

Yale

Guide to Business Continuity and Recovery Planning



CLINICAL PRACTICES

Table of Contents

Section 1 - Business Continuity Planning

Introduction
How to Use the Guide
Getting Started
Practice Profile
Identify Important Contacts
Determining Your Essential Functions
Prioritizing Your Essential Functions
Conducting a Business Impact Analysis
Determining Essential Resources
Specialized Supplies and Essential Vendors
Specialized Equipment
Loss of Power
Loss of Basic Utilities
Information Technology
Other Vital Documents
Computer Drives, Files, Folders
Emergency Relocation
Minimum Site Requirements
Alternate Site Requirements
Developing Recovery Strategies and Tasks
Emergency Communication and Notification
Employee Preparedness
Testing and Exercising Your Plan
Summary and Next Steps
Mitigation and Follow-Up Actions

Business Continuity Worksheets

Important Contacts
Essential Function and Business Impact Analysis
Specialized Supplies
Essential Vendor
Specialized Equipment
Vital Documents
Computer Drives, Files, Folders
Minimum Site Requirements
Alternate Site Information
Recovery Planning
Mitigation/Follow-Up Actions

Section 2 - Business Continuity Response Guide

Introduction
Immediate Actions
Conducting a Damage Assessment
Determining Business Disruption
Determining Plan of Action
Relocation Checklist
Key Contacts to Help in your Recovery
Ongoing Communications with
Staff/Students/Clients
Financial Recovery

Response Attachments

1. Individual Damage Assessment Worksheet
2. Recovery Contacts Worksheet
3. Staff Relocation Worksheet

Acknowledgments

Special thanks to the following for their support and contributions:

Yale BC/DR Advisory Council, Yale Environmental Health & Safety, Yale Information Technology Services, Yale Animal Resources Center, Yale Medical Group, and The University of North Carolina at Chapel Hill.

Introduction

Although infrequent, disasters and emergencies of all types and severity can occur, often with little or no warning. Consider the following situations:

- A fire breaks out in your practice or an adjacent office, forcing you to evacuate the building...
- A sprinkler head malfunctions and floods your office...
- A blizzard paralyzes Connecticut, closing many roads and highways for three days...
- A pandemic flu has sickened 50% of your staff...

While you cannot control when and where such events will occur, you can manage your ability to maintain operations and continue to care for patients through effective business continuity planning.

A business continuity plan (BCP) is a collection of resources, actions, procedures, and information that is developed, tested, and held in readiness for use in the event of a disaster or major disruption of operations.

A comprehensive business continuity plan will help maintain crucial patient care services while limiting the economic impact and allowing the practice to return to normal operations as quickly as possible.

This guide has been developed to help clinical practices develop a business continuity plan to ensure that patient care operations and support services can continue following a disaster or major disruption.

A Business Continuity Plan is different from an emergency plan. An emergency plan tells you what to do immediately before or during an emergency, like what to do if you see a fire, or what to do during a blizzard or ice storm. A business continuity plan helps you minimize the impact on your business regardless of the incident and helps you return to normal operations as soon as possible.

How to use this Guide

This guide consists of two sections. The first section will help guide you in the creation of a business continuity plan. It includes helpful information as well as useful worksheets to help collect vital information.

As you develop your continuity plan, you will inevitably identify things that are needed to help you be better prepared. It is important to capture these suggestions during the planning process. There is a Mitigation/Follow-Up Actions Worksheet at the back of the guide to help capture and manage the suggestions.

Once you have completed the first section of this guide, you will enter the information into the business continuity program software application called Archer. Archer is a cloud-based program that ensures you have uninterrupted access to your information. The system is maintained by the Office of Emergency Management and is part of Yale's overall emergency management and business continuity program. Contact the Business Continuity Program Manager at bcmanagement@yale.edu for information about entering your plan into the Archer application.

The second section is a response guide to use in the event of a disaster or major disruption to your department or practice. The response guide will walk you through steps to take as you assess the damage and determine a plan of action.

If you have any questions about this guide, or if you need additional assistance in your business continuity planning, please contact the Office of Emergency Management, Business Continuity Program Manager at bcmanagement@yale.edu.

Getting Started

Developing a business continuity plan may seem like an overwhelming task, but in reality you probably already have much of the required information and process. This guide will help walk you through the planning steps in a logical order.

- Don't do this alone. Business continuity planning is everyone's responsibility. Develop a planning team to help bring all the pieces together.
- Schedule regular meetings with the planning team. Start with one-hour meetings once a week for four weeks. Add additional meetings as needed.
- Follow this guide and complete the worksheets.
- Review existing plans such as your department or building's Emergency Plan. They may provide helpful information for developing your business continuity plan.

Practice Profile

The Practice Profile provides basic information about the practice and existing emergency plans.

Task: Complete the Practice Profile below.

Practice Profile
Practice name:
Brief description of practice:
Street address:
Mailing address (if different):
Person to contact to discuss emergency planning:
Number of staff:
Does your practice have an emergency plan? <input type="checkbox"/> No <input type="checkbox"/> Yes: Last time it was revised?
Does your practice have a business continuity plan? <input type="checkbox"/> No <input type="checkbox"/> Yes: Last time it was revised?
Does your facility have a backup generator? <input type="checkbox"/> No <input type="checkbox"/> Yes: What does it power?

Identify Important Contacts

Knowing who to contact in an emergency is critical. Start your business continuity planning by identifying the key emergency contacts for your site. Managers and supervisors should keep a copy with them at all times. If you are like most people, you probably keep all of your contacts in your cell phone. But what if you lost your phone? Do you have a backup copy of your contacts? How long would it take to reconstruct your contacts list? A little pre-planning now can save valuable time later.

Other Contacts

In addition to your primary emergency contacts, you will also want to maintain updated lists of all employees, interns, students, postdoc's, essential vendors, and others. Include after-hours contact information if available. Keep copies readily accessible and in multiple locations. Consider e-mailing the lists to yourself and saving them in a special folder so you can access them from any location. Regularly review, update, and distribute all contact lists.

- Task: Complete the Important Contacts Worksheet below. Give a copy to everyone on your emergency planning team.*
- Task: Create contact lists for important contact (employees, Interns, students, postdocs, etc.).*

Important Contacts Worksheet	
Practice / Department Name:	
Street Address:	
Chief Medical Officer Name: Email:	Business phone: Cell phone: After hours phone:
Chief Operating Officer Name: Email:	Business phone: Cell phone: After hours phone:
Director of Practice Management Name: Email:	Business phone: Cell phone: After hours phone:
Director of Office Operations Name: Email:	Business phone: Cell phone: After hours phone:
Clinical Chair Name: Email:	Business phone: Cell phone: After hours phone:
Section Chief Name: Email:	Business phone: Cell phone: After hours phone:
Lead Administrator Name: Email:	Business phone: Cell phone: After hours phone:
Business Office Manager Name: Email:	Business phone: Cell phone: After hours phone:
Clinical Operations Manager Name: Email:	Business phone: Cell phone: After hours phone:
YNHH Counterpart Name: Email:	Business phone: Cell phone: After hours phone:
Facilities Representative (Yale FAC, landlord, etc.) Name: Email:	Business phone: Cell phone: After hours phone:
Environmental Health and Safety	Main line: (203) 785-3550 EMERGENCY: (203) 785-3555
Yale ITS Help Desk	helpdesk@yale.edu (203)-432-9000
YNHH IT Help Desk	helpdesk@ynhh.org (203) 688-HELP [4357]
Other: Name: Email:	Business phone: Cell phone: After hours phone:
Other: Name: Email:	Business phone: Cell phone: After hours phone:
Other: Name: Email:	Business phone: Cell phone: After hours phone:
Other: Name: Email:	Business phone: Cell phone: After hours phone:

Determining Your Essential Functions

A major part of business continuity planning is identifying functions that define your operations. These are called Essential Functions. Essential functions are those services, programs, or activities that are necessary to on-going business and would directly affect patient care and the success of your practice or department if they were to stop for an extended period of time. The success of your practice or department and the support you provide to the University and the community, rely on these functions. Stopping them for an extended period of time would cause an unacceptable disruption.

Your essential functions will serve as your guide for how to restart your operations following a disaster or major disruption. They help answer the question “What is the minimum level of service or activity my practice or department must offer to still be considered in business?” By identifying and prioritizing your essential functions, you can determine which personnel, facilities, equipment, and materials are absolutely necessary to keep your practice or department functioning following a disaster or major disruption. Prioritizing your functions will also help you determine the Recovery Time Objective (RTO) – the length of time the function can be suspended without causing an unacceptable disruption to your operations.

Typical essential functions for clinics and health care facilities include, but are not limited to:

- Check-in patients
- Provide clinical services
- Run diagnostic tests
- Document patient information
- Manage staff
- Order supplies

In general you should be able to organize your general operations into four to six essential functions, more if you are a highly complex department or clinic.

Prioritizing Your Essential Functions

While everything you do each day may seem essential, in reality some functions and activities are more essential than others. Some activities can be suspended for several weeks, while others cannot stop for more than a few hours. Knowing the priorities of your functions will help you establish a recovery plan that focuses on the functions that are the most important. Below is general guidance to help you prioritize your functions. Completing the business impact analysis (BIA) will also help determine the priority for each function.

Conducting a Business Impact Analysis

A Business Impact Analysis (BIA) is completed for each essential function to help assess and document potential impacts and negative consequences of a disaster or major disruption on the function. Conducting a BIA also helps establish recovery priorities by looking at dependencies, peak periods, harmful consequences, and financial risks. The BIA is a formal process to set the criticality (priority) for each function and is included as part of the Essential Function and Business Impact Analysis Worksheet.

General Criticality and Priority Ratings

Priority Rating	Importance	Recovery Time
Critical	Function directly impacts the life, health, safety, or security of the Yale community and stopping would have significant consequences.	< 4 hours
High	Function must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm to business operations, upstream and downstream dependent organizations or units, revenue and finances, reputation, or other core mission services.	< 24 hours
Medium	Function must be continued if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption to business operations, upstream and downstream dependent organizations or units, revenue and finances, or other core mission services.	< 1 week
Low	Function could be suspended for up to one month without causing significant disruption to business operations, upstream and downstream dependent organizations or units, revenue and finances, or other core mission services.	< 1 month
Deferrable	Function may pause and resume when conditions permit. Deferring this function for more than one month may cause slight disruption to business operations, upstream and downstream dependent organizations or units, revenue and finances, or other core mission services.	> 1 month

Task: Complete an Essential Function and Business Impact Analysis Worksheet for each function you have identified. Additional copies of the worksheet can be downloaded from the Business Continuity section at <http://emergency.yale.edu>.

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
	<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month
Key Personnel for This Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(admin asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to This Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network services <input type="checkbox"/> Yale Connect (e-mail) <input type="checkbox"/> Telecom <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Web Sites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the university?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Mark (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or university might incur if the function is not restored quickly? Skip if unknown</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month	
Key Personnel for this Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(Admin Asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to this Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network Services <input type="checkbox"/> Yale Connect (Email) <input type="checkbox"/> Telephone <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Websites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the University?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Check (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or University might incur if the function is not restored quickly? Skip if unknown.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month	
Key Personnel for this Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(Admin Asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to this Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network Services <input type="checkbox"/> Yale Connect (Email) <input type="checkbox"/> Telephone <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Websites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the University?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Check (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or University might incur if the function is not restored quickly? Skip if unknown.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month	
Key Personnel for this Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(Admin Asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to this Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network Services <input type="checkbox"/> Yale Connect (Email) <input type="checkbox"/> Telephone <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Websites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the University?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Check (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or University might incur if the function is not restored quickly? Skip if unknown.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month	
Key Personnel for this Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(Admin Asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to this Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network Services <input type="checkbox"/> Yale Connect (Email) <input type="checkbox"/> Telephone <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Websites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the University?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Check (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or University might incur if the function is not restored quickly? Skip if unknown.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Essential Function and Business Impact Analysis Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit

Organization or Department			
Essential Function			
Brief Description <i>What is this function responsible for? What does it accomplish?</i>			
Priority Rating + RTO <i>RTO =Recovery Time Objective (Maximum time this function can be down before significant problems would occur)</i>	Rating	Description	RTO
	<input type="checkbox"/> Critical	Directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue if at all possible, perhaps in reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption.	< 1 month
<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month	
Key Personnel for this Function	Primary: Alternate: Alternate:		
Key Roles Required to Perform the Function <i>(Admin Asst., RN, manager, financial analysis, etc.)</i>			
Vendors Vital to this Function			
RESOURCE REQUIREMENTS			
Required ITS Products and Services	<input type="checkbox"/> Network Services <input type="checkbox"/> Yale Connect (Email) <input type="checkbox"/> Telephone <input type="checkbox"/> CAS <input type="checkbox"/> VPN <input type="checkbox"/> Epic Others:		
Required ITS Applications			
Essential External Websites			
Required Facilities			
Vital Records and Private Information			
DEPENDENCIES and PEAK PERIODS			
Upstream Dependencies <i>Other departments vital to this function that you rely on</i>			
Downstream Dependencies <i>Other departments that rely on this function</i>			
Peak Periods <i>Significant or demanding months for this function</i>			

HARMFUL CONSEQUENCES									
Suppose the essential function is not resumed quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating.									
Possible Harmful Consequence		How long after a disaster might the harm occur?							Comments
		N/A	0-2 days	1 week	2 weeks	3 weeks	4 weeks	> 4 weeks	
1	Disruption of teaching?								
2	Disruption of research?								
3	Departure of faculty?								
4	Departure of staff?								
5	Departure of students?								
6	Well-being of staff/faculty?								
7	Well-being of students?								
8	Payment deadlines unmet by campus?								
9	Loss of revenue to campus?								
10	Legal obligations unmet by campus?								
11	Legal harm to the University?								
12	Impact on other campus unit(s)?								
13	Impact on important business partner(s)?								
14	Impact on Yale's brand image?								
15	Function without power?								
16	Other harmful consequence?								

FINANCIAL IMPACTS						
Suppose the essential function is not resumed quickly following a disaster. What might be the financial consequences for each time period, if any, if this function is not restored? Check (X) the box to indicate the possible financial impact.						
Loss of Revenue <i>How much revenue would the department or the university lose in each time period</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Delayed Receipts <i>If unknown, skip this section.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						
Operational Costs <i>Costs the department or University might incur if the function is not restored quickly? Skip if unknown.</i>	None	< \$10k	\$10k - \$50k	\$50k - \$250k	\$250k - \$500k	>\$500k
Up to 1 week						
1 - 4 weeks						
1 - 3 months						
3 - 6 months						

Determining Essential Resources

Knowing your essential function and their criticality / priority rating is the first step in creating a business continuity plan. Next you will want to determine what essential resources you need for each function. Resources can be broken down into three main categories – People, Places, and Things such as equipment, supplies, vendors, and IT applications and services. A brief list of your essential resources is included on the Essential Function and BIA Worksheet, but you will want to track your essential resources like equipment, supplies, and vendors in more detail. The following section provides additional information about how to identify and track your most essential resources.

Specialized Supplies and Essential Vendors

Clinical practices rely on many highly specialized supplies and vendors. Consider how you would operate if your routine supply chain were disrupted. What are your most crucial supplies? How long can you manage before placing your next order? What would you do if your normal supplier was no longer available?

Business Continuity Planning Considerations

- Identify specialized supplies that you rely on. This include supplies that are difficult to obtain, require special authorization or handling, or are only available from limited vendors. *Complete the Specialized Supplies Worksheet.*
- Identify other practices that you can borrow supplies from.
- Identify key vendors of essential equipment, supplies, and service contracts. *Complete the Essential Vendors Worksheet.*
- Develop contact lists including routine and emergency after-hours contact information.
- Identify an alternate back-up vendor for essential must have items.
- Where feasible, increase standing inventories of crucial supplies, especially those that typically rely upon just-in-time ordering.
- Review and update all contact lists on a regular basis.
- Keep copies of contact list readily accessible in multiple locations.
- Have a conversation with your suppliers about their business continuity plan. Propose the same scenario and ask how they plan to maintain deliveries of supplies following a disaster or other interruption to their business.

Task: Complete the Specialized Supplies Workseet for your facility. Additoinal copies of the worksheet can be downloaded from the Business Continuity section at <http://emergency.yale.edu>.

Task: Complete the Essential Vendors Workseet for your facility. Additoinal copies of the worksheet can be downloaded from the Business Continuity section at <http://emergency.yale.edu>.

Essential Vendors Worksheet

Instructions: List all of the essential vendors used by your department or unit. Create an Excel spreadsheet if your list is extensive.

Company Name	Description	Contact Name	Contact Info
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:
			Business Phone: Cell Phone: Email: After Hours #:

Specialized Equipment

Most of the equipment used in a clinical practice is fairly common and would be easy to replace if it were damaged or destroyed in a disaster. But some practices rely on highly specialized equipment not typically found in other offices. Consider the specialized equipment used by your practice. What would you do if it were damaged or destroyed? How long would it take to replace? What would you do while waiting for a replacement? Having a detailed inventory of your specialized equipment and a backup plan can help minimize the effects of a disaster or other emergency.

Business Continuity Planning Considerations

- Maintain a list of specialized equipment that your practice or department relies on. Include information such as make, model, serial number, and where it was purchased. *Complete the Specialized Equipment Worksheet.*
- Maintain a list of other practices or departments that use the same equipment. Are they in the same building or another site? Would their equipment be available to use following a disaster?
- Determine if there is an alternative vendor or service provider that you could use while your equipment is unavailable.
- For equipment purchased through Yale Procurement, determine if the information is still maintained in their system.
- Identify equipment with special utility requirements, such as high voltage, three-phase power, etc.
- Ensure that equipment warranties and extended service and maintenance contracts are in force and kept up to date.
- Establish or adopt industry recommendations for routine calibration, testing, and preventive maintenance, and ensure the tasks get done.
- Keep copies of the inventory readily accessible in multiple locations.

Task: Complete the Specialized Equipment Worksheet for your facility. Additional copies of the worksheet can be downloaded from the Business Continuity section at <http://emergency.yale.edu>.

Specialized Equipment Worksheet

Instructions: List all specialized, hard-to-replace equipment used by your department or unit.

Equipment	Model #	Serial #	Supplier	Purchased through Yale Procurement	Yale Inventory ID #	EHS ID #	Special Requirements

Loss of Power

A power outage can cause a significant disruption to a clinical practice. Not only must services be suspended or canceled, but a prolonged outage may jeopardize temperature sensitive medications and vaccines. You can lessen the impact of a power outage by being prepared and following some easy procedures.

Business Continuity Considerations

- Be familiar with the emergency backup power system(s) for your facility, including what it covered and how long the backup power can be relied upon. Contact your facilities manager if unsure about backup power for your location.
- Verify that freezers, refrigerators, and other temperature-sensitive equipment holding critical materials are connected to an emergency power supply, if available for your site. Consult with your facilities manager before connecting equipment to emergency power outlets to avoid overloading circuits.
- Install uninterruptible power supply (UPS) for equipment highly sensitive to slight power delays or fluctuations.
- Know how long freezers and refrigerators NOT connected to emergency power supply will maintain proper temperatures in the event of a power failure.
- Maintain a list of essential equipment that may be damaged by a power surge when the power is restored.
- Maintain a list of essential equipment that may have an automatic “ON” switch and may come on by itself when power is restored, even if no one is around. Consider unplugging or turning off this equipment during the outage to avoid harmful effects when the power returns.
- Identify equipment that may need to be reset or restarted after power is restored.
- Maintain a list of all of your temperature-sensitive medications and vaccines in each location and the approximate time limit before the specimens will be adversely affected by a temperature change. This will help you to prioritize the relocation of specimens if necessary.
- Ensure that seals to refrigerators and freezers are intact. Most freezers will keep their temperature steady or below freezing for up to 10 hours if kept closed and properly sealed.
- Identify other refrigerators or freezers in other practices that you could use in the event of a power outage or equipment malfunction, and discuss the possibility of sharing space with them if necessary.
- Ensure that temperature-monitoring alarms, if equipped, are working. Consider contracting for remote monitoring through an outside vendor if necessary.

Loss of Basic Utilities

Power is not the only utility that may be affected by a disaster. Consider the impact of a prolonged failure of water systems, heating and cooling, or specialized ventilation systems. Some of these failures will have limited impact, while others may be catastrophic. The time of year will also be a factor. If the outage is expected to be short, it may be best to suspend operations until the problem is resolved. Longer outages have the potential to cause significant disruptions.

Task: Describe how the loss of each of the following basic utilities would impact your operations. Include any contingency plans you have in place.

Utility	How would an outage affect your site?	How would you continue operating during an outage?
Electricity		
Water (<i>municipal</i>)		
Heating		
Air-Conditioning		
Humidity Controls		
Ventilation Systems		

Information Technology

It is difficult to imagine how we could possibly work without our computers and the Internet. Whether it's a stand-alone desktop computer, laptop, tablet, high-capacity computing, or even a smart phone, we depend on computers every day. Unfortunately computers and systems can fail or get stolen. What would you do if the Internet were to go down? How long could you manage? What if your hardware or software crashed or was destroyed? Do you have secure, automatic backup?

Business Continuity Considerations

- Yale Information Technology Services (ITS) offers assistance with data backup. ITS can provide guidance about available solutions to back up your entire department's computers or just a single unit. Information about backup and storage options can be found at: <http://its.yale.edu> or consult with your department's IT support provider.
- For issues connected to the Epic program, contact the Yale New Haven Health (YNHH) IT department at (203) 688-HELP or helpdesk@ynhh.org.
- Ensure that automatic back-up is scheduled and performed on all network computers.
- Laptops should be routinely backed up, either to a network server or an encrypted USB storage device.
- Maintain a list of vital documents, files, and folders and include how they are backed up (*Example: Epic Downtime Box*).
- Ensure that the Epic Downtime computer is connected to emergency power (red outlet) if available.
- In the event of a network problem in which you cannot access your software or files, contact your department IT specialist or the ITS Help Desk for assistance. They should be able to help determine the nature of the problem and help you decide whether or not to retrieve your vital records from their backup.
- Keep duplicate copies of important documents stored in a secure off-site location or on an encrypted USB storage device.

Practice ITS Support:	Name: _____
	Email: _____
	Office phone: _____
	Cell phone: _____

Task: Use the worksheet below to document your vital documents and where they are backed up. If your list is extensive, create an Excel spreadsheet with the information.

Vital Documents Worksheet		
Document	Primary Location	Back-up Location
<i>Example: List of equipment vendors with after-hour emergency contact information</i>	<i>SharePoint - Emergency Procedures Folder</i>	<i>Copy on USB flash drive kept by business manager</i>

Task: Use the worksheet below to document how your computer drives, files, and folders are backed up.

Drives, Files, Folders Worksheet		
Drives, files, and folders	How backed up and how often	Who to contact to access backup copies
Shared files on department or clinic server (<i>Public files that all staff can access</i>)		
Restricted files and documents (<i>Only accessible to selected staff</i>)		
Files and documents on individual staff computers		
Department or clinic file server		
Other files or documents		
Other files or documents		

Minimum Site Requirements Worksheet

Instructions: List the minimum amount required to operate. Include comments or notes if needed.

Space	Minimum Required	Comments / Notes
Total square footage		
Size of waiting room		
Size of reception area		
Individual exam rooms		
Private offices		
Storage rooms		
Clinical staff work space		
Support staff work space		
Other specialized rooms		
Other space		
Specialized equipment		
Specialized supplies		
Other helpful information:		

Alternate Site Worksheet

Instructions: Complete this worksheet if you already have an established alternate site that you can relocate to

Alternate site name		
Street address		City:
Contact		Phone:
Essential functions that could relocate to this site		
Staff that could relocate here		
Essential supplies and equipment already at site		
Specialized supplies and equipment needed		
Summary of limitations or special considerations if this site were to be used		
Other helpful information		

Developing Recovery Strategies and Tasks

When a disaster or major disruption happens, every moment counts. You have identified and prioritized your essential functions, have identified the required resources, and possibly alternate locations. The next step is to outline the actions to take after a disaster to maintain or restore each function. This will involve developing recovery strategies and recovery tasks.

Recovery strategies are the backup plans that help you stay in business after a disaster or major disruption. They indicate what the practice or department needs to do to recover and return to normal operations. Example: If your essential function is Provide Clinical Services, then the recovery strategy is “To continue providing clinical services”.

Each recovery strategy is followed by recovery tasks. Tasks are specific actions or activities taken to accomplish the strategy. Recovery tasks serve as checklists that guide your recovery actions and are organized by required resources – People, Places, and Things. Recovery tasks can help answer the basic question “What if?”

- What if 50% of your staff was out sick with the flu for several weeks?
- What if your building was destroyed by fire? Where would you go?
- What if your specialized equipment was damaged or destroyed?
- What if you lost access to the Internet?

When creating your recovery tasks be sure to include enough details to make them useful. If they are too vague they won't be helpful. Include important steps to take, required resources, and key contacts needed to complete the task. An effective recovery strategy and recovery tasks should be easily understood by all of your recovery team.

Task: Complete a Recovery Planning Worksheet for each function you have identified. Additional copies of the worksheet can be downloaded from the Business Continuity section at <http://emergency.yale.edu>

THIS PAGE LEFT INTENTIONALLY BLANK

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Recovery Planning Worksheet

Instructions: Complete one worksheet for each essential function for your department or unit.

Essential Function Recovery Strategy:

Ensure the continuation of *(enter name of function)*:

Requirements: *(List of required "must have" items or systems)*

Key Roles *(List of roles or qualifications needed for this function. Facilities supervisors, financial analysis, RN, etc.)*

Individualized Recovery Tasks

Instructions: Describe your backup plan for each of the items below. If none exists write None. Skip any Task that does not apply to this function (Example: the function does not require any specialized equipment or supplies)

Recovery Task #1: Operate with reduced staff

How would you continue this function if your usual workforce was reduced by 50% for an extended period of time?

Recovery Task #2: Loss of essential facilities

What would you do if you did not have access to the primary facilities needed for this function? List each facility and describe your back-up plan.

Recovery Task #3: Loss of essential IT services and applications

What would you do if you lost access to your essential IT services *(e.g., email, internet)* or applications *(e.g., Epic, SciQuest)*? List each service and application and describe your back-up plan.

Recovery Task #4: Loss of essential or specialized equipment

What would you do if your essential equipment failed? List the equipment and describe your back-up plan.

Recovery Planning Worksheet

Side B

Recovery Task #5: Loss of essential or specialized supplies

What would you do if you ran out of specialized supplies? How long could you function before you would need to restock? What is your back-up plan?

Recovery Task #6: Loss of essential upstream dependent departments or services

What would you do if you lost access to an upstream dependent department or service needed for this function? List each dependency and describe your back-up plan.

Recovery Task #7: Loss of utilities

What would happen if you lost basic utilities like electricity, water, HVAC? List each utility and describe your back-up plan.

Recovery Task #8: Other:

List any other essential item, service, vendor, or person, that this function relies on that is not captured above. Indicate how long could you operate without the item or person. Describe your plan for continuing operations without it / them.

Emergency Communication and Notification

Effective communication, both internally and externally, is crucial during any emergency, but also a frequent point of failure. Poor communication is often a top criticism after an incident. Effective emergency communication is more than just sending timely messages. Consider the following when developing your emergency communication plan:

- Who do you need to communicate with? Employees, patients, students, vendors, leadership team?
- Who is responsible for communicating to each group?
- How will you communicate? Email? Phone? Text?
- What do you need to say? What do they need to know?
- How often will you communicate?

Business Continuity Considerations

- Maintain a list of all crucial practice contacts. Develop a plan to communicate regularly with them before, during, and after a disaster or major disruption. Share your communication plan with them.
- Share your contacts list with key members of your staff in case you need their help with notifications.
- Create an emergency call tree system to use during a disaster. *See below for instructions.*
- Prioritize who needs to be called and when they are called. Should you call the chief operating officer before you call patients?
- Review and update all contact lists on a regular basis.
- Test your communication plan at least once per year.

Emergency Notification “Call Tree”

An emergency notification call tree is a quick and convenient way to notify your key contacts. To setup a call tree, identify who needs to be called and who will call them. Determine who has the authority to activate the call tree.

Sample Call Tree Format:

Department Director <i>Activates the Call Tree</i>		
Who will notify patients*	Who will notify staff*	Who will notify vendors*
Name, phone # Name, phone # Name, phone # ↓ ↓ <i>Call everyone on list</i> <i>Report back to director</i>	Name, phone # Name, phone # Name, phone # ↓ ↓ <i>Call everyone on list</i> <i>Report back to director</i>	Name, phone # Name, phone # Name, phone # ↓ ↓ <i>Call everyone on list</i> <i>Report back to director</i>
Department Director		

*Have a designated alternate for each call group in case the primary person is not available.

Emergency Notification by E-Mail

A call tree can also be done by email. Create a group list of everyone to be contacted. Send out a test message at least once a year to ensure everyone is on the list. When sending out an emergency message, ask for a reply (either Reply All or just Reply to you) so you know who has received the message. *Note: Power or IT outage may impact sending and receiving email.*

Emergency Notification by Text Message

Text messaging utilizes cellular phone service but can sometimes be more reliable during a disaster or other emergency. Even when cellular service is too weak or overloaded for voice calls, text messaging will often go through.

Task: Create an emergency notification call tree

Employee Preparedness

The most valuable resources at Yale are human resources. Following a disaster or other emergency, all of your preparedness and planning will go to waste if you don't have qualified people available to help execute the plan. Employee preparedness is an important part of your overall emergency preparedness planning and will help increase the likelihood that your employees will be available after a disaster.

Employee Preparedness Considerations

- Ensure your personnel are familiar with all aspects of your emergency and business continuity plans.
- Encourage them to have a personal preparedness plan at home. This should include an emergency communication plan as well.
- Encourage them to have a home and work disaster plan and disaster supplies kit.
- Encourage them to keep their emergency contact information updated in the HR system or SIS.

Additional Emergency Preparedness Considerations

Home and Family: Prepare your home and those who depend on you by creating an emergency plan that includes your emergency communication plan, information about what to do if you must evacuate, and how to shelter-in-place. Assemble a disaster supplies kit that includes essential items that you and your family would need if you had to evacuate or if you had to shelter-in-place for several days. Remember to consider the special needs of elderly family members, infants and children, and pets. Assemble a kit for your car as well. Additional information about emergency preparedness can be found at <http://emergency.yale.edu/be-prepared> and www.ready.gov.

At work: Talk to your supervisor about what your responsibilities will be during a disaster or other emergency. This includes clarifying expectations and reviewing emergency plans and notification procedures. Employees who perform critical functions (supports life, health, safety, security) may be required to stay at or report to work during a disaster. Assemble a workplace preparedness kit. Include change of clothes and shoes, medications, personal hygiene items, mobile device charger, snacks, and water. Additional information about emergency preparedness can be found at <http://emergency.yale.edu/be-prepared> and www.ready.gov.

Testing and Exercising Your Plan

Once your business continuity plan is finished, you will want to test it to be sure you and the rest of your department or unit are familiar with it. One way to test your plan is to conduct a tabletop exercise or walkthrough. Include all of your planning team as well as others in your unit who would be involved during and after a disaster or major disruption. Develop a plausible scenario that might impact your department (e.g., fire, sprinkler malfunction) and discuss the actions you would take to maintain your operations. Compare your discussion with your plan and make any adjustments as needed. Additional information about conducting a tabletop exercise can be found at <https://emergency.yale.edu>.

Summary and Next Steps

Business continuity planning does not begin after disaster strikes. Planning begins right now, with you and your co-workers completing this guide. The information you have collected and the conversations you have with your staff will help prepare you to respond quickly and efficiently to any emergency and to establish a recovery plan that will minimize interruption to your operations.

Having a business continuity plan will not prevent a hurricane or a burst sprinkler pipe, but it could potentially save you thousands of dollars in losses and weeks of lost productivity.

Now that you have completed the guide, here are a few final steps.

- Review the Mitigation / Follow-Up Actions Worksheet and establish a plan to complete the outstanding actions.
- Upload your plan into the Yale Office of Emergency Management business continuity application. Contact the Business Continuity Program Manager at bcmanagement@yale.edu for additional information and training.
- Make an electronic copy of the complete guide and share it with the members of your planning team.
- For a large department create an executive summary and distribute it to everyone during a staff meeting.
- Keep copies, either printed or electronic, at a separate location from your primary worksite.
- Test your plan with your entire department by conducting a tabletop exercise. Create a plausible scenario (e.g., fire, sprinkler malfunction) and discuss how you would respond.
- Plan to review your plan in one year. Schedule the meeting now so you don't forget.

Yale Business Continuity Program Emergency Response Guide

Contents

Introduction
Immediate Actions
Assess the Damage
Determine Business Disruption
Determine Plan of Action
Relocation Checklist
Key Contacts to Help You Relocate
Other People to Contact
Ongoing Communications with Staff / Students / Clients, etc.
Financial Recovery

Attachments

1. Individual Damage Assessment Worksheet
2. Recovery Contacts Worksheet
3. Staff Relocation Worksheet

Introduction

This guide has been written to help you respond to a disaster or emergency that interrupts your business operations and delays or prevents you from continuing your normal day-to-day operations. The guide will walk you through steps to take as you assess the damage and determine a plan of action. Some of the information in this guide may not be applicable, depending on the situation. Additional help is available from the Yale Office of Emergency Management and the Business Continuity Program Manager.

Immediate Actions

Safety Precautions

- Always consider your personal safety and the safety of others first
- Do not enter a building or work space if there has been significant damage
- Do not walk in flooded areas, especially if there are electrical cords or power strips on the floor
- If you see or smell smoke, or smell gas, evacuate the area and call 911

Stop further damage and protect your equipment

- Contact the Facilities Operations Customer Service Center (432-6888) or your facilities manager immediately

For water damage (flooding, burst pipe, fire sprinkler activation)

- Cover computers, printers, etc. with plastic sheeting or garbage bags
- Move sensitive equipment if possible
- Collect vital documents such as research notebooks, etc.

Notify department staff and other building or space occupants

Secure confidential information

Work with Facilities to evaluate the need for a clean-up or restoration crew

Assess the Damage

Determine extent of damage:

- How many offices or work spaces are damaged and how badly?
- How many staff are impacted and to what extent?

Determine if any sensitive documents and/or research are at risk.

Contact department ITS support specialist or ITS Help Desk if computers or other network equipment are damaged.

Helpful Hint

Ask each staff person to do a quick assessment of their space. Use the Damage Assessment Worksheet (Attachment 1). Use your staff roster or department directory to conduct a call-down. Ask each staff to report to the office to help with the damage assessment.

Determine Business Disruption

Work with the Facilities supervisor or superintendent to get an estimate of how long your operations will be disrupted. Ask the following questions:

- How long will clean-up and full restoration take? *This will be a rough estimate.*
- Can you remain in the space (or some of the space) during the clean-up?
- What furniture or equipment will need to be moved?

If offices or work-spaces need to be evacuated and operations relocated, establish restoration priorities:

- Determine essential and non-essential functions. What must continue and what might be postponed?
- Can anyone work from home? For how long?
- What offices or work-spaces should be repaired first?

Determine Plan of Action

If clean-up and restoration will only last for a few days and you can remain in the space:

- Prioritize usable work-space for essential functions
- Adjust work-space to accommodate cleaning and restoration
- Assign staff to temporarily work from home or other locations, if possible

If clean-up and restoration are extensive and you cannot remain in the space:

- Activate your business continuity plan, if created.
- See Relocation Checklist below

Relocation Checklist

Determine who is moving and how much total space you need:

- Who can work from home?
- Who needs to be relocated:
- How many work-stations will you need?
- How many individual private offices will you need?

Helpful Hint

Use your staff roster or department directory to determine who needs to move and what support they will need (furniture, computer, desk phone, etc.). Complete the Staff Relocation Worksheet (Attachment 3).

Determine where you can move to:

- Do you have another office or work-space immediately available?
- Is there space in the same building?
- Contact your lead administrator or business operations manager for help locating temporary space.

Determine support needs:

- Furniture / equipment. Can any be moved from current location?
- IT / Telecom equipment needs? Computers, printers, desk phones, etc.
- Specialized equipment needs? Lab equipment?
- Access to essential documents or files?
- Security access to new location?

Key Contacts to Help You Relocate

Department	Name	Phone #	How they can help
Department Director			Help set priorities
Lead Administrator			Help with finance
Facilities			Help find space
ITS / Telecom			Set up computers, printers, network, phones, etc.
TR&S			Help with moving, boxes, storage options, etc.
HR			Update staff work locations
Security			Building access, security patrols
Yale Mail Service			Forward or hold mail delivery
Custodial Staff			Help with cleaning of new space, garbage pick-up
Safety Advisor (EHS)			Safety and environmental monitoring
University Properties			For leased space

Other People to Contact

- Staff / students / clients - anyone who regularly comes to your site
- Vendors that deliver

Attachment 1

Individual Damage Assessment Worksheet

Instructions: Complete one form for each office or work space that was affected.

Employee Name:	Title:
Address of Damage:	Room Number:
Date of Incident:	Date Completing Form:

Incident Summary

- Burst Water Pipe** ▶
 Fire System
 Heat/AC System
 Waste
 Other: _____
 Fire
 Flooding
 Other: _____

Space Affected

- Individual office
 Shared office > Shared with: _____
 Cubicle
 Lab / Research
 Storage
 Library / Museum
 Other: _____

Overall Damage Assessment

Brief description of damage: _____

Itemized Damage Assessment

Item	Destroyed	Major	Minor	Comments / Damage Caused By
Computer				
Monitor				
Printer				
Phone				
Files, Documents				
Desk				
Chair				
File Cabinet (not files)				
Bookshelf				
Rugs				
Other Furniture				
Specialized Equipment				

Attachment 1

Individual Damage Assessment Worksheet

Instructions: Complete one form for each office or work space that was affected.

Employee Name:	Title:
Address of Damage:	Room Number:
Date of Incident:	Date Completing Form:

Incident Summary

Burst Water Pipe ▶
 Fire System
 Heat/AC System
 Waste
 Other: _____
 Fire
 Flooding
 Other: _____

Space Affected

Individual office
 Shared office > Shared with: _____
 Cubicle
 Lab / Research
 Storage
 Library / Museum
 Other: _____

Overall Damage Assessment

Brief description of damage: _____

Itemized Damage Assessment

Item	Destroyed	Major	Minor	Comments / Damage Caused By
Computer				
Monitor				
Printer				
Phone				
Files, Documents				
Desk				
Chair				
File Cabinet (not files)				
Bookshelf				
Rugs				
Other Furniture				
Specialized Equipment				

Attachment 2

Recovery Contacts Worksheet*Instructions: Use this worksheet to help keep track of the different people you are working with*

Department	Services	Dept. Phone #	Contact Name	Contact Phone #
Office of Emergency Management – Business Continuity Program Manager	General guidance and support. Assist as needed with relocation and other needs			
Environmental Health & Safety – Safety Advisor	Containment and clean-up of hazardous materials. Air quality testing			
Facilities – Superintendent	Assist with damage assessment and estimating restoration			
Facilities – Custodial Lead	Clean-up, water removal, etc. Supplies (trash bags, etc.)			
Facilities – Project Management	Coordinate restoration and repairs			
ITS Support Specialist	Move computers and printers. Help replace damaged equipment. Access to network files and backup	ITS Help Desk Yale: 432-9000 YNHH: 688-4357		
Telecom	Phone services (desk and cell phones)			
TR&S	Help with moving furniture and equipment. Boxes and packing supplies			
Security Systems	Access control at new site			
Security Operations	Notify of change. Patrol new and vacant locations			
Risk Management – Claims and Loss Control	Assess insurance coverage and claims payments			
Lead Administrator or Business Operations				
Restoration Contractor				
Other				
Other				

Staff Relocation Worksheet

Instructions: List staff and indicate their space and equipment needs. Only include the items they need but don't have as a result of the event

Staff Member	No Needs / Same Space	Work from Home	New Location	Workstation / Office Needs										
				Private Office	Cubicle	Computer	Monitor	Printer	Phone Desk/Cell	Office Files	Access to Server	Special Equipment	Special Space	Other

General Inquiries: BCManagement@yale.edu

Contact Us

Business Continuity Program
BCManagement@yale.edu

Revised: November 2016

Yale Office of Emergency Management
OEM@yale.edu