

PCEPN Business Continuity Planning Worksheets

Purpose: These worksheets are to be used to support development of your organization’s business continuity plan.

Instructions: Use the questions for each section to guide discussion and planning with your Business Continuity Planning Team. Fill in sections/questions as applicable. Add questions and additional information, as needed based on your organization’s essential services (i.e., those services that must continue with little or no business interruption) and supporting processes.

Note: The template used is based on [FEMA’s Continuity Plan Template and Instructions for Non-Federal Governments](#). The concepts contained in these worksheets are applicable to your plans even if your organization chooses to follow a different plan outline.

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Contents

I. Promulgation Statement; Record of Review; Record of Changes; and Record of Distribution	1
II. Purpose, Scope, Situation, and Assumptions	2
III. Concept of Operations	5
IV. Organization and Assignment of Responsibilities	19
V. Direction, Control, and Coordination	20
VI. Disaster Intelligence	21
VII. Communications	22
VIII. Budgeting and Acquisition of Resources	23
IX. Multi-Year Strategy and Program Management Plan	26
X. Plan Development and Maintenance	27
XI. Authorities and References	28

II. Purpose, Scope, Situation, and Assumptions

These sections describe why the organization is developing a continuity plan; the plan’s applicability; the planning environment (including risk assessment information); and the assumptions upon which the plan is based. This section is utilized to describe the plan’s objectives, and security/privacy.

Describe the purpose and objectives of your organization’s Business Continuity Plan.

Describe to whom and to what situations the plan applies.
<i>Example:</i> This plan applies to the staff of [NAME OF ORGANIZATION], located at [INSERT ADDRESS(ES)]. This plan will be executed following an emergency or disaster that disrupts normal business functions of [NAME OF ORGANIZATION] to maintain essential services for the patients we serve, and minimize the negative impacts of the emergency or disaster on our organization.

Describe why the organization needs a Business Continuity Plan. Include relevant risk assessment information, such as from the Hazard Vulnerability Analysis (HVA), and why services must continue.

Describe key assumptions that support the plan (e.g., what absolutely must continue; what may be suspended, etc.)

Describe the security/privacy level of the plan. (e.g., “For Official Use Only;” “Not for Distribution.”)

III. Concept of Operations

This section should explain how the organization will implement its continuity plan, and specifically, how it will address each continuity element. This section is separated into the four phases of business continuity implementation: Readiness and Preparedness; Activation; Continuity Operations; and Reconstitution.

PHASE 1: Readiness and Preparedness

This section addresses the readiness and preparedness activities your organization will undertake to ensure personnel can continue essential functions after an emergency or disaster.

Describe how essential services and supporting processes are determined and documented, as well as how often they are reassessed. Include in appendices, and reference here, the list of essential services and their priority order for restoration during an emergency or disaster.

Has your organization identified an alternate (continuity) facility to which all operations may be relocated, as necessary? If so, indicate where this facility is located, and if a Memoranda of Agreement (MOAs) related to its use during an emergency or disaster are required, and the status of such MOAs.

In coordination with Finance, note cost centers defined for tracking and paying any continuity planning related costs, as well as continuity of operations costs.

<p>Describe any equipment or supplies that are/will be purchased in advance of an incident to support continuation of essential services. Describe the status of any related MOAs. Describe stockpiles already on hand. Cross-reference <i>Budgeting and Acquisition</i> section for additional finance and administrative details.</p>

<p>Generally describe the content and locations for any “Go Kits” prepared for staff in advance of an event that they may either use to relocate to an alternate facility, or to perform their continuity duties at the primary facility. Attach a detailed “Go Kit” description/list to the plan, if applicable. (<i>“Go Kits” should include copies of important documents and information, as well as supplies and software needed to conduct operations, e.g., employee contact information; insurance certificates; payroll information; vendor information and supply lists; passwords for information technology systems; directions for communicating with staff and patients; office supplies; your Business Continuity Plan, etc.</i>)</p>

<p>List and describe the status of any protocols developed/requiring development in support of continuity operations. Indicate who is responsible for each of them.</p>

III. Concept of Operations (cont'd)

PHASE 2: Activation (0-12 hours)

This section explains the activation process from the primary operating facility and provides a process or methodology for continuing operational capability at the primary facility, or attaining it at the continuity facility (ies) if applicable, with minimal disruption to operations within 12 hours of plan activation. This section also addresses procedures and guidance for personnel who will not relocate to a continuity facility.

Describe the processes for the suspension of non-essential services (i.e., those that do not have to continue during an emergency or disaster) and the initiation of continuity protocols.

Describe how and when staff and patients will be notified of changes in service and schedules.

Describe how continuity supplies, equipment, additional staff, and/or transportation assets will be mobilized and made ready for continuity operations. Indicate who is responsible for mobilizing these items.

If applicable, describe the process for activating Memoranda of Agreement (MOAs) related to continuity operations, including those for staff, equipment, supplies, and/or transportation assets.

If applicable, describe the protocol for testing and starting up emergency power supplies and reaching out to utility service providers regarding any outages.

If applicable, describe the process and protocols related to moving staff and operations to an alternate facility, and preparing that facility for continuity operations.

III. Concept of Operations (cont'd)

PHASE 3: Continuity Operations (12-30 hours, or until reconstitution occurs)

This section describes operational procedures for the continuation of essential services. This may include arrival procedures at an alternate facility.

As applicable to each essential service, describe workarounds that must be implemented for supporting processes affected by the emergency or disaster, such as manual completion of medical record information while information technology (IT) systems are down.

If applicable, describe the protocols that must be implemented by staff after they arrive at the continuity facility to begin continuity operations.

Essential Service 1: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 4: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 5: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 6: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 7: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 8: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 9: _____

Describe operational procedures for the continuation of this essential service.

Essential Service 10: _____

Describe operational procedures for the continuation of this essential service.

Describe protocols for maintaining the cold chain of vaccines, lab reagents, etc., as necessary.

Describe the protocol for ensuring that any data collected manually or through an alternate IT set-up/server is moved to day-to-day servers/databases, etc. Include quality assurance protocols, and who is responsible for moving data.

Describe how staff will transition back to day-to-day roles.

Describe protocols for notifying staff and the public of resumption of normal operations.

Describe protocols for returning any equipment, supplies, staff, and/or services, as applicable, upon resumption of normal operations.

VI. Disaster Intelligence

This section describes the required critical or essential information common to all continuity events. In general terms, it should identify the type of information needed, where it will come from, who will use it, how it will be shared, the format it will be provided in, and when (time) the information will be needed.

Information to be Collected During Continuity Events	Where Information Will Come From	Who Needs Information	How Information Will Be Shared	The Format In Which Information Will Be Provided	When the Information Will Be Needed

VIII. Budgeting and Acquisition of Resources

The Budgeting and Acquisition section aligns with the Administration, Finance, and Logistics section of FEMA’s Comprehensive Guide 101 (CPG-101). It identifies the people, communications, facilities, infrastructure, and transportation requirements necessary to the successful implementation and management of your organization’s continuity program. This section also describes how funding is to be identified and provided, as well as specific budgetary guidance and requirements for all levels of the organization.

List any supplies and/or equipment needed to implement your continuity plans.	Indicate primary vs. continuity facility, as applicable.	Note for each item if it needs to be purchased pre-event or if you can obtain it just-in-time, and what the estimated cost is.	List any applicable Memoranda of Agreement (MOAs) for each item.

Indicate what transportation assets, if any, are needed to implement your continuity plans.	Note for each item if it needs to be pre-arranged or if you can arrange transportation just-in-time, and what the estimated cost is.	List any applicable Memoranda of Agreement (MOAs) for each asset.

Describe circumstances that might require your organization to acquire additional staff.	Indicate how the organization will obtain additional staff, as applicable (e.g., transfer staff across network facilities; obtain volunteers). Include estimated costs, as applicable.	List any Memoranda of Agreement (MOAs) that may be needed.

Describe circumstances in which your organization will transfer staff to other work locations.	Indicate who will be transferred and where they will be transferred.	List any Memoranda of Agreement (MOAs) that may be needed.

Describe how continuity-related costs will be tracked pre-event?	Indicate who is responsible for tracking pre-event costs.	Describe how continuity-related costs will be tracked during/post-event?	Indicate who is responsible for tracking during/post-event costs.

Describe how just-in-time (JIT) costs will be paid.

What insurance does the organization carry relevant to continuity of operations? Is there additional insurance that needs to be purchased?

Describe any plans to secure loans to cover just-in-time expenses. What expenses will these loans be used to cover? Include the source of the loans and how to obtain them.

Are protocols in place to ensure that staff are paid during continuity operations? If so, describe them.

IX. Multi-Year Strategy and Program Management Plan

This section briefly describes your organization’s program management plan, including the ongoing development, maintenance, and annual review of continuity capabilities, not the continuity plan document. (Note: The *Multi-Year Strategy and Program Management Plan* is a separate plan from your continuity plan document.)

Briefly describes your organization’s program management plan, including the ongoing development, maintenance, and annual review of continuity capabilities.

X. Plan Development and Maintenance

This section identifies who is responsible for keeping the continuity plan document current, how often the plan will be reviewed and updated, and what the coordination process related to developing and maintaining the plan is.

Indicate the position title(s) of whomever is responsible for maintaining the organization's Business Continuity Plan.

Indicate how often the plan will be reviewed and updated; who (position titles) it will be reviewed by; and who (position title(s)) is responsible for updating it.

Briefly describe the overall coordination of plan development and maintenance (include internal and external partners, as applicable). Describe training and exercise plans in support of the continuity plan.

XI. Authorities and References

The key authorities and references on which your organization’s continuity plan is based should be listed here.

List the key authorities on which your organization’s continuity plan is based.
HRSA Public Information Notice (PIN) 2007-15
Healthcare Preparedness Capabilities: National Guidance for Health System Preparedness (ASPR). Capability 1, Function 3; and Capability 2, Function 2.
Health Insurance Portability and Accountability Act of 1996 (HIPAA; Pub.L. 104–191, 110 Stat. 1936, enacted August 21, 1996). Sections 164.308; 164.310; and 164.312.

List the key references used to inform your organization’s continuity plan.