

## COOP

### ▶ Continuity of Operations

#### ▶ WHOSE JOB IS IT???



## Healthcare Continuity

- ▶ “Preparedness is not solely about
- ▶ planning for the next sudden influx of
- ▶ patients but also about being prepared
- ▶ for events that impact IT systems, the
- ▶ physical plant, clinical and business
- ▶ Operations. Business Continuity
- ▶ operations. allows hospitals to more effectively achieve this.”

## COOP Defined

- ▶ A National Continuity Policy Implementation Plan
- ▶ Continuity of Operations (COOP), is an effort throughout our state to ensure that Primary Mission Essential Functions (PMEFs) of our hospitals and emergency services continue to be performed during a wide range of emergencies, including localized acts of nature, accidents and technological or attack-related emergencies.

## What is the Goal of Continuity?

- ▶ The ultimate goal of continuity in the executive branch is the continuation of National Essential Functions (NEFs).
- ▶ In order to achieve that goal, the **objective for organizations is to identify their Essential Functions (EFs) and ensure that those functions can be continued throughout, or resumed rapidly after, a disruption of normal activities.**



## Elements of Continuity Planning

- ▶ **Essential Functions** – The critical activities performed by organizations, especially after a disruption of normal activities.
- ▶ **Orders of Succession** – Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.
- ▶ **Delegations of Authority** – Identification, by position, of the authorities for making policy determinations and decisions.
- ▶ **Continuity Facilities** – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. Continuity Facilities.
- ▶ **Continuity Communications** – Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.
- ▶ **Vital Records Management** – the identification, protection and ready availability of electronic and hard copy
  - ▶ documents, references, records, information systems, data management software and equipment needed to support essential functions during a continuity situation.
  - ▶ **Human Capital** – during a continuity event, emergency employees and other special categories of employees who are activated by an agency to perform assigned response duties.
  - ▶ **Tests, Training, and Exercises (TT&E)** –
  - ▶ **Devolution of Control and Direction** – capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other agency employees and facilities
  - ▶ **Reconstitution** – The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

## 4 Phases of Continuity of Operations Activation

- ▶ **Four Phases of Continuity of Operations Activation**
  - ▶ **Phase I** – Readiness and Preparedness
  - ▶ **Phase II** – Activation and Relocation: plans, procedures, and schedules to transfer activities, personnel, records, and equipment to alternate facilities are activated
  - ▶ **Phase III** – Continuity Operations: full execution of essential operations at alternate operating facilities is commenced
  - ▶ **Phase IV** – Reconstitution: operations at alternate facility are terminated and normal operations resume

## Living Document



- ▶ A COOP is not a one-time project with an established start and end date. It is a living document that contains information and action plans that are viable and current. It should be tested once a year, or more as determined by management.
- ▶ The COOP itself is considered a vital record, and its information must be readily available to the people who will need it in hard copy format.

## 3 Paradigms of Continuity

- ▶ One Size Fits All Paradigm: **Reactive** Model
- ▶ Compliance-Based Paradigm: **Adequacy** Model
- ▶ Integrated Paradigm: **Resiliency** Model



## Adequacy Model Results

- Does not lead to excellence
- Compliant
- Limited organizational leadership and ownership
- Works with what is available– no investment
- Response is variable – better in some areas, worse in others
- Loss of revenue is the ultimate result leading to years of recovery



## Reactive Model Results

- Good Intentions– Unintended Consequences
- Fails to leverage internal resources and expertise
- Relies on insurance coverage rather than Business Continuity Investment
- Promotes confusion of responsibilities, roles, and methods of communication
- Ultimately results in failed recovery, closures, job losses



## Resiliency Model

- **Pre-Event**
- Strong leadership
- Ownership
- Integration of Emergency Management and Business Center
- Exceeds Compliance Requirements
- 



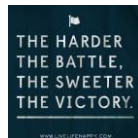
## Resiliency: Response

- **Leadership Response**
- Leadership understands and fulfills role
- Stakeholders are engaged
- Active communication and response using feedback loop
- Seeks innovative solutions
  - **Response from Team**
    - Roles understood, plan executed
    - Partners engaged
  - Follows communication plan
    - Awareness of needs



## Resiliency Recovery Results

- › Reduced loss of life
- › Reduced waste of essential resources
- › Community recovery/Participation in recovery
- › Implements lessons learned to reduce risks in the future
- › Reduced short term revenue losses



## INTEGRATED APPROACH

- › Leadership Buy In
- › Emergency Preparedness Team
  - Mitigation – preparedness– response– recovery
- › Business Continuity Team
- › Disaster Recovery Plan
- › All hands on deck approach



## Next STEPS

- › Share your readiness to move forward with the CEO and ask for team leaders to be appointed
- › Review the process time and time again
- › **Develop a template or multiple ones specific to the departments**
- › Begin to identify essential functions
- › Ask for regular team meetings set for the next 12 months
- › **Know that ICAHN is taking this to the CEO too**



## Building Blocks for Successful Recovery Plan

- › Introduction:
  - General information and description of each functional area
  - Purpose of the plan
  - Scenarios targeted
  - Underlying assumptions
- Strategies and Activities
  - Tasks
  - Timeline
  - Personnel
  - Critical vendors and Partners
  - Critical Equipment/Resources required
- Appendices
  - Maps
  - Contact lists, etc
  - Flowcharts



## Templates

- ▶ When you have finished one template, you have finished one template!
- Multiple plans for multiple scenarios for multiple departments



## What Can ICAHN Do to Support You

- Educate the CEO and team on the process
- Keep the requirement for a COOP in front of them
- Provide a monthly “newsletter” with tips for COOP
- Add templates and resources to our library
- Help you seek out and connect with expertise
- Remind you of training that is available



## What do you need to move forward?

- ▶ Trust the process
- ▶ Use your resources
- ▶ Ask for what you need



- 1 —
- 2 —
- 3 —

## What do you need right now?

