Business

Recovery

Toolkit

Table of Contents

Document Utilization Checklist

We recognize everyone has experienced a significant increase in professional demands and the amount of time to review a new document may seem daunting. To help your organization get started with this Business Recovery Toolkit, we recommend following the action steps listed below:

☐ **Send** the **Gap Analysis Worksheet** to your emergency management committee, safety committee, QAPI team and/or the group which provide oversight for your organization's emergency preparedness planning.

☐ **Complete** the **Gap Analysis Worksheet**, individually or as a group.

☐ **Review** the **Gap Analysis Worksheet** results as a team and **then prioritize your organizations identified gaps** (prioritization methods are provided at the end of the worksheet) to determine what need to be addressed immediately.

☐ Incorporate your worksheet and findings into your COVID-19 AAR/IP.

☐ **Send** the **Continuity of Operations (COOP) Planning Checklist** to your emergency management committee, safety committee, QAPI team and/or the group which provide oversight for your organization's emergency preparedness planning.

☐ **Complete** the **Continuity of Operations (COOP) Planning Checklist**, individually or as a group.

☐ **Review** the **Continuity of Operations (COOP) Planning Checklist** as a team and develop a timeline to create a COOP or update your current plan.

Introduction

The West Central and Central Minnesota Preparedness Coalitions and the Northwest Health Services Coalition have contracted with All Clear Emergency Management group to develop a Business Recovery Toolkit with an anticipated focus on business recovery specific to COVID-19. The goal of this project is to provide the coalition membership with practical and applicable tools and resources to assist in their recovery efforts while maintaining a response posture.

Background

The COVID-19 Pandemic has highlighted the gaps in planning and preparedness across the broad spectrum of industries throughout the world, but healthcare has particularly been impacted with a higher rate of negative outcomes and poor public perception, focusing on the lack of planning, supply chain integrity challenges and staffing shortages. Along with COVID-19, incidents such as 9/11 and disasters such as Hurricane Katrina impacted dozens of healthcare facilities, the 2018 Camp Fire resulted in a full scale evacuation of the Santa Rosa Medical Center, and the 2011 Joplin Tornado resulted in the catastrophic loss of infrastructure of the St. John's Regional Medical Center have demonstrated the need for continuity planning so healthcare facilities are able to provide patient care, ensure a safe working environment for their personnel, and continue their essential services during and after an emergency.

Continuity of Operations (COOP) planning is different from other emergency operating procedures. While most other emergency operating procedures deal only with the immediate aftermath of a disaster (e.g., shelter-in-place, evacuation procedures), COOP plans address immediate response, short-term planning, and long-term planning. Furthermore, COOP planning focuses on the continuation of essential functions following an emergency.

How to use this Business Recovery Toolkit

This Business Recovery Toolkit is designed to assist healthcare facilities in developing the "new normal" while recovering non-essential business functions and provide strategies for maintaining essential functions during this transition.

What is included?

- Gap Analysis Worksheet
- Continuity of Operations (COOP) Planning Checklist
- Business Recovery Resources

Training sessions:

- Four training sessions will be available for participants to break down the steps involved in creating a Business Recovery Plan
- The sessions will be recorded and available as a refresher as you work through the process.

Gap Identification Worksheet

Organization/ Department Name:	Date:

Instructions

This worksheet is intended to identify the gaps experienced by your department and/or organization related to COVID-19 Response. This is the first step towards a gap analysis of your organizations COVID-19 Response. Once this worksheet is completed, you will then answer questions about the impacts these gaps had on your department and/or organization. Based on your responses from this worksheet and the gap analysis worksheet, your organization will be able to clearly articulate areas of concern and gaps which should be prioritized and mitigated first.

The goal of this worksheet is to determine the "WHY" something happened the way it did.

Process Guidance:
Task #1- Read "Question" column and discuss with appropriate staff.
Task #2- Document the discussion in the "Response" column.
Task #3- Identify the root cause i.e. why did "X" fail? and document the gap in the "Identified Gap(s) column."

Communication

The following questions are focused on understanding the exchange of information as well as the utilization of communications methods and devices during COVID-19 response.

Note: Additional blank boxes have been provided if your group identifies additional questions.

Question	Response	Identified Gap(s)
Describe any challenges your organization and/or department experienced regarding communication equipment and/or technology.		
Describe how your organization and/or department experienced challenges communicating internally with staff.		
Describe how your organization and/or department experienced challenges communicating with patients and/or family members.		
Describe how your organization and/or department experienced challenges communicating with external partners.		

Supply Chain

The following questions are focused on understanding how your supply chain was impacted COVID-19 response.

Note: Additional blank boxes have been provided if your group identifies additional questions.

Question	Response	Identified Gap(s)
Describe what challenges your organization and/or department experienced with supply chain and procurement.		
How did the supply chain challenges impact your facility or its ability to provide certain services?		
Describe how your organization and/or department experienced challenges when utilizing new or non-traditional vendors as temporary suppliers.		
Describe any assistance, or lack thereof, you experienced pertaining to Supply Chain and its impact on your facility *i.e. Coalition, State, or Federal supply chain assistance.*		

Services and/or Activities

The following questions are focused on understanding why certain services/activities/events were paused and how this impacted your organization during COVID-19 response.

Note: Additional blank boxes have been provided if your group identifies additional questions.

Hospital/ Outpatient Questions	Response	Identified Gap(s)
List which services your department and/or organization paused or scaled back during COVID-19.		
Why were these services paused? *i.e. was it mandated or was it an internal decision?*		
What was the impact on your organization/department and your patients/residents?		
Describe challenges your organization experienced to maintain patient and community trust.		

Non-Hospital Questions	Response	Identified Gap(s)
List which services/activities/events your organization paused or scaled back during COVID-19.		
Why were these services/activities/events paused? *i.e. was it mandated or was it an internal decision?*		
What was the impact on your organization, staff, and your patients/residents?		
Describe challenges your organization experienced to maintain patients/residents, family, and community trust.		

Staff

The following questions are focused on understanding staffing challenges during COVID-19 response.
Note: Additional blank boxes have been provided if your group identifies additional questions.

Question	Response	Identified Gap(s)
Describe any challenges your organization experienced when the requirement for remote work was required.		
List the personnel positions your department and/or organization has furloughed and/or eliminated. Why were these positions furloughed and/or eliminated?		
Describe how your organization and/or department experienced challenges with staffing shortages. Which positions have been the most difficult to staff?		
Describe how your organization and/or department experienced challenges with tracking staff members time correctly and compensating them based on time worked and/or additional "bonus" and/or "hazard pay."		
Describe how your organization supported staff *i.e. new services, childcare (onsite or offsite), scrubs provided.*		
Describe services your organization was no longer able to provide to staff *i.e. CE Trainings, childcare (onsite or offsite), meals.*		
Describe how these decisions impacted the morale of your staff.		

Property

The following questions are focused on understanding how the organization's and/or department's infrastructure impacted COVID-19 response.

Note: Additional blank boxes have been provided if your group identifies additional questions.

Question	Response	Identified Gap(s)
During COVID-19, has your department and/or organization altered its normal practices to utilize alternate locations and/or spaces, internally or externally, to function? Why? *i.e. setting up drive thru testing, converting med surge beds to ICU beds, moving administrative offices to an offsite location, acquiring buildings/structures/tents to offer testing or respiratory treatment.*		
Describe any building modifications your organization implemented for COVID-19 response i.e. negative pressure room, converting a common area into a COVID unit.		
Are these modifications temporary or permanent? Describe the impacts of these modifications to your organization's operations, temporary or permanent, to include regulatory ramifications.		
Describe any building modifications that were not able to be implemented due to time and/or funding during COVID-19 response. Would these modifications have increased your department's and/or organization's capabilities/capacity to respond?		

Next Steps

Upon completion of this worksheet your group will have identified gaps related to COVID-19 Response. The next action is to discuss how these gaps should be prioritized. The next pages offer two different approaches for prioritizing the gaps identified. Your organization may use one or both methods.

Moscow Prioritization Instructions

MoSCoW is a prioritization technique for helping to understand and manage priorities. The letters stand for:

- **M**ust Have
- **S**hould Have
- **C**ould Have
- **W**on't Have this time

Must Have: Defined as <u>Not legal without it</u>; <u>Unsafe without it</u>.

Ask the question 'what happens if this gap is not mitigated?' If the answer is 'cannot complete essential functions', then it is a Must Have requirement. If there is some way around it, even if it is a manual and painful workaround, then it is a Should Have or a Could Have requirement. Categorizing a requirement as a Should Have or Could Have does not mean it will not be delivered; simply that delivery is not guaranteed.

Should Have: Defined as <u>Important but not vital.</u>

One way of differentiating a Should Have requirement from a Could Have is by reviewing the degree of pain caused by the gap not being mitigated, measured in terms of operational value or numbers of staff/patients affected.

Could Have: Defined as <u>wanted or desirable but less important; Less impact if left out compared with a Should Have.</u>

These are the requirements that provide the main pool of contingency since they would only be delivered in their entirety in a best-case scenario. When a problem occurs and the deadline is at risk, one or more of the Could haves provide the first choice of what is to be dropped from this timeframe.

Won't Have This Time: These are gaps which the team have agreed will not be mitigated (as part of this timeframe). Won't Haves can be very powerful in keeping the focus at this point in time on the more important Could Haves, Should Haves and particularly the Must Haves.

Action Step: Based on the definitions above, place the identified gaps in one of the four categories

Moscow Prioritization

Must Have

1. Non-negotiable
2. Minimum viable product
3. Unable to deliver the end product without this
4. Not legal with it
5. Unsafe without it
6. Without this project is not viable

Should Have

1. Important but not vital
2. Maybe painful to leave out but the solution is still viable
3. May need some kind of workaround

Could Have

1. Desirable but not as important as Should Have
2. Only do if there is extra time and budget

Won't Have

1. Won't have this time around at all
2. Out of budget
3. Nice to have but has no real impact

Must Have	Should Have	Could Have	Won't Have

Eisenhower Box Instructions

The Eisenhower Matrix, also referred to as "**Urgent-Important Matrix**", helps you decide on and prioritize identified gaps by urgency and importance, sorting out less urgent and important gaps which you should either delegate or not do at all.

We call the **first quadrant Do** first as its tasks are important and need to be done based on your organization's most urgent timeline.

The **second quadrant** we call **Schedule**. Its tasks are important but less urgent.

The **third quadrant** is for those tasks you could **delegate** as they are less important than others but still urgent.

The **fourth and last quadrant** is called **Don't Do** because it is there to help you sort out identified gaps you should not working on.

See this link (https://www.youtube.com/watch?v=tT89OZ7TNwc&feature=youtu.be) for an explanation of the Eisenhower Box

Action Step: Based on the definitions above, place the identified gaps in one of the four categories

Eisenhower Box

	Urgent	Not Urgent
Important	**Do (Do it now.)**	**Decide (Schedule a time to do it.)**
Not Important	**Delegate (Who can do it for you?)**	**Delete (Eliminate it.)**

Continuity of Operations (COOP) Planning Checklist

Organization/ Department Name:	Date:		

Instructions

The overall purpose of continuity planning is to ensure the continuity of the essential functions under all conditions. This worksheet is intended to capture a snapshot of the elements required for a continuity of operations (COOP) plan for your organization. This document should be a reference document for the development of a full COOP Plan and/or during a COOP activation. This is not intended to be a comprehensive planning guidance document.

Essential Functions
Essential Functions are generally broad statements that may have several different methods of accomplishing them. When thinking about your organization's and/or department's essential functions consider the following:

"X" is what our organization must ensure for its operations to continue.

Example of Healthcare Organization's Overall Essential Function
- *Provide residential care services until infrastructure and/or staffing no longer allows*

Examples of Essential Functions for a department/unit: Labor and Delivery
- *Provide birthing services*
- *Treat and stabilize infants*
- *Provide postpartum care*
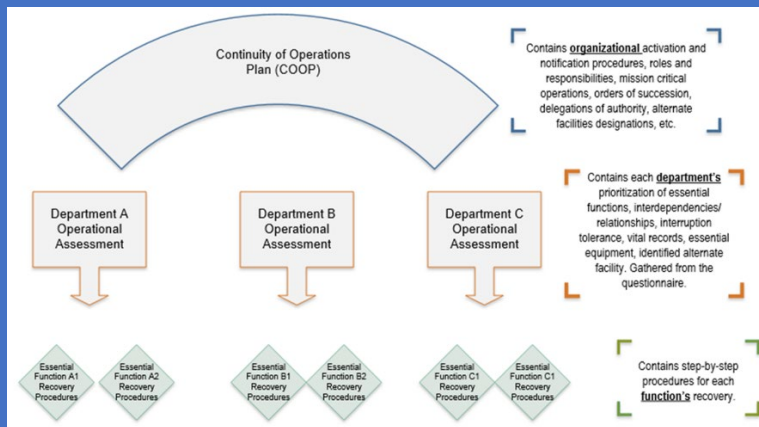
Question	Response
What are the Essential Functions your organization and/or department provides?	

Consider what services you continued during COVID-19.	
Which areas affect patient care/patient safety?	
Which areas affect staff/staff safety?	
Which areas affect infrastructure safety?	
Describe the financial impact if your essential functions were not operable.	

Key Personnel

Question	Response		
What type of staff would your organization and/or department require to maintain its essential functions? Examples: RN, PT, C-NA, EVS, MD, Secretary, Cook, Security, Infection Preventionist, Maintenance	**Position Title**	**Number Required**	
In every organization there are people act as the single point of information for how to complete certain tasks and hold the historical knowledge due to longevity and/or certain niche functions they perform.	**Cross Training**	**Staff Member Name**	**Trainer**

Identify who needs to be trained to ensure secondary and tertiary roles are proficient in their essential function responsibilities. what cross training needs to occur, and who will be the trainer i.e. the person who is the single point of information.			

Orders of Succession and Delegation of Authority

Bottom Line Up Front (BLUF): Your organization needs to identify the primary, secondary, and tertiary persons for essential positions, and their level of decision making authority, to ensure essential functions are operational.

Orders of Succession
It is important to have three people identified within each organization and/or department who understand the primary job responsibilities of the organization and/or department and what is required to continue its essential functions and operations. Please provide the position title and name of the persons who understand and can ensure the primary job responsibilities of the department and/or organization.

Delegation of Authority
Delegation of Authority is provisional authority that is determined prior to an event occurring and provides the right leadership with the ability to make decisions during business interruptions.

Emergency Authority: is the authority delegated as a temporary role to meet the needs of the immediate emergency situation only. Once the emergency has concluded or a higher level of authority has been located, the emergency delegation will be returned to the higher level. If a higher level of authority is not readily available after the event, the emergency authority will remain in effect until replacements can be made at the correct level.

Administrative Authority: delegated to maintain fully operational activities until replaced. The duration of the delegation is until the delegate is relieved by a higher rank when possible.

Primary Role	Delegation of Authority	Secondary (Who is your back up to the primary)	Delegation of Authority	Tertiary (Who is your back up to the secondary)	Delegation of Authority	Is training required and/or needed?

Critical Records, Databases, Systems, and Equipment

As an organization works towards achieving this COOP element the primary considerations for successful completion mean the following have been planned for: identification, protection, and availability of information systems and applications electronic and hardcopy documents, references, and records needed to support Essential Functions.

Question	Response
What hard copy documents does you organization and/or department need to maintain your essential functions?	
What are the current internal processes for maintaining records and databases?	
Does the organization/department have remote access capability? Consider: Is the right equipment available and has the person(s) been credentialed to have remote access?	
Describe how your department and/or organization manages information technology. Consider what your actions would be in a fiberoptics line was severed and you lost internet or if your organization experienced a cybersecurity event.	

Alternate Facilities: Internal and External

BLUF: It is necessary to identify the locations, both internal and external, for where your organization and/or department would operate if the primary location was unavailable.

Pre-Identification of Location
- Formal agreement for use, co-location and dual use issues
- Equipment /supplies (medical, office, communications) and security needed/provided (pre-positioning of resources)
- Logistical considerations – utilities, food preparation, hygiene and lavatory

Pre-identification of Services

- Level and scope of care
- Staffing requirements
- Transportation of patients and patient tracking

Internal
Example: If there is a leak that puts the business office location out of service, where else can the business operate internally? Consider equipment, space needs, connectivity (phones, Wi-Fi access, fax machine), etc.

Department Name	Normal Business Location	Alternate Location #1	Alternate Location #2	Specific Department Needs/Services

External
Example: If there is a leak that makes the business office out of service and the internal alternate location is unavailable, where else can the business operate externally? Consider equipment, space needs, connectivity (phones, Wi-Fi access, fax machine), sister facilities, etc.

Department Name	Normal Business Location	Alternate Location #1	Alternate Location #2	Specific Department Needs/Services

Communications
To ensure full connectivity among leadership, internal elements, and other organizational entities to perform Essential Functions during a COOP activation.

Question	Response
What are your plans and procedures for *internal* communication systems and messaging?	
What are your plans and procedures for *external* communication systems and messaging?	
What are your plans and procedures for Alternate Facilities communications systems and messages?	
What does testing your communication systems involve?	
How would your department and/or organization determine when to activate a COOP Plan? How would this activation occur?	

Devolution

As a result of a catastrophic impact to services, staffing and/or infrastructure, devolution will occur. Devolution is defined as a transfer of essential functions to a like facility and/or movement of patient and staff to a like facility. If an organization and/or department is forced to devolved their essential functions it means the organization and/or department's staff, infrastructure, and/or the alternate care site are either unavailable and/or unable to maintain essential functions.

Conventional Operations	• Fully Staffed • Infrastructure Operable
Contingency Operations	• Fully Staffed • Infrastructure Compromised
Crisis Operations	• Unable to Staff • Infrastructure Compromised

Question	Response
Do you have a corporate structure which would support devolution of patient care?	
Do you understand your local and state MOU options for devolution of patient care i.e. transfers to like facilities?	
Describe the community impact if your organization is unable to perform its essential functions. Consider loss of patients (customers), loss of revenue, reputation damage. Has your organization considered how it would recover from this decision?	

Reconstitution

The process by which the organization can resume normal operations from the original or a replacement of the primary operating site(s).

Question	Response
What are your procedures for determining if your department and/or organization is ready for reconstitution?	
What does the transition from downtime procedures to normal business operations look like?	

How should reconstitution be communicated to your staff and community partners?	
How would your organization prioritize reconstituting the non-essential functions?	

Test, Training, and Exercises (TT&E)
Tests and exercises serve to assess and validate all the components of COOP, policies, procedures, systems, and facilities.

Question	Response
Does your facility plan an annual CEU and training calendar?	
Would it be possible to integrate EM and COOP trainings and exercises to correspond with that calendar?	

Business Recovery Resources

[Basic COOP Information](#)

[Federal COOP Resources](#)

[Healthcare COOP Resources](#)

[COOP Templates](#)