**CONTINUITY OF**

**OPERATIONS PLAN**

**TEMPLATE**

**2014**

**[Insert Document Classification]**

In accordance with , dated \_\_, the [insert department or facility name] has deemed this document to be [insert document classification]. As a result, the document and information herein are restricted to authorized personnel and other personnel designated by the [insert department or facility name].

Contents

[ANNEX A – Administration 1](#_Toc379352659)

[ANNEX B – Facilities 5](#_Toc379352660)

[ANNEX C – Medical Staff Services 9](#_Toc379352661)

[ANNEX D – Nursing 12](#_Toc379352662)

[COOP PLAN Checklist 16](#_Toc379352663)

[DEFINITIONS AND ACRONYMS 18](#_Toc379352664)

# ANNEX A – Administration

Purpose:

Input a purpose statement in the plan about the department. Insert more lines as needed.

**Note: Please list all Departments within Administration. Please update as needed for your department.**

|  |
| --- |
| Departments within Administration |
| Executive |
| Finance |
| Risk Management |
| Human Resources |
|  |
|  |
|  |

#### Administration Essential Functions:

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |

#### Finance Department Essential Functions

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Key Positions and Delegation of Authority

Note: Please identify key positions needed to ensure essential functions are accomplished. Please duplicate for every department.

|  |  |  |  |
| --- | --- | --- | --- |
| Key Positions | Successor 1 | Successor 2 | Successor 3 |
| Example:  CEO | Deputy CEO | COO | CFO |
| Clerical |  |  |  |
|  |  |  |  |

#### Non-Essential Positions

|  |  |
| --- | --- |
| Positions | Alternate Role during COOP activation |
| Internship Coordinator  Provide emergency medical care | Family Assistance Center Coordinator |
|  |  |
|  |  |
|  |  |

***Vital Records and Critical Infrastructure***

|  |  |  |
| --- | --- | --- |
|  | Mode | Backup |
| Patient Records | Electronic | Remote Server |
| Patients |  |  |
| Sister Hospital |  |  |

C***ommunications:***

|  |  |  |
| --- | --- | --- |
|  | Mode of Communication | Updates |
| Internal Personnel | Call Log | Quarterly |
| Patients |  |  |
| Sister Hospital |  |  |

***Communication***

|  |  |  |
| --- | --- | --- |
| Form Of Communication | Location | POC and Alternate POC |
| Radios | Room 230 in Professional Building | IT Coordinator |
| Satellite Phone |  |  |
|  |  |  |

***Alternate Locations***

|  |  |  |
| --- | --- | --- |
| Departments | Alternate Facility | Address |
| Administration |  |  |
| Accounting |  |  |
| Emergency Care |  |  |
|  |  |  |

# ANNEX B – Facilities

Purpose:

It is the role of the Facilities Department to ensure that the Hospital's facilities and medical equipment are safe, meet applicable codes, and are supportive of the Hospital's mission to be the best healthcare institution in the areas of patient care, education and research. The Department plans, designs, constructs, operates, and maintains the Hospital's facilities and medical equipment and manages the purchase and consumption of utilities by the Hospital.

**Note: Please list all Departments within Administration. Please update as needed for your department.**

|  |
| --- |
| Departments within Administration |
| Facilities Engineering |
| Planning |
| Clinical Engineering |
|  |
|  |
|  |
|  |

#### Facilities Essential Functions:

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Ensure safety of facility | Ensure safe environment to support services | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Engineering Department Essential Functions

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Key Positions and Delegation of Authority

Note: Please identify key positions needed to ensure essential functions are accomplished. Please duplicate this for every department within Facilities.

|  |  |  |  |
| --- | --- | --- | --- |
| Key Positions | Successor 1 | Successor 2 | Successor 3 |
| Example:  Director | Assistant Director | Manager | Supervisor |
|  |  |  |  |
|  |  |  |  |

#### Non-Essential Positions

|  |  |
| --- | --- |
| Positions | Alternate Role during COOP activation |
| Internship Coordinator | Family Assistance Center Coordinator |
|  |  |
|  |  |
|  |  |

***Vital Records and Critical Infrastructure***

|  |  |  |
| --- | --- | --- |
|  | Mode | Backup |
| Floor Plans/ Blue Prints | Electronic | Remote Server |
|  |  |  |
|  |  |  |

C***ommunications:***

|  |  |  |
| --- | --- | --- |
|  | Mode of Communication | Updates |
| Internal Personnel | Call Log | Quarterly |
|  |  |  |
|  |  |  |

***Communication***

|  |  |  |
| --- | --- | --- |
| Form Of Communication | Location | POC and Alternate POC |
| Radios | Room 230 in Professional Building | IT Coordinator |
| Satellite Phone |  |  |
|  |  |  |

***Alternate Locations***

|  |  |  |
| --- | --- | --- |
| Departments | Alternate Facility | Address |
| Planning |  |  |
| Clinical Engineering |  |  |
| Facilities Engineering |  |  |
|  |  |  |

# ANNEX C – Medical Staff Services

Purpose:

Input a purpose statement in the plan about the department. Insert more lines as needed.

**Note: Please list all Departments within Administration. Please update as needed for your department.**

|  |
| --- |
| Departments within Administration |
| Anesthesiology |
| Cardiac Surgery |
| Emergency Medicine |
| Neurology |
| Neurosurgery |
| Obstetrics & Gynecology |
| Pathology |

#### Medical Staff Services Essential Functions:

Please duplicate this for every department within Medical Staff Services.

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Anesthesiology Essential Functions

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example: Provide emergency Medical Care Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Key Positions and Delegation of Authority

Note: Please identify key positions needed to ensure essential functions are accomplished. Please duplicate this for every department within Medical Staff Services.

|  |  |  |  |
| --- | --- | --- | --- |
| Key Positions | Successor 1 | Successor 2 | Successor 3 |
| Example:  Director | Assistant Director | Clinical Coordinator |  |
|  |  |  |  |
|  |  |  |  |

#### Non-Essential Positions

|  |  |
| --- | --- |
| Positions | Alternate Role during COOP activation |
| Internship Coordinator | Family Assistance Center Coordinator |
|  |  |
|  |  |
|  |  |

***Vital Records and Critical Infrastructure***

|  |  |  |
| --- | --- | --- |
|  | Mode | Backup |
| Patient Records | Electronic | Remote Server |
|  |  |  |
|  |  |  |

C***ommunications:***

|  |  |  |
| --- | --- | --- |
|  | Mode of Communication | Updates |
| Internal Personnel | Call Log | Quarterly |
| Patients |  |  |
| Sister Hospital |  |  |

***Communication***

|  |  |  |
| --- | --- | --- |
| Form Of Communication | Location | POC and Alternate POC |
| Radios | Room 230 in Professional Building | IT Coordinator |
| Satellite Phone |  |  |
|  |  |  |

***Alternate Locations***

|  |  |  |
| --- | --- | --- |
| Departments | Alternate Facility | Address |
| Administration |  |  |
| Accounting |  |  |
| Emergency Care |  |  |

# ANNEX D – Nursing

Purpose:

Input a purpose statement in the plan about the department. Insert more lines as needed.

**Note: Please list all Departments within Administration. Please update as needed for your department.**

|  |
| --- |
| Departments within Administration |
| Advance Practice |
| Emergency Department |
| Neurosciences |
| Oncology |
|  |
|  |
|  |

#### Nursing Essential Functions:

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Advance Practice Department Essential Functions

|  |  |  |
| --- | --- | --- |
| Essential Function | Critical Process/Service | Priority |
| Example:  Provide emergency medical care | Ensure safe environment, clinical support services (lab/x-ray/pharmacy), power, medical gases, supplies | 1 |
|  |  |  |
|  |  |  |
|  |  |  |

#### Key Positions and Delegation of Authority

Note: Please identify key positions needed to ensure essential functions are accomplished.

|  |  |  |  |
| --- | --- | --- | --- |
| Key Positions | Successor 1 | Successor 2 | Successor 3 |
| Example:  Director of Nursing | Nurse Manager | Assistant Nurse Manager | Assistant Nurse Manager |
|  |  |  |  |
|  |  |  |  |

#### Non-Essential Positions

|  |  |
| --- | --- |
| Positions | Alternate Role during COOP activation |
| Internship Coordinator  Provide emergency medical care | Family Assistance Center Coordinator |
|  |  |
|  |  |
|  |  |

***Vital Records and Critical Infrastructure***

|  |  |  |
| --- | --- | --- |
|  | Mode | Backup |
| Patient Records | Electronic | Remote Server |
| Patients |  |  |
|  |  |  |

C***ommunications:***

|  |  |  |
| --- | --- | --- |
|  | Mode of Communication | Updates |
| Internal Personnel | Call Log | Quarterly |
| Patients |  |  |
| Sister Hospital |  |  |

***Communication***

|  |  |  |
| --- | --- | --- |
| Form Of Communication | Location | POC and Alternate POC |
| Radios | Room 230 in Professional Building | IT Coordinator |
| Satellite Phone |  |  |
| WebEOC |  |  |

***Alternate Locations***

|  |  |  |
| --- | --- | --- |
| Departments | Alternate Facility | Address |
| Administration |  |  |
| Accounting |  |  |
| Emergency Care |  |  |
|  |  |  |

Please create additional annexes as needed.

# COOP PLAN Checklist

***Checklist of Elements that must be covered in the COOP***

*COOP Element 1 – Essential Functions*

Identify your hospital’s most critical functions that must be continued under all circumstances.

*COOP Element 2 – Orders of Succession*

Identify a line of succession for leadership positions in your hospital. It is recommended to have 3-4 deep in succession, if possible.

*COOP Element 3 – Delegations of Authority*

Identify positions that have the legal authority to carry out particular duties for your hospital. These delegations must be written, signed and included as part of the plan.

*COOP Element 4 – Continuity Facilities*

Identify facilities (also called alternate sites) other than the primary facility in which your agency can carry out its essential functions.

*COOP Element 5 – Continuity Communications*

Identify interoperable communications to be used during an emergency as well as applicable contact lists, call down rosters and logs of trainings and drills.

*COOP Element 6 – Vital Records Management*

Identify in your plan what records, databases, systems and equipment are needed to support your hospital’s essential functions.

*COOP Element 7 – Human Capital*

Include how you will train employees on the hospital’s COOP plan, how you will communicate with them during a COOP event as well as other programs available for home and family preparedness, if applicable.

*COOP Element 8 – Test, Train, Evaluate*

Identify how you will test, train and evaluate your COOP. Tests and trainings must be documented.

*COOP Element 9 – Devolution*

Include a section describing how your agency will deal with a catastrophic event that wipes out your primary facility and most if not all of your employees. This can be done through using other facilities and their staff members to carry out the essential functions of your agency; training them, exercising with them, allowing access to the vital systems, records, databases and equipment they would need to fulfill those functions.

*COOP Element 10 – Reconstitution*

Identify a course of action for reconstituting all business functions and moving back to the primary facility after an emergency has concluded.

# DEFINITIONS AND ACRONYMS

ACTIVATION: When a COOP plan has been implemented whether in whole or in part.

ADVANCE TEAM: Group of people assigned responsibility for preparing the alternate facility for operations once the activation decision has been made.

AFTER-ACTION REPORT (AAR): A narrative report that presents issues found during an incident and recommendations on how those issues can be resolved.

ALTERNATE FACILITY: An alternate work site that provides the capability to perform minimum essential functions until normal operations can be resumed.

CONTINGENCY STAFF/TEAM: Personnel of a department or facility who are designated to report to the alternate facility during COOP implementation to ensure that the department or facility is able to perform its essential functions.

CONTINUITY OF GOVERNMENT (COG): The term COG applies to the measures taken by a state or local government to continue to perform required functions during and after a severe emergency. COG is a coordinated effort within each branch of the government to continue its minimum essential responsibilities in a catastrophic emergency.

CONTINUITY OF OPERATIONS (COOP): An internal effort within individual components (e.g. – executive, legislative, judicial branches) of a government to assure the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.

COOP EVENT: Any event that causes a department or facility to activate all or part of its COOP plan. It may or may not include relocation to an alternate site to assure continuance of essential functions.

COOP RESPONSE AND RECOVERY TEAM: Individuals, identified by position, within a state department or facility that are responsible for ensuring that essential functions are performed in an emergency and taking action to facilitate that performance, and to initiate planning necessary for the resumption of non-emergency operations at a primary facility.

CRITICAL CUSTOMERS: Organizations or individuals for which a facility performs mission-essential functions.

DELEGATED AUTHORITY: An official mandate calling on an individual holding a specific position to assume responsibilities and authorities not normally associated with that position when specified conditions are met.

DEVOLUTION: The capability to transfer statutory authority and responsibility for essential functions from a department’s (or facilities) primary staff to other employees and facilities, and sustain that operational capability for an extended period of time.

DRIVE-AWAY KIT: An easily transported set of materials, technology and vital records that will be required to establish and maintain minimum essential operations. Also referred to as a go-kit or fly-away kit.

EMERGENCY: A sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural or technological events that damage, or threaten to damage, local operations. An emergency could cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the site to a new operating location environment.

EMERGENCY OPERATIONS RECORDS: Records that support the execution of the organization’s essential functions.

ESSENTIAL FUNCTIONS: Those functions, stated or implied, that departments and facilities are required to be performed by statute, regulation or executive order or are otherwise necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial and economic base in an emergency.

ESSENTIAL OPERATIONS: Those operations, stated or implied, that are required to be performed by statute or executive order or are otherwise deemed necessary.

ESSENTIAL COOP PERSONNEL: Staff of a department or facility that are needed for the performance of the organization’s essential functions.

INCIDENT ACTION PLAN (IAP): An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

INCIDENT COMMAND SYSTEM (ICS): A standardized on-scene emergency management construct specifically designed to provide for the adoption of integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by al boundaries. ICS is a combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents.

INCIDENT COMMANDER (IC): The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and releasing of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident management operations.

INTEROPERABLE COMMUNICATIONS: Alternate communications that provides the capability to perform minimum essential functions, in conjunction with other agencies, until normal operations can be resumed.

LEGAL AND FINANCIAL RECORDS: Records that are needed to protect the legal and financial rights of government and of the people affected by its actions.

LOGISTICS SECTION: The section responsible for providing facilities, services and material support of an incident.

MANAGEMENT PLAN: An operational guide that ensures the implementation, maintenance and continued viability of the COOP plan.

MISSION CRITICAL FUNCTIONS: See Essential Functions.

MITIGATION: Any sustained action taken to reduce or eliminate the long-term risk to life and property from a hazard event.

NATIONAL INCIDENT MANAGEMENT SYSTEM: A system mandated by Homeland Security Presidential Directive #5 (HSPD-5) that provides for a consistent national approach for Federal, state, local and tribal governments; the private-sector, and non-governmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestics incidents, regardless of cause size, or complexity.

NON-ESSENTIAL PERSONNEL: Staff of a department or facility who is not required for the performance of an organization’s mission critical functions.

OPERATIONS SECTION: The section responsible for all tactical incident operations. In ICS, it normally includes subordinate branches, divisions and groups.

ORDERS OF SUCCESSIONS: Provisions for the assumption of senior department and facility offices and other positions held by essential COOP personnel when the original holder of those responsibilities and/or authorities is unable or unavailable to execute their duties.

PLAN MAINTENANCE: Steps taken to ensure the plan is reviewed annually and updated whenever major changes occur.

PLANNING SECTION: Section responsible for the collection, evaluation and dissemination of operational information related to the incident, and for the preparation and documentation of the IAP. This section also maintains information on current and forecasted situation and on the status of resources assigned to an incident.

PRIMARY FACILITY: The site of normal, day-to-day operations; the location where the employee usually goes to work.

RECONSITUTION: The resumption of non-emergency operations at a primary facility following emergency operations at an alternate facility.

SITUATION REPORT (SITREP): A written, formatted report that provides a picture of the response activities during a designated reporting period.

VITAL RECORDS: Electronic and hardcopy documents, references and records needed to support essential functions during a COOP event, to recover full operations following an emergency, and to protect the legal rights and interests of citizens and government. The two basis categories of vital records are emergency operating records (e.g., plans and directives, orders of succession, delegations of authorities and staffing assignments) and rights and interests records.

VITAL EQUIPMENT AND SYSTEMS: Equipment and systems that are needed to support essential functions during a COOP event.