

# Putting Concepts into Action



## Healthcare Business Continuity Workshop

February 25, 2015

# Agenda

8:00-8:30 am	Registration
8:30-8:35 am	Welcome and Introductions
8:35-8:50 am	Exercise 1: Business Impact Analysis Review
8:50-9:30 am	Lecture: Case Examples
9:30-10:00 am	Lecture: The Business Continuity Plan
10:00-10:15 am	Break
10:15-11:30 am	Exercise 2: Using the BCP Tools, Part I
11:30-12:30 pm	Lunch (provided)
12:30-1:30 pm	Exercise 3: Using the BCP Tools, Part II
1:30-2:15 pm	Lecture: Recovery
2:15-2:45 pm	Exercise 4: Strategy for Recovery
2:45-3:15 pm	Exercise 5: Recovery and Resumption
3:15-3:30 pm	Closing Remarks and Evaluations

# Welcome and Introductions



Mark Ferguson  
Roel Amara  
Vanessa Gonzalez  
Cheryn Watkins  
Terry Stone  
Kurt Kainsinger  
Robert Vance  
Carol Snyder  
Sabrina Adelaine  
Isabel Oropeza  
Tamiza Teja  
Ryan Burgess  
Maricris Baronía

# Instructor



## Angela Devlen

Managing Partner  
Wakefield Brunswick

International healthcare disaster  
management and business  
continuity advisor

# Workshop Materials

- ✓ Participant Guide
- ✓ Evaluation Form
- ✓ Template
- ✓ USB
- ✓ Sample Plans

# Putting Concepts into Action



## Exercise 1: Business Impact Analysis Review



# Exercise 1

- ✓ List the top 3 successes in conducting your BIA [e.g. department gained a better understanding of the interdependencies needed to maintain mission critical services]
- ✓ List the top 3 challenges in conducting your BIA [e.g. departments struggled to identify what was most critical]

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## Lecture: Case Examples

# Case Example 1: Specialty Clinic

Southwest Colorado

Service disruption in 2013

Provided a preliminary 2-page plan based on similar clinics

- Mission Critical Processes
- Mission Critical Applications
- Vital Records, Supplies and Equipment
- 1-Page Recovery Actions

Conducted interview to validate and modify plan

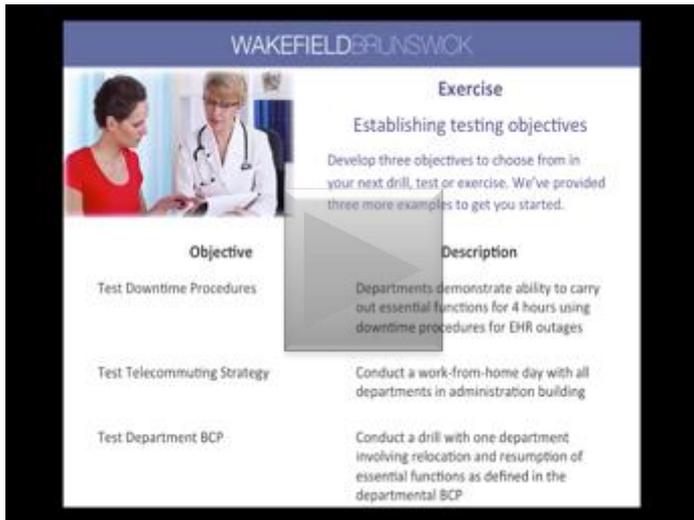
*“I wish we had we gone through the business continuity process before [2013], we would have resumed services much more quickly.”*

# Case Example 2: Health System



- Over 100 hospitals
- 9 in path of Hurricane Sandy
- Lessons learned from recent wildfires, pipe burst impacting mission critical services, and successful mitigation measures underscored value of Business Continuity

# Case Example 2: Health System



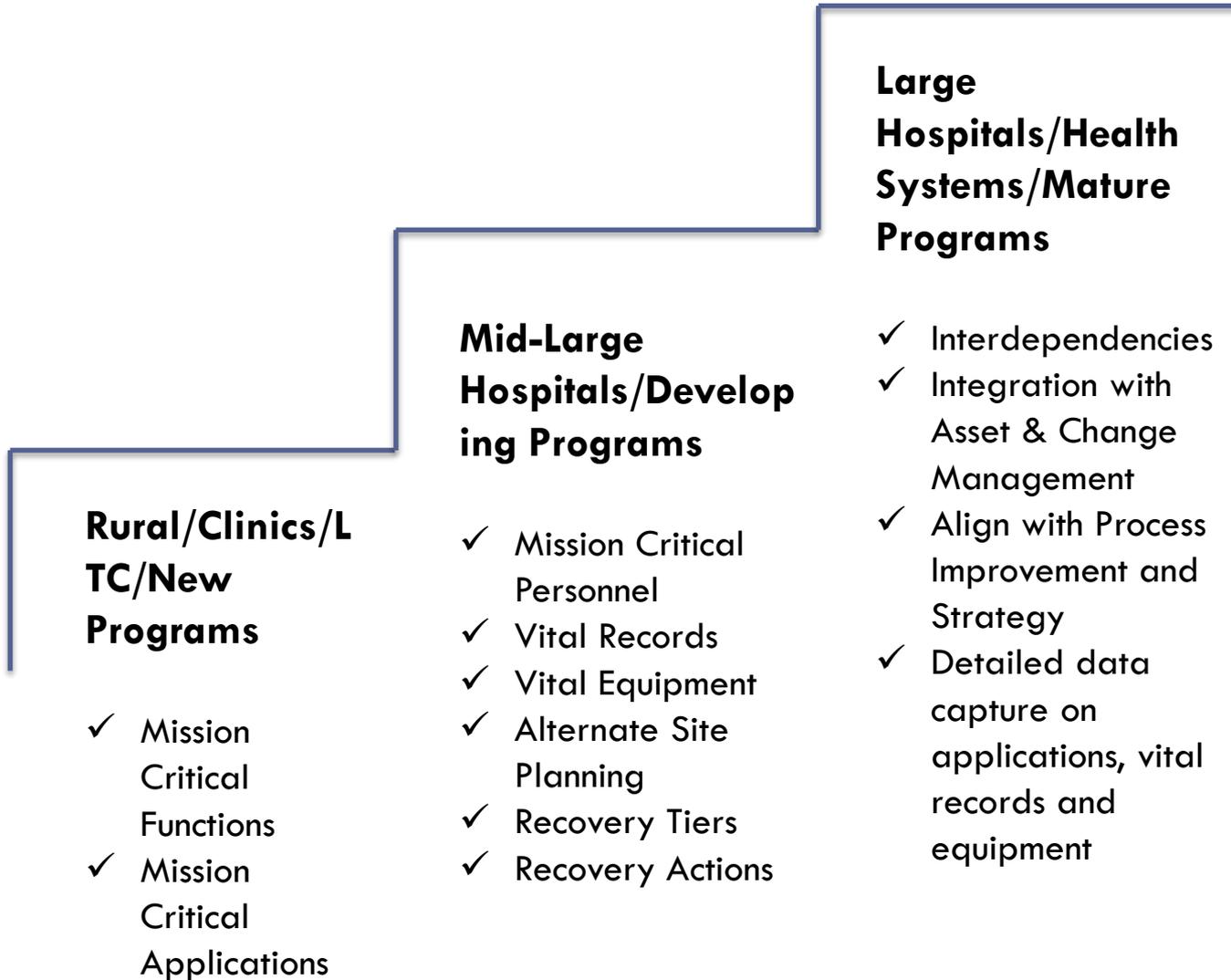
- eLearning program
- System-Office BCP
- 2 Pilots underway
- Comprehensive action-based plan
- Interdependencies
- Financial considerations

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## Lecture: The Business Continuity Plan

# Plan Elements



# Demo Clinic Plan

Division Name	Specialty Clinics
Division Vice-President/Director	
Phone Number	
Email Address	

BCP Contact	
Work Phone	
Emergency/Cell Phone	
Email Address	

Functions, Criticality and Recovery Priority							
Department	Essential Function or Service	Maximum Interruption Tolerance (hrs)	Functional	Application(s) Required to Perform Function or Service	Functional	Essential number of staff required	Can Work Be Performed At Home?
1 Specialty Clinics	Patient Appointment Scheduling	24 hrs		EMR-Healthland		2	No
2 Specialty Clinics	Patient Registration	24 hrs		EMR-Healthland		1 Admit Clerk, 1 Med Assist	No
3 Specialty Clinics	Patient Consultations	24 hrs		EMR-Healthland , Dictation via Medical Records		1 MD, 1 PA, 1 RN and 1 Med Assist	No
4 Specialty Clinics	Ordering and Renewing Prescriptions	8 hrs		EMR-Healthland		1 MD or PA	No

Vital Records				
Record Name	Record Type (Electronic/Paper)	Back up or Alternate Record	Location	
1 Patient records	paper and electronic	EMR	Specialty Clinics	
2 Waiver and transfer forms & processes	paper	Emergency USB Drive	Front Desk	
3 Paper templates for dispensing, tracking and charging	paper	Emergency USB Drive	Front Desk	
4 Prescription pads	paper	Emergency USB Drive	Front Desk	
5 Call tree	paper and electronic	Emergency USB Drive	Front Desk	
6 List of supplies needed to relocate and processes	paper and electronic	Emergency USB Drive, Materials Management	Front Desk	

Vital Equipment and Supplies					
Equipment/Supplies	Details	Normal/Par Level	Post-Incident	Gap	Relocate to
1 telephone, light, heat/air conditioning, pharmacy items, exam table		N/A			
2 computers, casting material, walking boots, wrist splints		N/A			

# Demo Hospital Plan



## Business Continuity Plan Template

[Name of Organization]

[Department Name]

- ✓ Activation
- ✓ Mission Critical Services, Processes and Recovery Priority
- ✓ Interdependencies
- ✓ Equipment and Supplies
- ✓ Vendor Call List
- ✓ Mission Critical IT Applications and Recovery Priority
- ✓ Downtime Procedures
- ✓ Vital Records
- ✓ Personnel and Loss of Staffing
- ✓ Loss of Corporate Services
- ✓ Alternate Location
- ✓ Closing Down and Relocation of Department
- ✓ Recovery
- ✓ Forms

**BREAK**

# Putting Concepts into Action



## Exercise 2: Using the BCP Tools, Part I

# Exercise 2: Using the BCP Tools, Part I

*Goal: To document your mission critical processes, mission critical applications, and vital records for your selected department.*

Step 1: Confirm Department

Step 2: Select Note Taker

Step 3: Document Mission Critical Processes [Table 1]

Step 4: Document Mission Critical Applications [Table 2]

Step 5: Document Vital Records [Table 3]

**LUNCH**

# Exercise 3: Using the BCP Tools, Part II

*Goal: To document your critical equipment for the continuity and/or recovery at an alternate site for your selected department.*

Step 1: Select Alternate Site

Step 2: Document Mission Critical Supplies [Table 4]

Step 3: Document Mission Critical Equipment [Table 4]

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## Lecture: Recovery

# Evaluate Strategies

## People

- ✓ Staff Rotation: Place focus on after the event
- ✓ Procedures for rapid recruitment and training
- ✓ Policies for flexible worksite and flexible work hours

## Process

- ✓ Supply Chain: Understand what is on-hand for critical supplies and plan for interruption of deliveries
- ✓ Support Services: Provisions for non perishable food that can be prepared in a powerless kitchen

## Place

- ✓ Alternate Locations/Mobile Services: Provisions for continuing services when primary location is unavailable
- ✓ Utilities: Contingencies for continuation or rapid resumption of essential services: e.g. Water that can be treated (Wells, generators for the ability to pump water)

# Evaluate Strategies

## Alternate Location

- ✓ Align plans for relocation and continuity of essential clinical services with surge/expansion plans
- ✓ Include Business, Research and Ambulatory Services
- ✓ Identify an alternate location for department/services

## Mobile Services

- ✓ Tent operations, portable surgical units, kitchens, labs, diagnostic imaging units, pharmacy units, etc.

## Supplies and Equipment

- ✓ Procedures to maintain or acquire appropriate inventory of critical equipment
- ✓ Procedures to maintain adequate supplies of water, non-perishable food items, batteries, medical supplies

# Exercise 4: Strategies for Recovery

*Goal: To determine strategies and requirements for continuity of operations + alternate locations in the event the primary location is unavailable.*

Discuss strategies to achieve your recovery time based on requirements established in Step 1.

Consider strategies for:

- Loss of People
- Interruption or Loss of Process
- Loss of Physical Location

Select or identify 3 strategies as a group.

# Case Example 3: Hospital

Boone Memorial Hospital continued to operate without regular water access for more than a week when a chemical spill forced the closure of one of West Virginia's largest water supplies.

# Case Example 3: Hospital

## Actions taken by Boone Memorial to remain operational

- ✓ Checked inventories immediately
- ✓ Conserved resources
- ✓ Sterilized instruments and cleaned their bed linens elsewhere
- ✓ Cafeterias remained open on a limited basis and with the use of disposable plates and utensils
- ✓ Canceled elective surgeries, and staff members who didn't work directly with patients were also asked to stay home

# Case Example 4: Clinic

## EHR Downtime Recovery Actions

- Assess/determine how long service may be interrupted.
- Establish a communication plan with to monitor progress and resolution.
- If available. print patient schedules and chart summaries for the next three days.
- Defer/reschedule any visits than can be delayed, [e.g. defer annual physicals].
- Notify partner health facilities.
- Prepare or access temporary paper charts for use in patient consultations during the system outage.
- Notify patients:
  - ✓ Schedule/appointment changes
  - ✓ Alternate location for appointments
  - ✓ How to renew prescriptions
  - ✓ Mobilize staff to enter patient visit information that was gathered when the EHR system was unavailable into the electronic charts once the system is restored. [e.g. scanning the paper charts, attaching scans to charts, destroy paper charts once rekeyed into system]

# Lesson Learned

Ensure strategies and procedures extend to recovery and resumption of normal operations. Begin recovery actions from onset of event to re-establish capabilities.

# Exercise 5: Recovery and Resumption

*Goal: To document the steps for closing down the department and procedures for setting up operations at an alternate location. The procedures should include steps for reopening/recovering operations and returning to normal operations.*

How are we going continue services during an interruption event?

What actions do our departments need to take to continue and recover mission critical processes in response to events adversely impacting their services?

Document recovery actions in Table 5 of your Template.

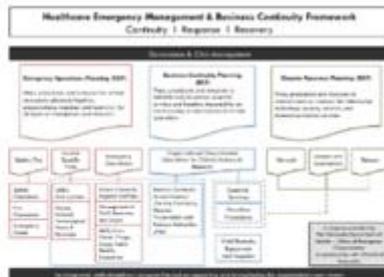
# Putting Concepts into Action



## Closing Remarks



5 Key Elements of Integrating Continuity with Strategy and Operations



Governance Action Plan

Follow the five-step process to establish the governance structure for your business continuity program.

For any business continuity program to be effective, a governance structure must be in place. Your steering committee will make decisions regarding your program. When developing your BCP and finalizing your business continuity plan, it is vital to determine the final objectives, use the data to inform strategy and ensure resources and funds which resources will be used for the program.

Answer the following questions. For an overview of a comprehensive checklist for the "Governance - Committees" document.

- 1. What are the strategic objectives of your organization? How do business continuity objectives align with the organization's strategic objectives?
2. Who is the steering committee? How do we ensure it has a diverse membership? How do we ensure the steering committee is effective in the long run?

GOVERNANCE

This steering committee leads quarterly to review progress reports and make decisions. Depending on the needs and size of the organization, this can be part of the responsibilities of an existing leadership committee or the establishment of a new committee. (See planning committee responsibilities) The leader responsible for the activities of the program can be a separate position or the responsibility of another leader. One business continuity director responsibilities if the selected leader is the emergency manager, continuity operational activities may be carried out under the existing emergency management (EM) committee structure. However, it is recommended that this role be considered to ensure when the emergency manager is a dedicated full-time employee.

Steering Committee

5 Key Elements of Integrating Continuity with Strategy and Operations

MoviePlayer .mov

LA County Exec PPT

PDF Document

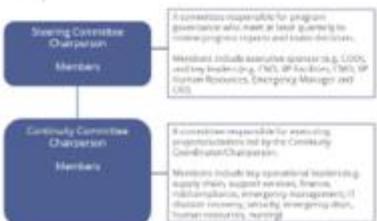
Governance Action Plan

Word Document

Governance - Committees

PDF Document

1 Establish a Governance Structure



Dear valued client,
The Office of the Incident Director for Preparedness and Response provides leadership and funding to our facilities through grants and supporting equipment to the subject healthcare organizations. We have created our planning efforts to align against the national funding process and identified business scenarios, also called continuity of operations (COOP), as an initiative throughout our contract to our great clients.
To provide further background I am enclosing a BCP Report that is a reference healthcare business continuity.
Do please let me, you will be pleased to email that provides further information about implementing a business continuity program for our organization. Please share these materials with our leadership team when you return to ensure our organization benefits from ongoing initiatives and funding.
You are invited to \_\_\_\_\_ with any requests or questions you may have about this initiative.
Kind regards,
Incident Director

Business Continuity for Healthcare Organizations

SBAR (Situation, Background, Assessment, Recommendation) format document for business continuity planning.

Engaging Leadership & Physicians in EM/BOP. A whitepaper discussing leadership engagement and physician participation in Emergency Operations and Business Continuity Planning through education and alignment with financial and strategic priorities.

To view the recording of the webinar + resources go to: http://www.wakefieldbrunswick.com/webinar.php



**Putting Concepts into Action**

**Healthcare Business Continuity  
Putting Concepts into Action**

LA County Workshop  
Presentation  
*PDF Document*

**Healthcare Continuity Management  
Program Overview**

Philip G. Business Continuity Consultant, Kaiser Permanente  
Thomas Williams Sr. Business Continuity Consultant Kaiser Permanente

Kaiser HCM Program  
Presentation  
*PDF Document*

**Step 6: Assess the impact when essential applications are not available**

Essential Function or Service	Application(s) Required to Perform Function	Public Safety Impact	Essential and Critical	Business Life

**Step 7: List what records needed to perform essential functions**

**Step 8: List what equipment and supplies needed to perform essential functions**

Questionnaire/BCP  
Template  
*Excel Document*

**DATA**

Identify essential services and applications

**Action Plan**

Develop your workplan and communications schedule

Design the

1. Meet with the steering committee to define your scope and objectives.
2. Create a communications schedule with departments with leaders to be defined.
3. Create questions - include impact definitions.

10 Step Action Plan  
*PDF Document*

### 10 Quick Tips for Successful

1. Send out introductory e-mail at least 2-4 weeks before kick-off with follow-up email one week prior.
2. Send out selected materials in advance of interview.
3. Conduct interviews immediately following kick-off.
4. Schedule 1-1/2 hour focused interview for subject/business unit and interviewee.
5. Schedule 1 hour 30-minute interview for IT staff.
6. Add the interview to a calendar (i.e., a calendar invite so they know the date, subject, duration, and location).
7. Schedule the interview back-to-back (with 15 minutes break for notes needed).
8. Send the interviewee a one-paragraph overview and review their consent to 3 people (include yourself) - on the side of less people.
9. You take all of the notes! Interviewees will have you for it and you will not get into better control of the project afterwards.



### Techniques for Successful Interviews

Technique	Description	Example
<b>Direct Question</b>	Direct specific information.	How would you rate the use of current testing when your son/daughter was in school/college?
<b>What if/Just Suppose</b>	Helps people reveal latent (not known) and abstract, personal information to describe critical situations.	What if your primary source of operations was unavailable - when would you be first to return or get department's essential functions?
<b>Use Prompts and Probes</b>	Use the answer you get to clarify all of it, to expand following an expansion, and to prompt more from people on the rocky terrain.	Repeat: Can you be more specific about that? - That's good, but it would help if you could give me a few examples. - How best does your organization?
<b>Summarize</b>	Periodically, recap the key points the interviewee has said. This helps ensure mutual understanding. It also serves as a language check.	So if I understand you correctly, your primary concern would be ensuring necessary records for disaster recovery operations. Is that correct?

**Engaging Leadership & Physicians in EM/BCP**

A Address for strengthening leadership engagement and physician participation in Emergency Operations and Business Continuity Planning through education and alignment with financial and strategic priorities.

**Healthcare Insurance Model**  
Define the role and responsibilities of an executive sponsor and committee representation and participation requirements consistent with state regulatory and accreditation requirements.

**Baseline or Ready, Steady, Go!**  
Define EM and BCP responsibilities and requirements of EM/BCP committees, committees, department leaders and physicians.

**How/How a One-Page EM/BCP**  
Send a report that details "leadership background, experience and responsibilities" information to key executive and physician leadership.

**Conduct a Healthcare Presentation**  
Customize EM and BCP to the nature of leadership priorities in Executive Leadership, Medical Executive Committee, etc. as an annual event.

**How/How an EM/BCP Annual**

To view materials from the workshop go to: <http://www.wakefieldbrunswick.com/workshop.php>

**Please Complete your Evaluation**

**Thank You**

Angela Devlen

[adevlen@wakefieldbrunswick.com](mailto:adevlen@wakefieldbrunswick.com)