Care
- Administration
- Finance
- Human Resources
- IT & EHR
- Caregiver Communication



PLANNING ELEMENTS

Conduct Business Impact Analysis (BIA)

- Systematically measures impact if Essential Functions and processes cannot be performed.
- Identifies the relative importance of Essential Supporting Activities that support those Essential Functions
- Results in prioritization of Essential Functions
- Identifies the Recovery Time Objective (RTO) - Maximum duration of service or process outage before significant operational, patient care impacts occur.



PLANNING ELEMENTS

Determine Continuity Plan Priorities

- BIA data informs strategic and financial decisions.
- Focus on rapid resumption of Essential Functions and their Essential Supporting Activities (ESA).
- Use data to make decisions to reduce risks that will have the greatest adverse impact.



PLANNING ELEMENTS

Develop Additional Elements of Plan

- Orders of Succession (for senior leadership positions)
- Delegation of Authority (identification by position of decision-making)
- Continuity of Facilities (alternate facilities)
- Continuity Communications
- Vital Records Management
- Plan for Human Resources
- Plan for Devolution of Control (transfer of responsibilities)
- Plan for Restoration/Reconstitution

WORK GROUP BACKGROUND

Needs Assessment: Findings & Recommendations

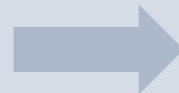
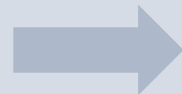
Gaps

1. Familiarity with FEMA model; applicability to healthcare;
2. Knowledge, time and resources for planning;
3. Support of leadership for COOP planning.



Recommendations

1. Identify/develop tools and models for healthcare COOP planning;
2. Provide training to build competencies;
3. Communicate the value of COOP to leadership.



WORK GROUP BACKGROUND

Addressing Planning Needs

2015-16 **COOP WG established** with mission to:

1. Identify/develop tools and models for healthcare;
2. Develop material to build knowledge and competencies;
3. Communicate the value of COOP to leadership.

2015-17 **RTCs provided training to hospitals**

WORK PRODUCTS

2016-17 **Job Action Sheet** - Planning checklist and guidance to understand and implement key elements of COOP (*Currently being updated*);

Executive Briefing Presentation - To convey value of COOP, importance of executive support and organizational buy-in.

2017-18 **Leadership and Department Head Presentations** - To educate on fundamental aspects of COOP, roles and responsibilities.

Business Impact Analysis Workshop - Presented at CNYR HEPC

WORK PRODUCTS

- 2018-19 **Continuity Plan Template** - Includes recommended content and instructional guidance for hospitals and health care organizations to develop or improve a continuity plan.
- 2019-20 Planned objectives (pre-COVID) included updating the Continuity Plan Template, Job Action Sheet and BIA Guidance
- 2022-23 Objectives focused on identifying continuity-related lessons learned during COVID-19

WORK PRODUCTS

- [Continuity Planning: Importance of Executive Level Support \(PPT\)](#) | [\(PDF\)](#) Presentation may be adapted and used to describe the importance of executive level support for, and the objectives and return on investment (ROI) of continuity planning.
- [Continuity Planning: Presentation Series for Leadership & Department Heads \(PPT\)](#) | [\(PDF\)](#) Five brief presentations to inform organization leaders and department heads on key elements of continuity planning: 1) Continuity Overview; 2) Planning Process; 3) Essential Functions & Business Impact Analysis (BIA); 4) Governance & Project Management; 5) Project Management: Action Plan.
- [Continuity Plan Template for Hospitals and Healthcare Organizations \(PDF\)](#) | [\(Word\)](#) Template includes recommended content and instructional guidance. The template is based on FEMA continuity planning guidance and is adapted to align with hospital functions.
- [Conducting a Business Impact Analysis \(BIA\) Workshop \(PPT\)](#) | [\(PDF\)](#) Describes how to conduct a BIA and how it is used to inform continuity planning priorities. It includes a [sample BIA survey worksheet](#) to identify and prioritize departmental essential functions and establish recovery time objectives (RTO).
- All WG material and additional resources available at: www.iroquois.org/emergency-preparedness-continuity

CONTINUITY PLAN TEMPLATE

II. APPLICABILITY AND SCOPE

Describe the applicability of the plan to the health care organization as a whole. Define what this continuity plan covers and what it does not cover, and what is located in other plans and policies.

If part of a larger health care organization with multiple facilities, continuity planning should be integrated with the organization and all facilities. Describe applicable organization or partner relationships as well as any on-site or multi-site organization operations. There may be an organizational continuity plan, with each individual facility having an annex to reflect unique issues.

This Continuity Plan encompasses the [HCO, buildings, facilities etc.] and all personnel and operations of those facilities. This plan is one of the preparedness and operations plans used to prevent, prepare for, respond to, and recover from an emergency incident or disaster.

The scope of the Continuity Plan does not apply to temporary disruptions of service during short-term building evacuations or other situations where services are anticipated to be restored within a brief, limited period of time (e.g. resolution is anticipated within 4-12 hours).

The [fill in as per ICS structure] will determine which situations require implementation of the Continuity Plan and will oversee responsibilities related to Continuity Plan activation. Activation of the Continuity

CONTINUITY PLAN TEMPLATE

[HCO] has identified its Essential Functions, a limited set of its overall functions that must be continued or rapidly resumed after a disruption of normal activities. These Essential Functions have been approved by [title], and are listed in the table below in priority order.

Table 1: Essential Function Table

Note: Repeat this table for each EF.

Essential Function	Recovery Time Objective	Responsible Personnel
[Essential Function]	[Max time to resume function]	[Staff and managers responsible for essential function]
	Resources	
	[Required equipment, supplies, records, etc.]	
	Work Location & Space Requirements	
	[Continuity facility or telework location, IT, and communications access needs.]	
	Supporting Activities	
	[Essential supporting activities.]	
	Interdependencies	
	[Other entities providing required resources. Include applicable mutual aid agreements.]	
	Expected Costs	
	[Costs associated with the implementation of the essential function.]	

CONTACT

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