

Continuity of Operations During Emergencies



Indiana Rural Health Association
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What is COOP?

Continuity Of Operations

- ▶ The continuation of essential functions and services
- ▶ Achieved through the use of:

Continuity of Operations Program

- The development, maintenance, training, exercising and strategy of maintaining the COOP plan requires an actively managed program

Continuity of Operations Plan

- the document that is geared towards ensuring that an entity is capable of carrying out its essential functions given some disruption



Evolution of COOP

Emergency Preparedness Requirements

- ▶ The Centers for Medicare & Medicaid Services (CMS) is the single largest payer for health care in the United States. Nearly 90 million Americans rely on health care benefits through Medicare, Medicaid, and the State Children's Health Insurance Program (SCHIP).
- ▶ Affects all 17 provider and supplier types



17 Provider & Supplier Types

1. Hospitals
2. Religious Nonmedical Health Care Institutions (RNHCIs)
3. Ambulatory Surgical Centers (ASCs)
4. Hospices
5. Psychiatric Residential Treatment Facilities (PRTFs)
6. All-Inclusive Care for the Elderly (PACE)
7. Transplant Centers
8. Long-Term Care (LTC) Facilities
9. Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID)
10. Home Health Agencies (HHAs)
11. Comprehensive Outpatient Rehabilitation Facilities (CORFs)
12. Critical Access Hospitals (CAHs)
13. Clinics, Rehabilitation Agencies, and Public Health Agencies as Providers of Outpatient Physical Therapy and Speech-Language Pathology Services
14. Community Mental Health Centers (CMHCs)
15. Organ Procurement Organizations (OPOs)
16. Rural Health Clinics (RHCs) and Federally Qualified Health Centers (FQHCs)
17. End-Stage Renal Disease (ESRD) Facilities



Rural Hospitals

- ▶ Higher mix of outpatient and home care because they have fewer economic means than those in urban areas.
- ▶ Every community has an emergency management plan because it resides within a county.
- ▶ Align closely with these plans to ensure business continuity and open communications.



County Healthcare Coalition

The coalition endeavors to develop and promote emergency preparedness and response capabilities by:

- ▶ Strengthening medical surge capacity and capabilities
- ▶ Building relationships and partnerships
- ▶ Facilitating communication, information and resource sharing
- ▶ Maximizing movement and utilization of existing resources
- ▶ Coordinating training, drills, and exercises



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Supplies

It is imperative to evaluate and stockpile appropriately. Using community resources will also be useful in stockpiling supplies.

- ▶ Medicine
- ▶ Cots
- ▶ equipment
- ▶ Food
- ▶ Water



Communication

Internal and external communications are the most essential part of any operational continuity plan.

Internal:

- ▶ Facility staff
- ▶ Patients
- ▶ Management

External:

- ▶ Patient's families
- ▶ First responders
- ▶ Law enforcement
- ▶ Other community stakeholders



Duration

COOP plans must:

- ▶ Be capable of implementation anytime, with and without warning.
- ▶ Provide full operational capability for essential functions not later than 12 hours after activation.
- ▶ Be capable of sustaining operations for up to 30 days.
- ▶ Include regularly scheduled Training, Testing & Evaluation.



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Developing a Continuity of Operations Program

Citizens have an expectation that government, especially public health and safety organizations, will continue to provide needed (or desired) services, regardless of the situation.



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COOP Overview: Benefits

COOP is a good business practice. It enables agencies to continue their essential functions across a broad spectrum of hazards and emergencies:

- ▶ Natural
- ▶ Manmade
- ▶ Technological
- ▶ National security emergencies



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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 Training, Testing & Evaluate program for validation

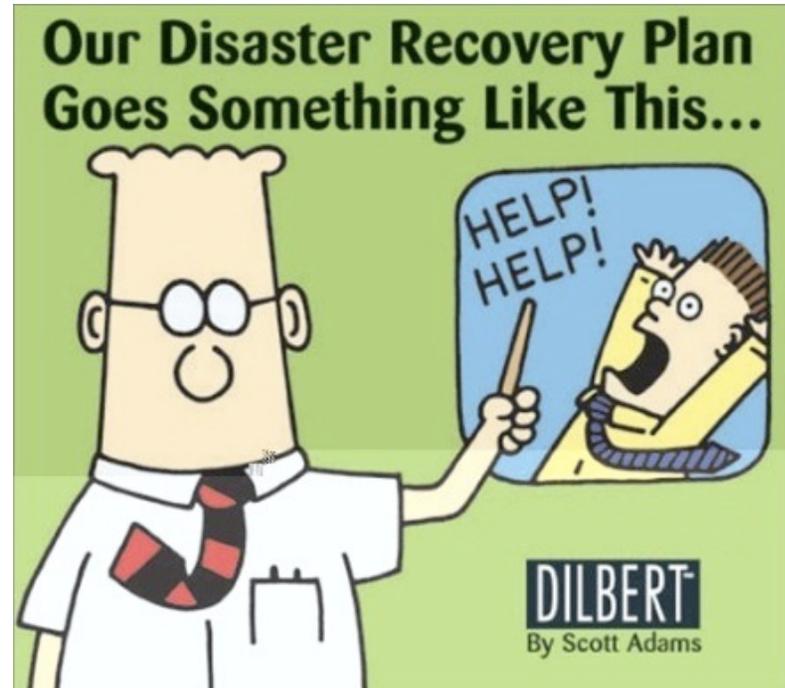


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How do we get there?

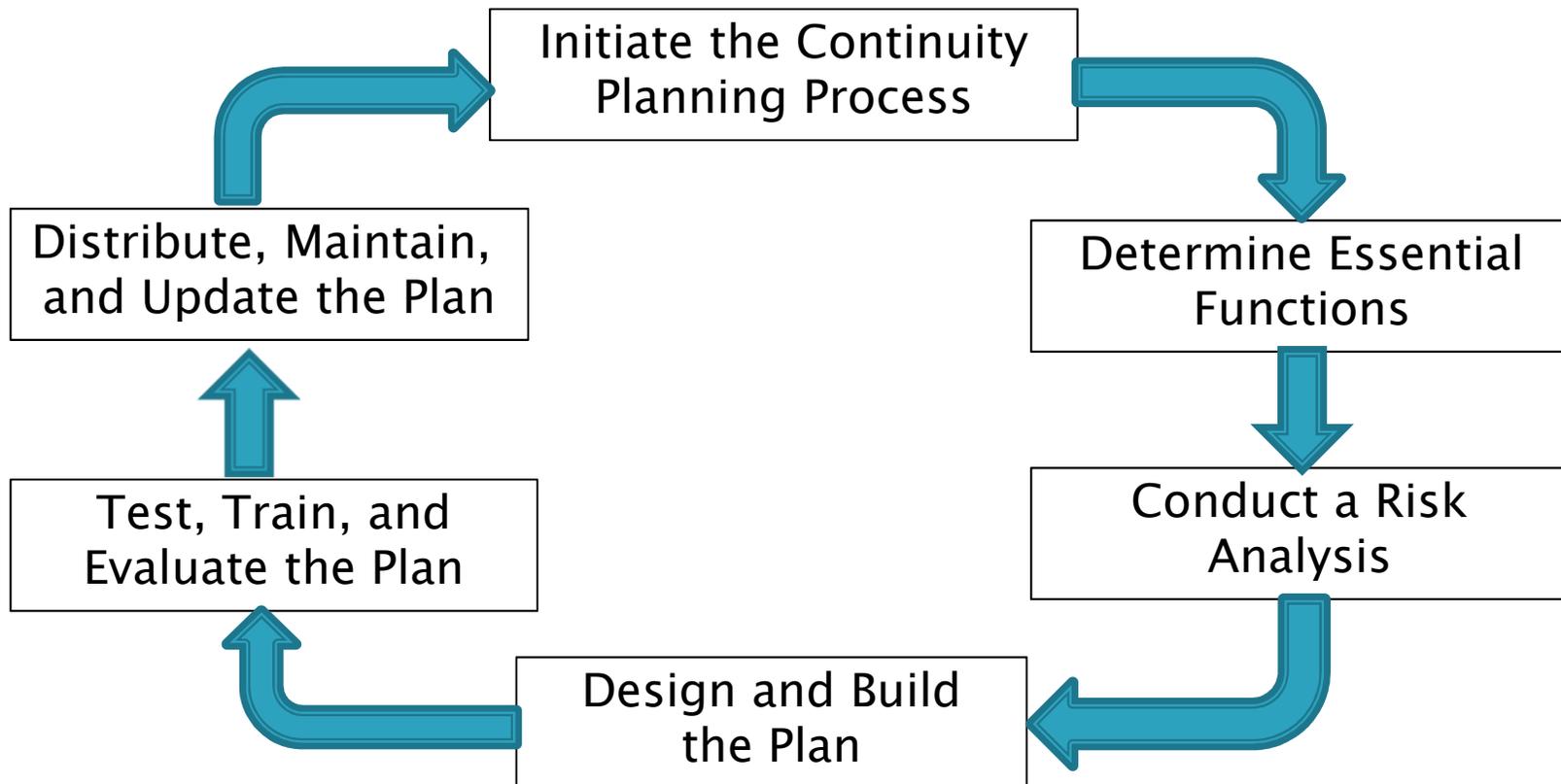
- ▶ Follow a planning process
- ▶ Use Project Management Framework
- ▶ Determine your risks
- ▶ Essential Functions
 - How do you do what you do?



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A COOP Planning Model

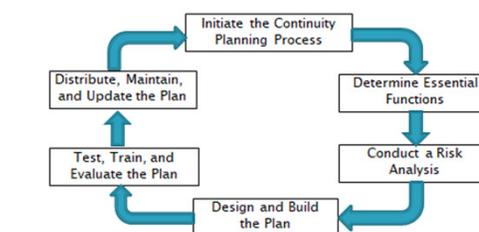


Step 1: Initiate the Continuity Planning Process

Assign one person that is ultimately responsible

- ▶ Get the right people on your planning team
 - Senior personnel
 - Operational Staff
 - Support staff (Information Technology, Telephones, etc)
 - Stakeholder entities and partners
 - Balance between “do-ers” and “tell-ers”
- ▶ Assign specific responsibilities
 - Essential functions, personnel, etc
 - Alternate Locations
 - Vital Records and Systems
 - Training and Exercise

A COOP Planning Model



Preplanning Criteria

Items that need to be identified include:

- ▶ Major tasks to be completed.
- ▶ Milestones for completion of each major task.
- ▶ Expectations for the continuity plan.
- ▶ Success criteria for the continuity plan.

Valid success criteria is:

- ▶ Measurable, so that it is known when objectives are met.
- ▶ Testable, so that tests, training, and exercises can be held.



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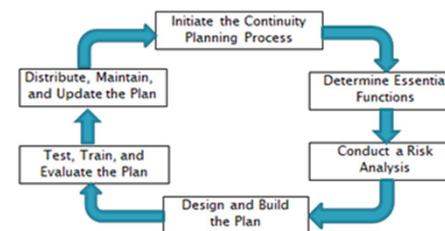


Step 2: Determining Essential Functions

Essential functions enable the organization to:

- ▶ Provide vital services.
- ▶ Exercise civil authority.
- ▶ Maintain the safety and well-being of the general populace.
- ▶ Sustain the industrial and economic base in an emergency.

A COOP Planning Model



Planning Basis – Essential Functions

Loss of this function would have the following effect on the organization:

- A. Catastrophic effect on the agency or some divisions
- B. Catastrophic effect on one division
- C. Moderate effect on the agency
- D. Moderate effect on some divisions
- E. Minor effect on the agency or some divisions



Planning Basis –Essential Personnel

Examine Consequences from a Vacancy.

- ▶ This methodology examines consequences when leaving a position vacant for any amount of time. It may also help to identify how authority to make decisions was delegated to others. It is helpful to identify which decision-making authorities were delegated to others during the vacancy.

Identify Key Positions by Questioning.

- ▶ Using this methodology, the COOP Planner ask personnel and management what potential consequences exist if a position were left vacant or were determined to be non-essential during an emergency.

Identify Key Positions by Historical Evidence.

- ▶ Utilizing After Action Reports, other documentation, interviews and personal experience during an emergency the COOP Planner examines which positions and skill sets were most essential during an emergency.



Sample Clinic Category / Functions

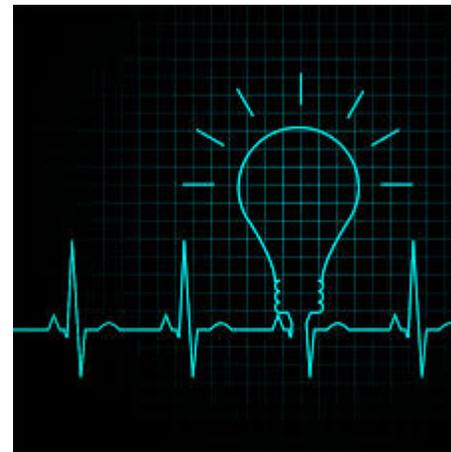
XYZ Clinic:

Total Employees: 50

5 Departments / Business Function

1. Clinic Head

- Oversee Clinic
- Professional Guidelines
- Work Force Requirements
- Recruiting
- Developing
- Training



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Departments / Functions (cont.)

2. Practice Administrator

- Day to Day Administration
- Operations
- Outpatient Personnel
- Coordinate Schedules
- Marketing
- Growth
- Financial
- Facilities Management

3. Clinic Providers

- Doctors
 - Exams
 - Immunizations
 - Health Maintenance
 - Acute / Urgent Medical
 - Pediatric
 - Obstetric
 - Gynecological
 - Psychiatric
- Nurses
 - Assist Exams
 - Administer Injections
 - Triage
 - Lab Reporting
 - Lab Transport



Departments / Functions (cont.)

4. Ancillary Service Providers
 - Mental Health
 - Substance Abuse
 - Counseling Referrals
 - Transportation
 - Communication
 - Visiting Nurse
 - Prescription Delivery
 - Health Education
 - Smoking Cessation
 - Asthma
 - Diabetes
 - Prenatal Care
 - Sexual Health
 - Nutrition
 - Exercise
5. Administrative Support Staff
 - Front Desk
 - Reception
 - Registration
 - Verify Insurance
 - Co-Pays
 - Schedule Follow-up Appointments
 - Transcription
 - Management of Records
 - Referrals for Specialty care
 - Lab Work
 - X-Rays
 - Coding and Billing

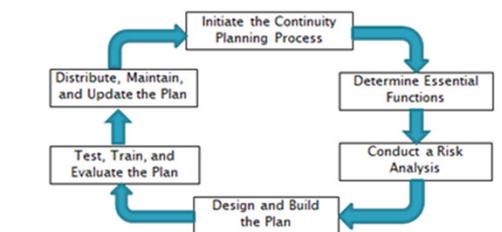


Step 3: Conducting a Risk Analysis

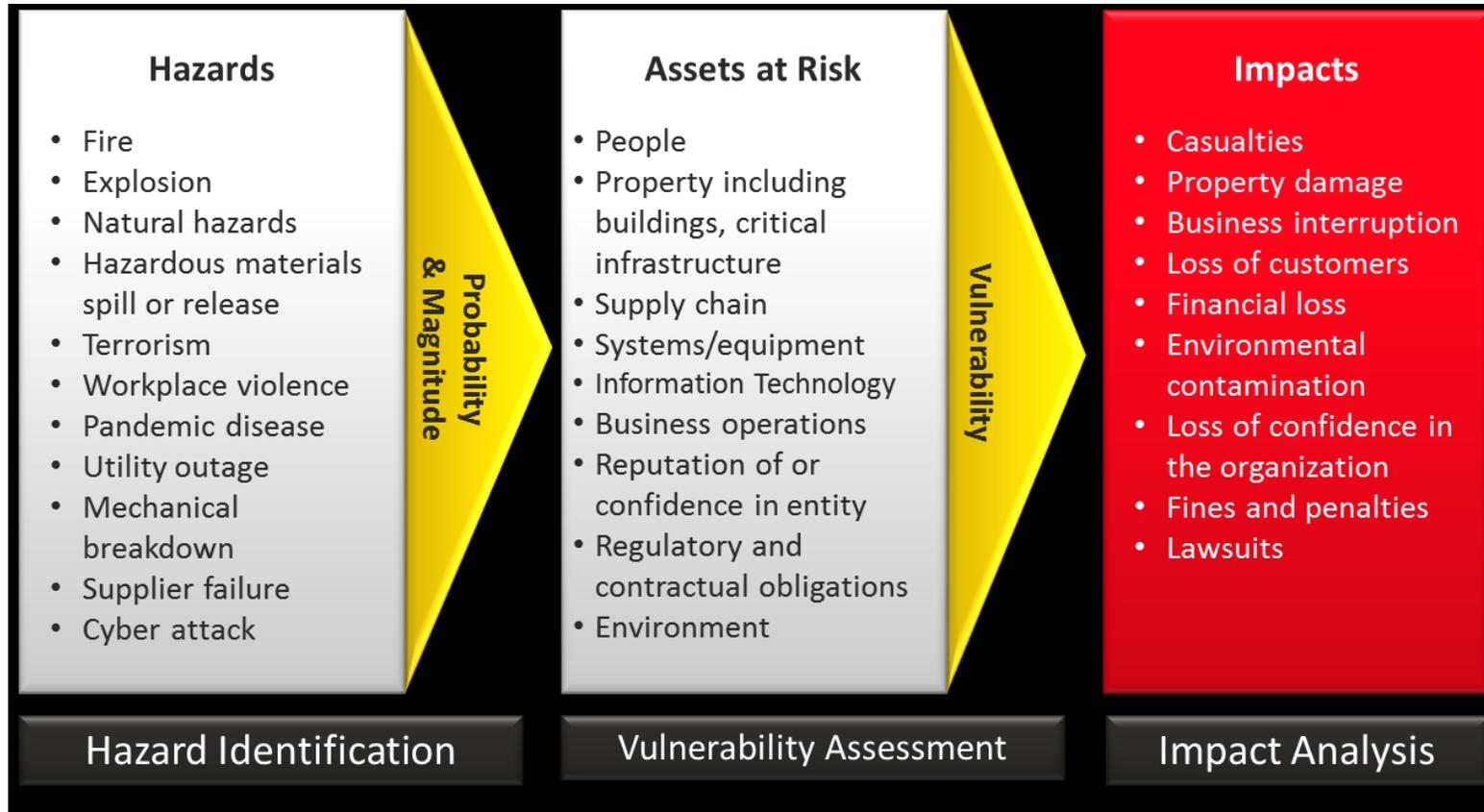
Factors to consider when comparing hazards are the:

- ▶ Frequency of occurrence.
- ▶ Potential magnitude and intensity.
- ▶ Probable spatial extent and duration.
- ▶ Speed of onset.

A COOP Planning Model



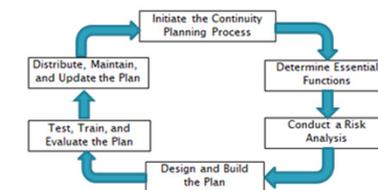
Risk Assessment



Step 4: Designing and Building the Plan

1. Ensure the performance of essential functions during a COOP event
2. Reduce the loss of life and minimize damage and losses
3. In the event a disruption renders leadership unable to assume their duties or responsibilities of office, successfully executing orders of succession,
4. Mitigate or reduce disruption to operations
5. Protect essential facilities, equipment, vital records and other key assets
6. Achieve a timely and orderly recovery from an emergency and reconstitution of normal operations that allows resumption of essential functions
7. Validate preparedness and COOP readiness through testing, training and exercising the programs that support the COOP plan
8. Ensure alternate facilities are available to continue performance of essential functions

A COOP Planning Model



Essential Functions and Personnel Orders

Orders of Succession

- ▶ Formal designation of who takes over a position that remains unfilled
- ▶ “3-Deep” Concept

Delegations of Authority

- ▶ “official documents by which the responsibilities and authorities of an office or official may be carried out by another office or designee(s) during an emergency condition or threat of such.”
- ▶ Delegations of Authority are not necessarily connected to formal rules of succession
- ▶ usually have triggers for activation, procedures outlining the delegation including notification of relevant staff of the transfer of power, and the limitations on the duration, extent and scope of the delegated authority/authorities



Planning Basis

- ▶ Risk Assessment
 - Natural Hazards
 - Technological Hazards
 - Terrorism
 - Catastrophic
- ▶ Laws, Rules & Regulations
- ▶ Essential Functions
- ▶ Essential Personnel
- ▶ Vital Records & Systems
- ▶ Alternate Locations –Where do we go?



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Vital Records

- ▶ Those that, if lost or impaired, directly impact your organization's ability to carry out essential functions and otherwise conduct business
- ▶ Financial
- ▶ Human Resource
- ▶ Legal



Critical Systems

- ▶ Systems that enable an entity to carry on its day-to-day business.
 - Information Technology
 - Communications
 - Security Resources



Alternate Locations

- ▶ Space Requirements for Alternate Facility
 - How long can it be occupied?
- ▶ Accessibility
- ▶ Logistical Support
- ▶ Not affected by same event as primary facility



List them all

- ▶ Rank them by criteria:
 - IT Infrastructure
 - Accessibility
 - Comfort
 - Safety
 - Health
 - Memorandum of Agreement / Memorandum of Understanding or Contract



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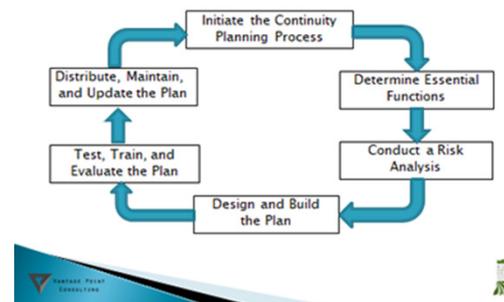


Step 5: Testing, Training, and Exercising the Plan

The program should cover:

- ▶ Individual and team training.
- ▶ Internal agency testing and exercising of continuity plans and procedures.
- ▶ Refresher training for continuity personnel.
- ▶ Interagency exercises, as appropriate.

A COOP Planning Model



Testing & Training

Testing a system ensures that it works as intended.

- ▶ Alert and notification procedures be tested at least monthly because of changes in personnel.

Types of training include:

- ▶ Individual and team training.
- ▶ Refresher training.
- ▶ Courses to improve continuity knowledge and skills.



Exercises

Exercises need to be progressive, developing from simple to complex scenarios, and should cover:

- ▶ A variety of potential hazards.
- ▶ A variety of operations.



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Homeland Security Exercise and Evaluation Program (HSEEP)

HSEEP

- ▶ Provides common exercise policy and program guidance.
- ▶ Constitutes a national standard for homeland security exercises.
- ▶ Uses consistent terminology that is appropriate for all exercise planning.

Discussion-Based

- ▶ Seminars
- ▶ Workshops
- ▶ Tabletop Exercises
- ▶ Games

Operations-Based

- ▶ Drills
- ▶ Functional Exercises
- ▶ Full-Scale Exercises

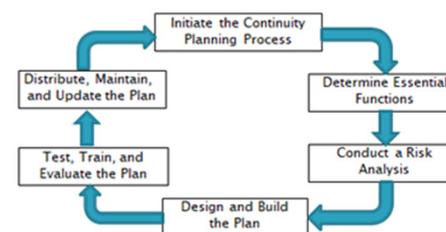


Step 6: Distributing, Maintaining, and Updating the Plan

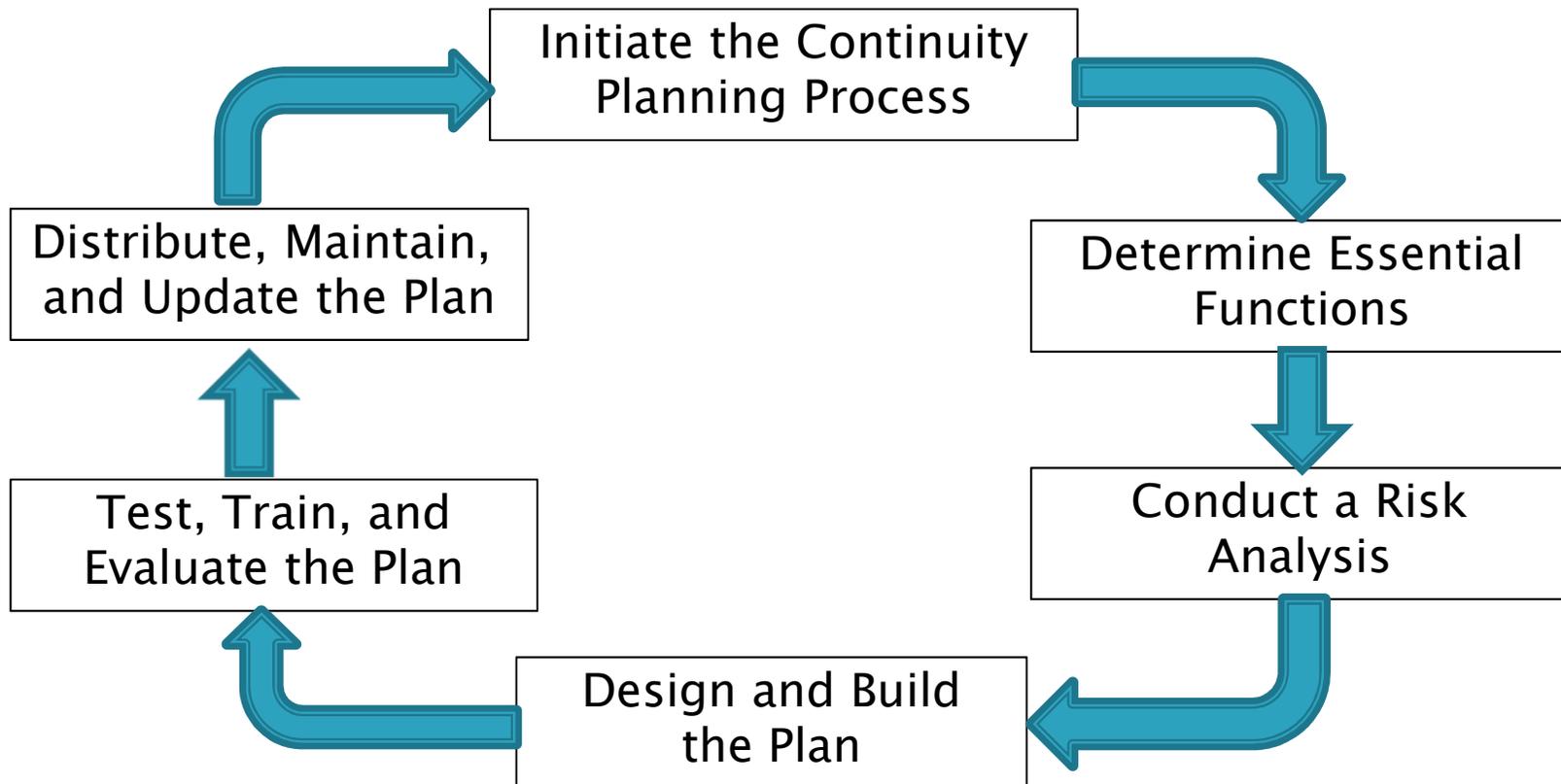
Distributing, maintaining, and updating the continuity plan requires the efforts and coordination of a designated review team. The responsibilities of this team include:

- ▶ Maintaining overall plan currency and readiness. Procedures, equipment, systems, personnel, and rosters need to be considered.
- ▶ Addressing and resolving continuity plan policy issues.
- ▶ Advising the agency head on continuity concerns.
- ▶ Coordinating among related plans, such as Emergency Operations Plans and Continuity of Government plans.
- ▶ Updating the continuity plan on an annual basis.

A COOP Planning Model



A COOP Planning Model



Conclusion

- ▶ Having a COOP Program in place enables your agency to meet the expectations of the public, especially in trying times when demands for your services may be especially high.
- ▶ Alternate facilities should be identified and coordinated
- ▶ Essential functions, and the times they are more critical, should be known and planned for.
- ▶ Essential personnel should be identified, orders of succession put in place, and delegations of authority issued and put in writing.
- ▶ Ensure you have procedures in place.



- ▶ Next Steps?
- ▶ Questions?
- ▶ Thank You!



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