Deploying the COOP Process for long term Hospital Events
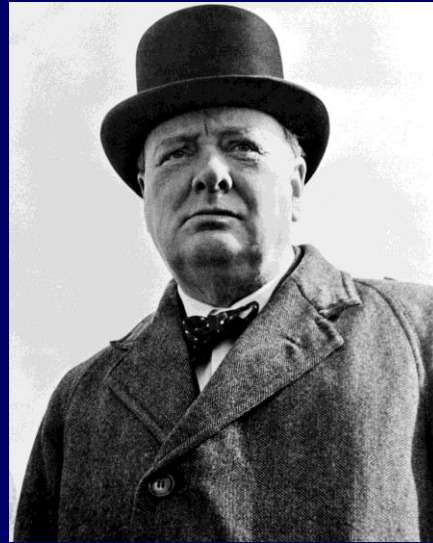
Kevin Bernard, MOL, EMT-P, CHEC III
Director of Safety, Presence Healthcare

Presence Health™

- Winston Churchill

"Let our advanced worrying become our advanced planning"

On April 18, 2013, Flash flooding closed Morris Hospital causing the urgent evacuation of 44 patients.

We will discuss putting the Hospital back to patient care levels and the COOP Process Learning experiences...

CONTINUITY OF OPERATIONS PLANNING

- 75,000 sq. ft. significant damage from flooding

- 89 beds closed for 13 days

- Walls Flooring, Electrical, IT, Insulation, equipment and garbage out

- Two departments remained semi- functional…FBS (OB) and the E.D. Request of food (cold), laundry/linen and specialized labs from external sources.
  Pharmacy and Lab moved to first floor

Goals - Objectives
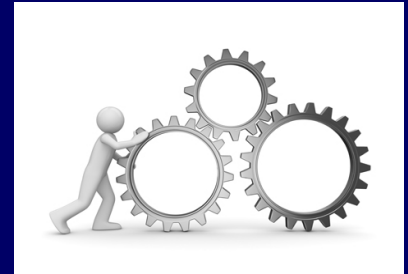
☐ <u>Goals</u> –

  ■ Enhance knowledge of core concepts and actions to restart hospital operations due to emergent events through the use of a COOP process

☐ <u>Objectives</u> –

  ■ Describe COOP Terms.

  ■ Describe benefits of COOP Planning

  ■ Describe the nine elements of the COOP Process

  ■ Describe mission essential functions.

CONTINUITY OF OPERATIONS PLANNING

Requires the four "Cs" of

Emergency Management:

- ✔ Communication
- ✔ Cooperation
- ✔ Collaboration
- ✔ Coordination

Continuity of Operations Plan

- COOP is an event driven, all-hazards and long-term survivability plan that ensures the sustainability and reputation of an agency.

- VERSUS

CONTINGENCY PLANNING

- An EOP is a plan that reacts during a disaster that focuses on life safety, property damage and mitigation.

EMERGENCY OPERATIONS

Good Business Practices

- Planning requires the review of critical functions

- Planning process considers threats that could impact the Hospital

- Determines vital resources: personnel and support functions

- Plans for **safety** of all personnel and patients

- Utilize "all hazards" approach

- SWOT ANALYSIS…..

SWOT

- ***Strengths:*** attributes helpful to achieving objectives and describing how they can be leveraged.

- ***Weaknesses:*** attributes harmful to achieving the objectives and how they can be minimized or neutralized.

- ***Opportunities:*** external conditions helpful to achieving the objective.

- ***Threats:*** external conditions harmful in achieving the objective.

The simple explanation

Personnel

What do we have to do?

Procedures

Who? **When?** **Where?** **How?**

Resources

Facilities
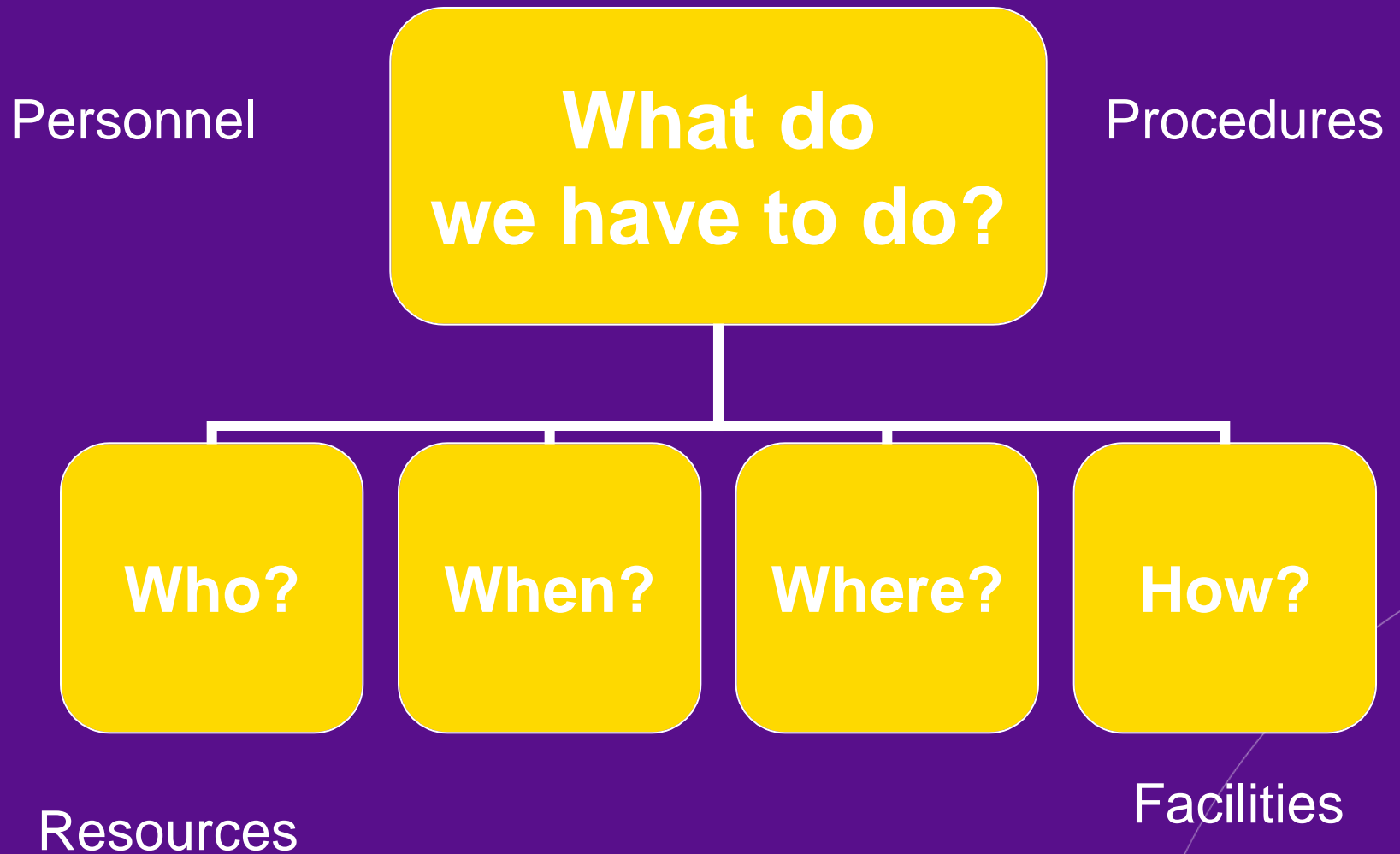
COOP

- Addresses four phases of emergency management

  - *Mitigation*
  - *Preparedness*
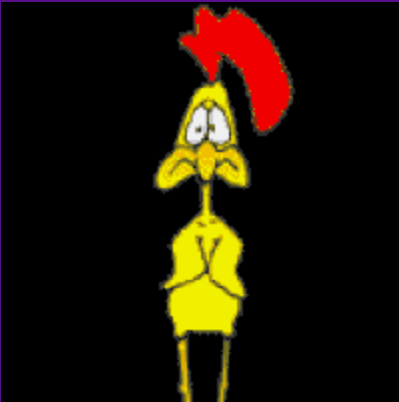 - *Response*
  - *Recovery*

ALL HAZARDS:
- Natural
- Manmade
- Technological
- National security

When the chickens get out of the COOP

- What is the plan?

- How insane do you need to go?

- Find the line between complacency and paranoia

Nine elements to COOP Planning

Initiate the COOP Planning Process

Distribute, Maintain, and Update the Plan

Delegations of authority
Essential functions
Alternate facilities
Interoperable communications
Vital records and databases
Human capital management
Tests, training, and exercises
Devolution
Reconstitution

Conduct a Risk Analysis
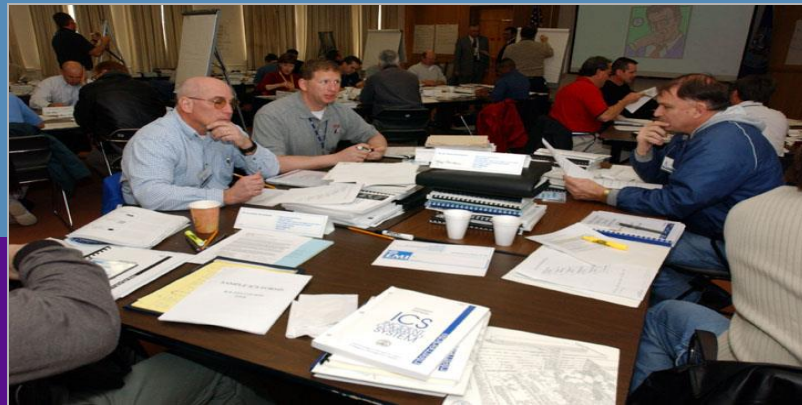
Test, Train, and Exercise the Plan

Conduct an Impact Analysis

Design and Build the Plan

Determine Essential Functions

Appoint the COOP Program Manager.

- **Your individualized plan must reflect what your facility will do to pr**THERE IS NO CUT AND PASTE APPROACH**hazards with the _UNIQUE_ resources it has or can obtain**

# Planning Considerations

- Ensure continued performance of essential functions
- Reduce loss of life/minimize damage
- Ensure succession of key leadership
- Reduce/mitigate disruptions to operations
- Protect essential assets
- Achieve timely recovery/reconstitution
- Maintain program for validation
- <u>Does it mesh with the Hospitals Strategic and Facilities Plan?</u>

Essential Functions
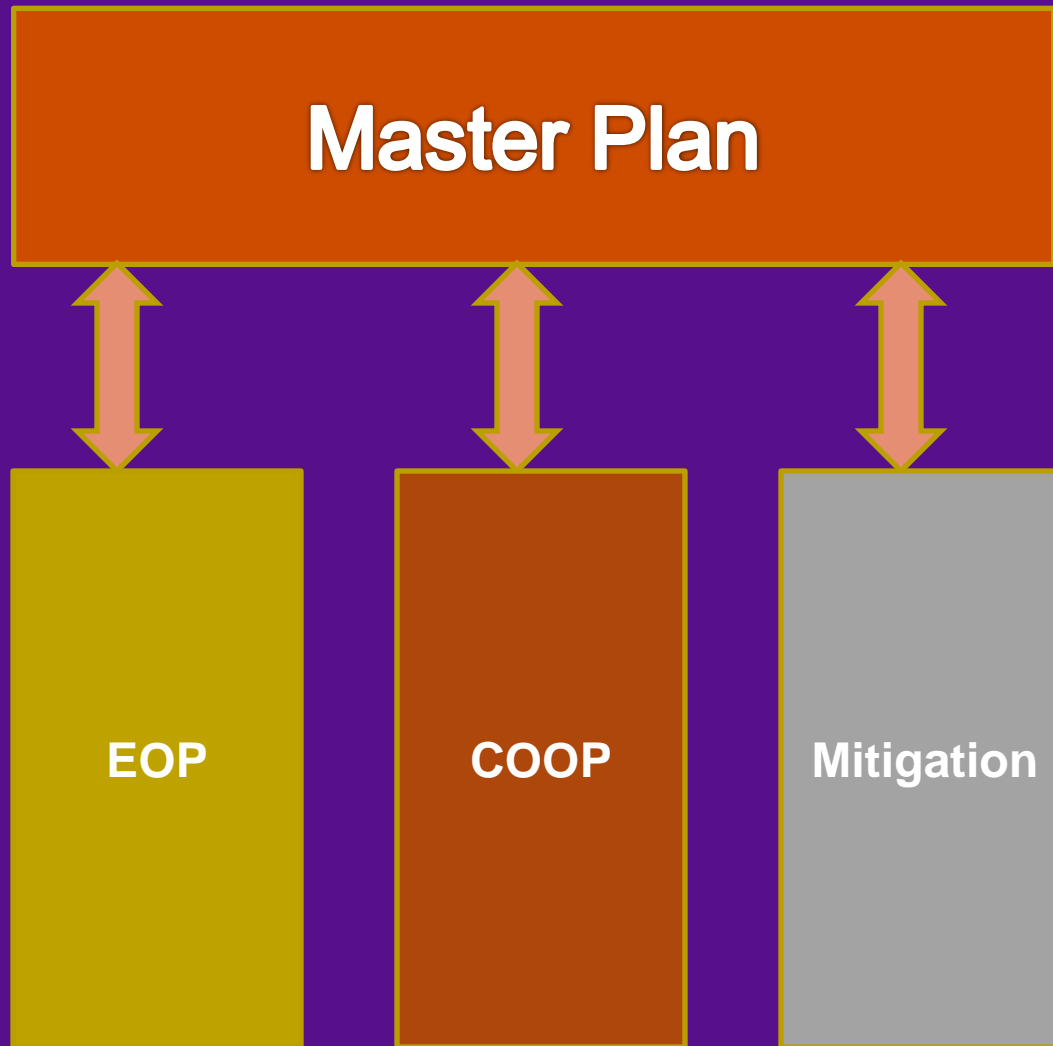
Business Continuity

- Capable of implementation anytime!

- Provide full operational capability for essential functions no LESS than 12 hours after activation.

- Be capable of sustaining operations for up to 30 days.

- Include regularly scheduled TT&E.

- Resumption of full service to the community as soon as possible

Testing Training

"If you wish to control the future, study the past."

-Confucius (551 B.C. to 479 B.C.)

A Perspective on Lessons Re-Learned

- **Flood Categories (in feet)**

- Major Flood Stage: **22**
- Moderate Flood Stage: 18
- Flood Stage: 16
- Action Stage: 13

- **Historical Crests**
  (1) 24.91 ft on 04/19/ **2013**
  (2) 24.84 ft on 09/16/ **2008**
  (3) 23.91 ft on 07/14/ **1957**
  (4) 23.90 ft on 02/21/ 1916
  (5) 23.13 ft on 11/29/ 1990

Is this another 500 year flood in two years?

ILLINOIS RIVER AT MORRIS
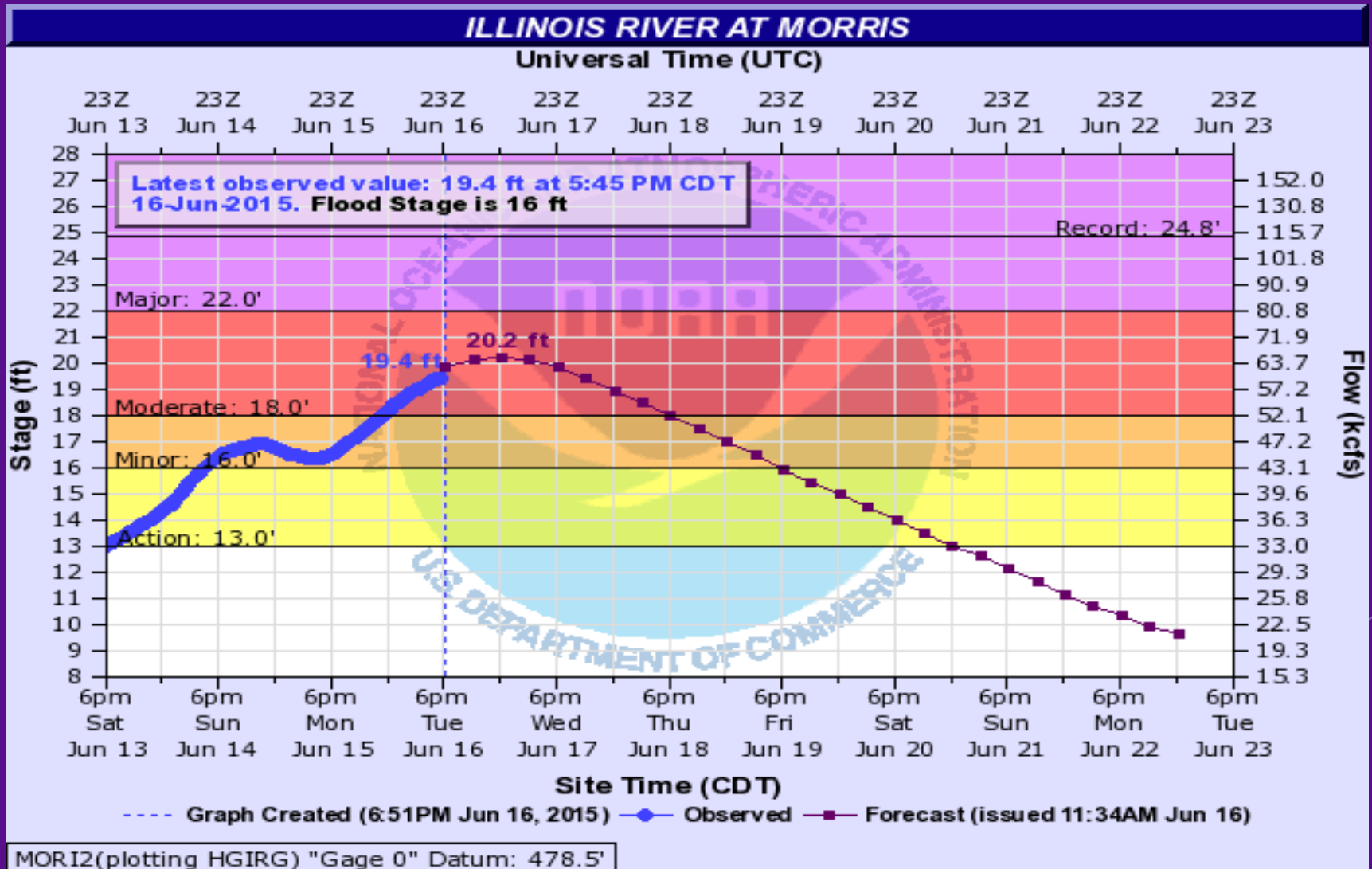
What would your community do without you?

- Do you have resources for resiliency & sustainability?

- Are key members always relied upon?

- Are other resources required? Do they have a COOP?

Will you provide service for other communities?

Essential steps

Create a plan with procedures that address all-hazards assumptions – this primarily entails assembling the optimum members of a planning team:

Decision makers - Who, AND HOW MANY, fully understand the Hospital capabilities as well as its critical functions?

Bring them to the table!!!

DISASTER RECOVERY PLANNING

Recovery Priorities for Critical Business Functions

Department	Priorities	Maximum Allowable Downtime			
<Department Name>		1-2 Days	3-5 days	1-2 weeks	> 2 weeks
Contracts	Critical	X			

Statement of Purpose

- The statement need not be long, but it should summarize concisely the intent of your COOP.

Risks/hazards identified

• Risks are variable and dependent on your specific geographic location, as well as additional considerations such as special pops, distances to local hospitals and capabilities of those neighboring medical facilities.

…any preparations you make before an event are alarmist

…any preparations you've made, when evaluated after an event, are inadequate

Disaster Recovery

Identification of risks and hazards

Please have interoperable cooperation with your local emergency management officials, public health authorities and regional hospitals as well.

Vendor Lists

Vendor Name	Goods/Service Provided	Contact Name	Address	Phone #
Master Service Agreements and other contractors – lists Agreements and Insurance databases				

Identify critical functions and services

- Identification of the services that your Agency delivers on a regular basis

- Ranking and prioritizing the order of importance of these needed during times of emergency

  - By law

  - By charter

  - By expectation----community!

- The business functions that must be continued with no or minimal disruption

Training Testing and Exercises.

Plan training for identified COOP personnel (individual/team)
Periodically test alert and notification procedures
Plan periodic exercise of operational plans, alternate facilities, interoperable communications
Follow HSEEP process
Plan joint agency exercises

	Severity of Impact						
		Least ------>		to ------>		Greatest	Comments
	Impact Area	1	2	3	4	5	
1	Cash Flow Interruption						
2	Inoperative Billing Systems						
3	Inoperative Financial Controls						
4	Loss of Customers						
5	Financial Reporting (Banks, IRS, etc.)						
6	Increases in Liability						
7	Loss of Public Image						
8	<Department Name> and Regulatory Violations						
9	Contractual Violations						
10	Vendor Liabilities & Relations						
11	Customer Liability & Relations						
12	Effect on Employee Morale						
13	Staff Resignations						

Identify key personnel and orders of succession –

- Select the minimum number of staff required to carry out the services needed to continue in an emergency.

- Ensure the correct persons are chosen and that they have a thorough understanding of the strengths, weaknesses, capacity and overall capabilities of your agency.

Orders Of Succession

Successors

- You should identify 2-3 successors for key leadership positions to ensure coverage for illness and absenteeism

- Some projections say to expect up to 40% of the workforce to be absent during a severe pandemic

- These key positions may include:
  - Executive Director/President
  - Director of Operations/CNO
  - Medical Director
  - Others ?

Delegations Of Authority
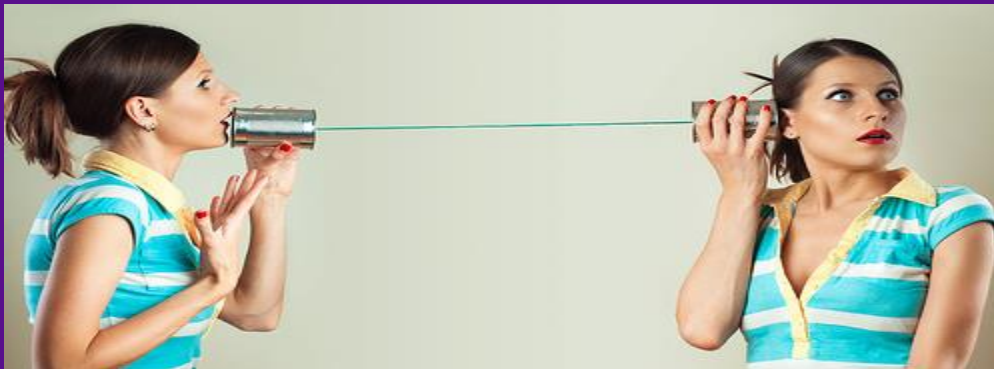
Delegation of Authority

- Documents legal authority for officials –

- Including those below the head of the agency - to make key policy decisions during a COOP situation

- <u>This is not the same as Orders of Succession – authority has a beginning and an end</u>

- Think of it is bringing in the reserve players!

Devolution

Identify communication systems and emergency lists –

- Create a comprehensive communications plan.
- Covers employees, vendors, customers, creditors, funding agencies,
- TICP IS A MUST (tactical interoperable communication plan)

- Create, update and circulate (in various mediums – electronic and paper) phone and e-mail communication chains.
- These should include emergency contacts for everyone.

Communications

Computer System Reports

Report Name	Report Description	System Produced From	Alternate Sources of Report or Information

Software Application

Software Application	Publisher or Vendor	Platform	Recovery Criticality

Identify alternate facilities- points to consider:

- Assure whatever put your primary facility has under duress or out of commission hasn't/will not affect your alternate.

- Only what has been previously identified as essential must be re-located

DANGER END OF STORM DRAIN

Alternate Facilities

Comprehensive emergency contact lists:

Accounts, Banks, Landlords, Insurance Agents/companies, Public works, Media outlets, telephone companies – and constantly updated

Include an overall inventory list – e.g., all assets including their dates of purchase, initial cost, and identification/serial number – and a current list of employee contact information (including home phones, cell phones, and local addresses)

Vital Records

Recovery

What triggers or events will cause you to actually activate the COOP?

Conduct an Impact Analysis

4 = Catastrophic. The agency could not function from its facility.

3 = Major. Agency operations would be disrupted for more than 12 hours.

2 = Moderate. Some functions may be interrupted but operational within 12 hours.

1 = Minor: Agency operations could continue with little or no interruption. No need for COOP Plan implementation

Your greatest asset is the people!!!

Inform employees of the plan, ensure employees with responsibilities have been properly trained

Plan for high employee absenteeism – as well as determining the feasibility of at least some staff working from home/telecommuting

HR—plan for absent employees?

Conflict resolution and de-escalation in place?

Human Capital Management

The most important factor,

BUY-IN !!

Ensure leadership fully understands the need for and purpose of a COOP plan.

Makes development and implementation of the plan a high priority.

'It will not do to leave a live dragon out of your plans
if you live near one'
-J.R.R Tolkien, The Hobbit

We often make our own trouble!

Some days we just get stuck, and bogged down.
Some days all you can do is smile and wait for someone to kindly
remove your butt from the hole you find it wedged into.

Consider all Departments not just IT
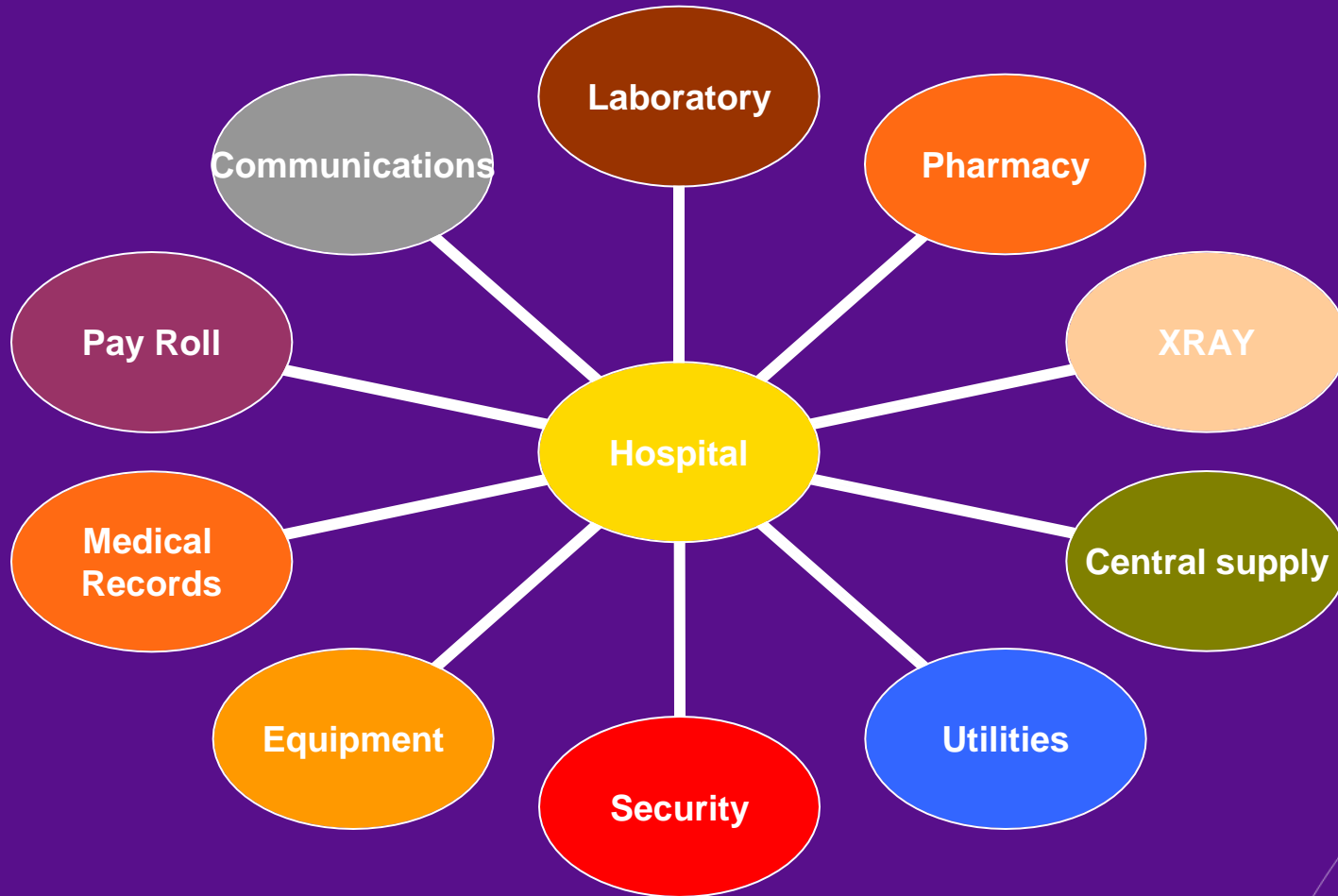
Family Support Planning

- Leaders must encourage all personnel to plan for family safety and security during COOP operations

- We would want employees to focus on maintenance of functions- what can you to help eliminate some potential family safety issues

- Remember those with special needs, both employees and those with family members who may need assistance

- Activate an information call in number for employees

If they aren't ready.. either are you

How is your office?

- Review and actually practice your emergency evac. Protocols with Clinical areas and Admin at the same time.

- What would you ABSOLUTELY want or need to take with you!   Keep this "GO Bag" of items easily accessible and portable.

- Make sure to test your back up / alternative work locations periodically to make sure that people have the access and supplies that they need.

One of the tests of leadership
is the ability to recognize a problem
before it becomes an emergency.
Arnold H. Glasow
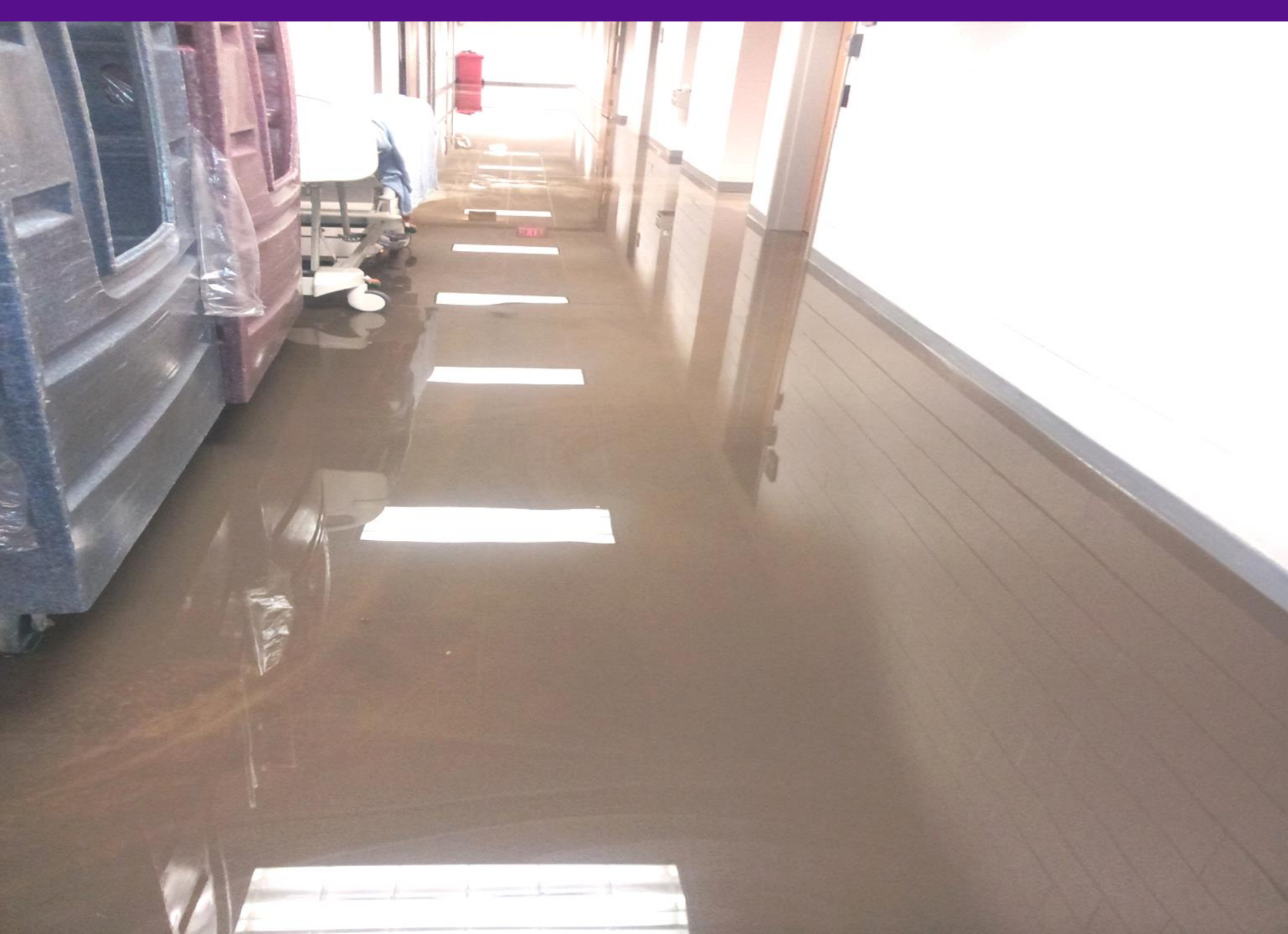
Know the plan, be part of planning

- Avoid the "*Paper Plan Syndrome*"
- Use of HICS, *and documentation.*
- *Use the Planning sector!!*
- *Interoperability is a MUST!! No Silos!!!*

If it's foggy in the Pulpit…….
It will be hazy in the Pews…

INCIDENT COMMAND DOES NOT END WHEN THE
FLOOD SUBSIDES…….

What's the plan?

Damage reversal updates

- **Complete the HICS 251 Facility Systems Status Report**

- **Structural and Non-Structural Damage**

Know what your Insurance Policy
                    will and *will not* cover!!

Types of Eligible Work-   FEMA

Emergency Work
(Categories A-B)
- Debris Removal
- Emergency Protective Measures

Permanent Work
(Categories C-G)
- Mitigation

☐ Salaries, wages and fringe benefits (for emergency work, only overtime, including fringe benefits, is eligible)

☐ Materials

☐ Applicant-owned equipment

☐ Contract costs incurred for eligible work, including engineering/design services

Contracted Services

- Safety.

- Security..Security..Security.

- Productivity.

- Diversity and Sexual Harassment concerns.

- Clear understanding of Hospital Regulations…

Checklist for Reopening

- **Management-**
- 1. Health and Safety of Patients/Staff.
- 2. Adequate resources, personnel, and re-supply…
- 3. Approval of applicable government authorities.
- 4. How will continued construction affect patients?.
-
- **Questions to Ask:**
- 1. How will you notify the public?
- 2. How will you repopulate the hospital?
- 3. What will enhance future response?

SUPPLY CHAIN MANAGEMENT

- Get your Relationships with specialty vendors in place now (MOU'S) (dry ice, document restoration, disaster recovery consultants, Industrial Hygienists, etc…). **Consider these your corporate insurance policies!**

- Practice evacuating or relocating high dollar/hard-to replace supplies/Equipment. **Know where they will go in the event of a disaster (on and off site locations)**

- **What would you do if you lost your loading dock ?**

Create a social media

• Twitter, Facebook, LinkedIn, etc.. presence.

• It may be your only way to communicate outward. PIO driven!!

• **Get ahead of the media – make sure they're prepared to assist you if necessary.**

Concluding thoughts

- Engage your agency in understanding the dependencies and vulnerabilities of the Organization and Community.

- Develop practical, prudent strategies and plans to maintain operations.

- Maintain your plans so they remain relevant over time – your COOP is not "set it and forget it"
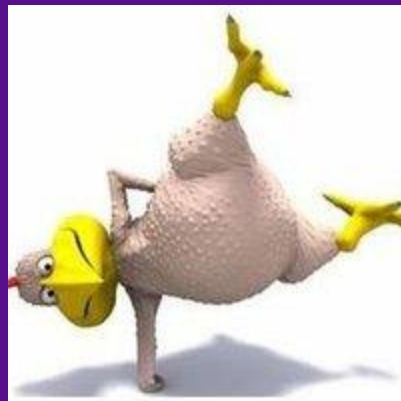
Concluding thoughts

- **Ensure continuous performance of essential functions**

- **Ensure safety and reduce stress among employees**

- **Minimize harm (physical, financial, and psychological)**

- **Protect essential facilities, equipment, records, and assets**

- **Reduce disruption of operations**

- **Achieve a timely and orderly recovery from any crisis**

Establish your COOP now…Form a team …use the outlined format.

COOP Resources

Training: (FEMA EMI)

- IS-546 Continuity of Operations (COOP) Awareness Course
- IS-547a Introduction to Continuity of Operations (COOP)

WITH A COOP PLAN

WITHOUT COOP PLAN

Questions?

Kevin Bernard
E-mail-
kevin.bernard @*presencehealth.org*