

# Practice Planning Priorities

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*Creating Plans for Continuity of Care*

Bob Rogers © 2006

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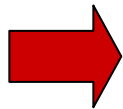
*“No medical practice should be without a disaster [recovery] plan.”*

- Dr. Neil Baum, Urologist  
New Orleans, December 2005

# Seminar Syllabus Learning Objectives

1. Gain an appreciation of the **need for continuity planning** for practices and businesses of all sizes.
2. Learn the **key terms** used to discuss archiving, continuity, backup, and disaster recovery.
3. Review **common issues and problems** that should be considered in continuity planning.
4. Understand the basic actions required to **move from paper to digital records**.
5. *Learn the basic steps taken in the **development of a continuity plan**.*
6. *Make a **self-assessment** of your practice.*
7. *Determine actions you need to take to **secure your practice**.*

# Seminar Syllabus Topical Outline



- Recent attention given to “continuity”
- Challenges to continuity
- FAQs and a few definitions...
- Three case studies
- Recommendations for practice continuity planning
- Creating digital records (a suggested method)
- Self-assessment tools
- Action plan
- Seminar quiz
- Summary

# Recent attention given to “continuity”

## Events causing reconsideration of approaches to business/practice continuity

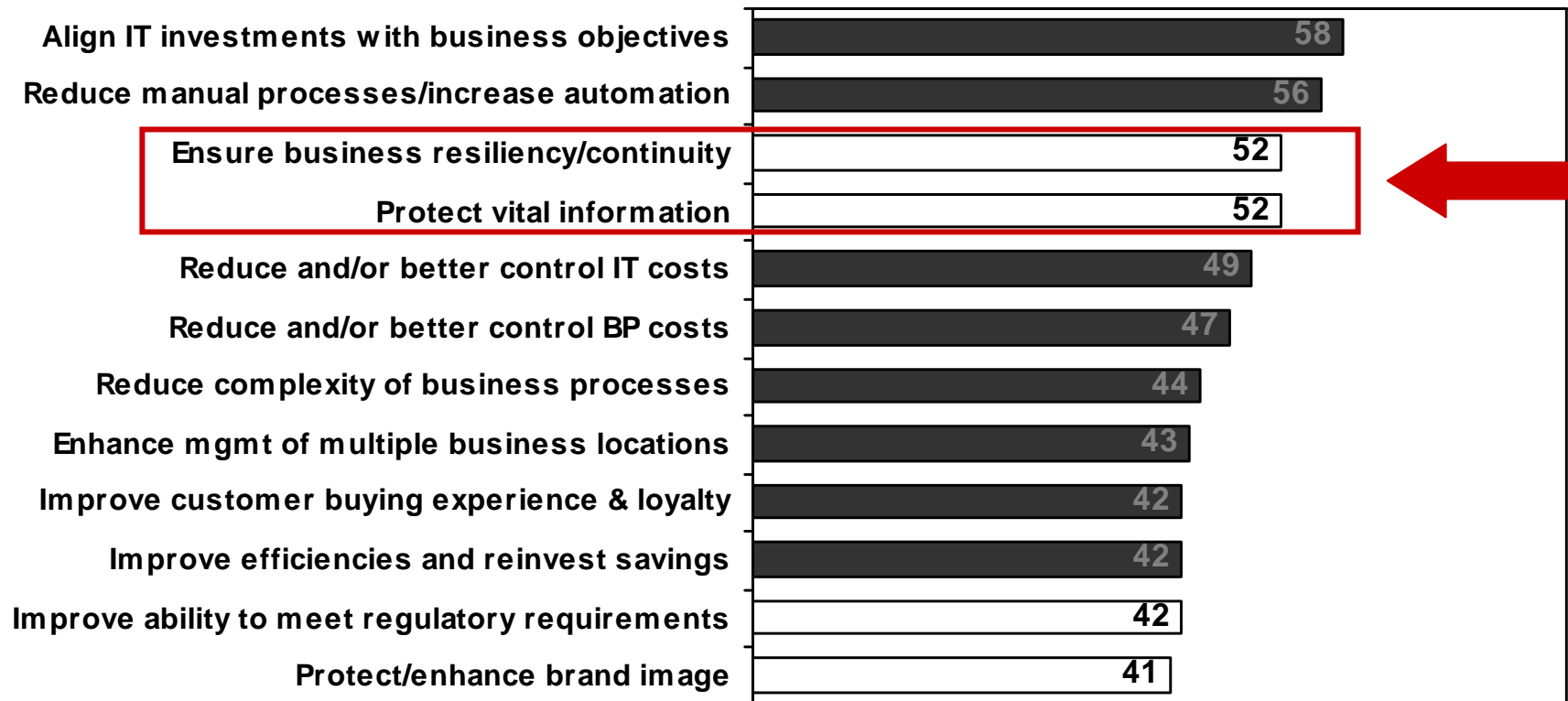
Year	Event	Year	Event
1977	Foreign Corrupt Practice Act of 1977	1996	AOL Server Overload
1979	Three Mile Island Nuclear Accident	1996	HIPAA Regulation
1980	Savings & Loan Failure	1999	Victoria Secret Server Overload
1982	Tylenol – Cyanide Laced Pills	2001	Enron Bankruptcy
1987	First commercial computer virus	2001	WTC/Pentagon Terrorist Bombing
1988	Illinois Bell, Hinsdale Fire	2002	Worldcom Bankruptcy
1989	Exxon Valdez Oil Spill	2002	Sarbanes-Oxley Act
1990	Drexel Burnham Lambert Bankruptcy	2003	SARS
1992	Great Chicago Flood, Chicago River	2003	Northeast Power Blackout
1993	WTC Bombing	2004	Four Hurricanes Within 6 Weeks in Same Region
1994	Northridge Earthquake	2004	Southern Asia Tsunami
1995	Oklahoma Bombing	2005	Train Derailment with Chlorine Gas Leak Hurricanes Katrina and Rita

# Recent attention given to “continuity”

- *Two out of five enterprises that experience a disaster will go out of business within five years.* - Aftermath: Disaster Recovery, Gardner Group, US, September 2001
- *80% of businesses affected by a major incident either never re-open or close within 18 months.* – AXA Insurance, UK, September 2004

# Recent attention given to “continuity”

## Top 12 business priorities (of 23 tested) in US companies



Percent Rating a High Priority (4 or 5)

Source: IBM IT Services Wants & Needs Study, Jan 2005

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# Challenges and perils to continuity

<b>A/C Failure</b>	<b>Evacuation</b>	<b>Microwave Fade</b>	<b>Static Electricity</b>
<b>Acid Leak</b>	<b>Explosion</b>	<b>Network Failure</b>	<b>Strike Action</b>
<b>Asbestos</b>	<b>Fire</b>	<b>PCB Contamination</b>	<b>Swimming Pool Leak</b>
<b>Bomb Threat</b>	<b>Flood</b>	<b>Plane Crash</b>	<b>S/W Error</b>
<b>Bomb Blast</b>	<b>Fraud</b>	<b>Power Grid Outage</b>	<b>S/W Ransom</b>
<b>Brown Out</b>	<b>Frozen Pipes</b>	<b>Power Outage</b>	<b>Terrorism</b>
<b>Burst Pipe</b>	<b>Hacker</b>	<b>Power Spike</b>	<b>Theft</b>
<b>Cable Cut</b>	<b>Hail Storm</b>	<b>Power Surge</b>	<b>Toilet Overflow</b>
<b>Chemical Spill</b>	<b>Halon Discharge</b>	<b>Programmer Error</b>	<b>Tornado</b>
<b>CO Fire</b>	<b>Human Error</b>	<b>Raw Sewage</b>	<b>Train Derailment</b>
<b>Coffee Machine</b>	<b>Humidity</b>	<b>Relocation Delay</b>	<b>Transformer Fire</b>
<b>Condensation</b>	<b>Hurricane</b>	<b>Rodents</b>	<b>UPS Failure</b>
<b>Construction</b>	<b>HVAC Failure</b>	<b>Roof Cave In</b>	<b>Vandalism</b>
<b>Coolant Leak</b>	<b>H/W Error</b>	<b>Sabotage</b>	<b>Vehicle Crash</b>
<b>Cooling Tower Leak</b>	<b>Ice Storm</b>	<b>Shotgun Blast</b>	<b>Virus</b>
<b>Corrupted Data</b>	<b>Insects</b>	<b>Shredded Data</b>	<b>Water (Various)</b>
<b>Diesel Generator</b>	<b>Lightning</b>	<b>Sick building</b>	<b>Wind Storm</b>
<b>Earthquake</b>	<b>Logic Bomb</b>	<b>Smoke Damage</b>	<b>Volcano</b>
<b>Electrical Short</b>	<b>Lost Data</b>	<b>Snow Storm</b>	
<b>Epidemic</b>	<b>Low Voltage</b>	<b>Sprinkler Discharge</b>	

Source: Contingency Planning Research, Inc. 2003

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# FAQs

- *What is a practice continuity plan?*
- *How does practice continuity planning differ from a disaster recovery plan?*
- *Why should small practices care about continuity planning?*
- *Doesn't it cost a lot of money to implement continuity planning?*

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# A few definitions...

- Archive
- Backup
- Practice Continuity Management
- Practice Continuity Plan
- Practice (Business) Interruption Insurance
- Data Security (HIPAA)
- Disaster Recovery

# A few definitions...

- Archive
  - primary version of a piece of inactive data
- Backup
  - copies of active production data
- Practice Continuity Management
  - ...anticipating incidents which will affect mission-critical functions/processes and ensuring response in a planned and rehearsed manner
- Practice Continuity Plan
  - sets out clear roles and responsibilities to address all requirements essential to keeping the practice running and disruption to patients and employees to a minimum

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# A few definitions...

- Practice (Business) Interruption Insurance
  - protects a lost earnings stream; earnings defined as revenues minus expenses (PND, 2002)
- Data Security (HIPAA)
  - security regulations require the integrity and availability of ePHI; including backup, disaster recovery and emergency operations
- Disaster Recovery
  - traditionally focused on IT recovery of data and operations

# Tools

- Vendor Resiliency Business Continuity Planning Questionnaire
  - <http://www.drj.com/eab/q&a/bcpvendorquestions.doc>
- Sample Disaster Recovery Plans
  - <http://www.macm.net/pdf/rp.pdf>
  - <http://www.uark.edu/staff/drpf/>
- Risk Analysis
  - [http://www.windowsecurity.com/articles/Risk\\_Assessment\\_and\\_Threat\\_Identification.html](http://www.windowsecurity.com/articles/Risk_Assessment_and_Threat_Identification.html)
- Good Practice Guide to BCM
  - 2005 Business Continuity Institute, Ltd.
  - <http://www.continuitycentral.com/>

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# Case study one of three

- Where:
  - Bay St. Louis, MS
- When:
  - August 2005
- What they do:
  - Pediatrics practice
- Incident/peril:
  - Hurricane Katrina
- Problem:
  - Bldg, records, computers destroyed; patients & staff scattered
- Case Source:
  - ComputerWorld, Jan 06
- Key actions:
  - When danger was imminent, saved contents of EMR system on tablet PC
  - Evacuated family
  - Evacuated with practice phone directory
  - Reconnected with patients and staff from remote location
  - Re-established broadband connection thru a partner
  - Re-established practice temporarily in trailers

# Case study two of three

- Where:
  - Manchester, UK
- When:
  - October 2003
- What they do:
  - Market research
- Incident/peril:
  - Fire in bldg next door
- Problem:
  - Denied access to premises
- Case Source:
  - AXA Insurance, September 2004
- Issues:
  - Denied access =
    - No phones
    - No databases/computers
    - No key phone directory
    - Inability to do research
    - Inability to complete projects due same day
    - Inability to notify clients
  - Failed to meet deadline for important customer

# Case study three of three

- Where:
  - East coast, US
- When:
  - 2003
- What they do:
  - Family practice
- Incident/peril:
  - Broken water pipe
- Problem:
  - Overnight, water leaked on computers and flooded admin office
- Case Source:
  - Medical Economics
- Key actions:
  - EMR databases maintained by application service provider (ASP)
  - Admin files backed up at close of each day
  - No data lost; same day recovery



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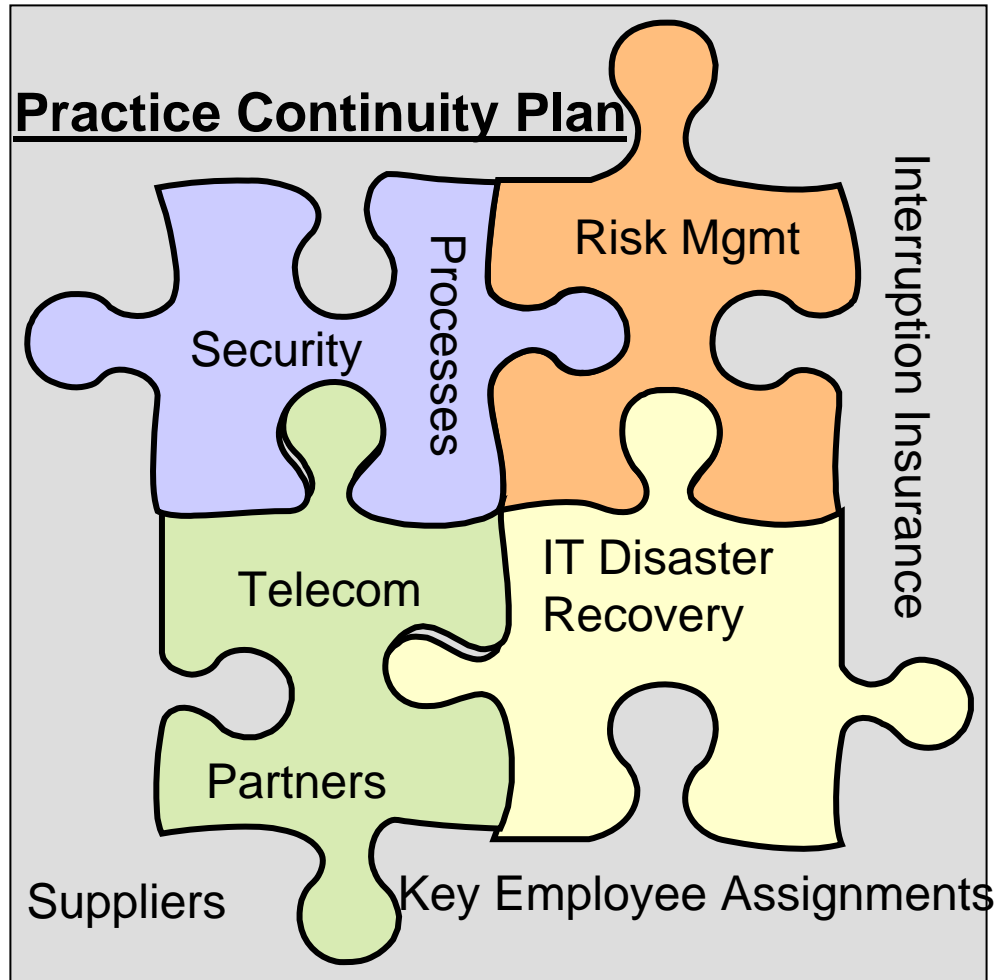
# Recommendations for practice continuity planning

- Create a **continuity plan** that fits
  - Solo physician/dental practice
  - 100+ physician/dental practice
- Maintain all records in **digital** form
  - Patient records (demographic, insurance, clinical, histories, etc.)
  - Practice directory (frequently called vendors, email, voicemail, phone numbers, URL bookmarks, etc.)
  - Forms, templates, photographs, continuity plan, backup plan, recovery plan, contracts, etc.

# Why bother with continuity planning?

- Putting in place a [practice continuity plan](#) has helped others to:
  - Avoid financial losses
  - Meet legal requirements
  - Avoid loss of market share
  - Protect the safety of assets, including employees
  - Enhance their reputation.

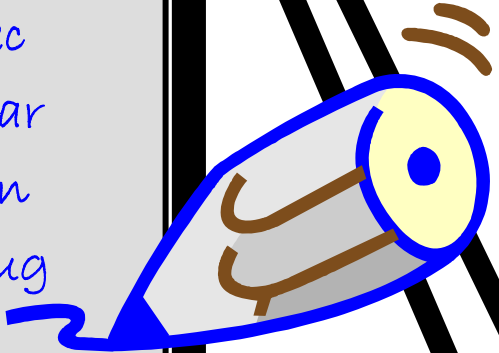
# What does the plan include?



# What does the plan include?

Sample action item from a draft plan

<u>Action</u>	<u>Review Dates</u>	<u>Acquisition Date</u>	<u>Owner</u>	<u>Funded</u>	<u>Tests Rehearsals</u>
Create plan and acquire services to forward selected practice phone numbers.	15 Oct 10 Nov	15 Nov	Mary Jones	\$557.	15 Dec 15 Mar 15 Jun 15 Aug

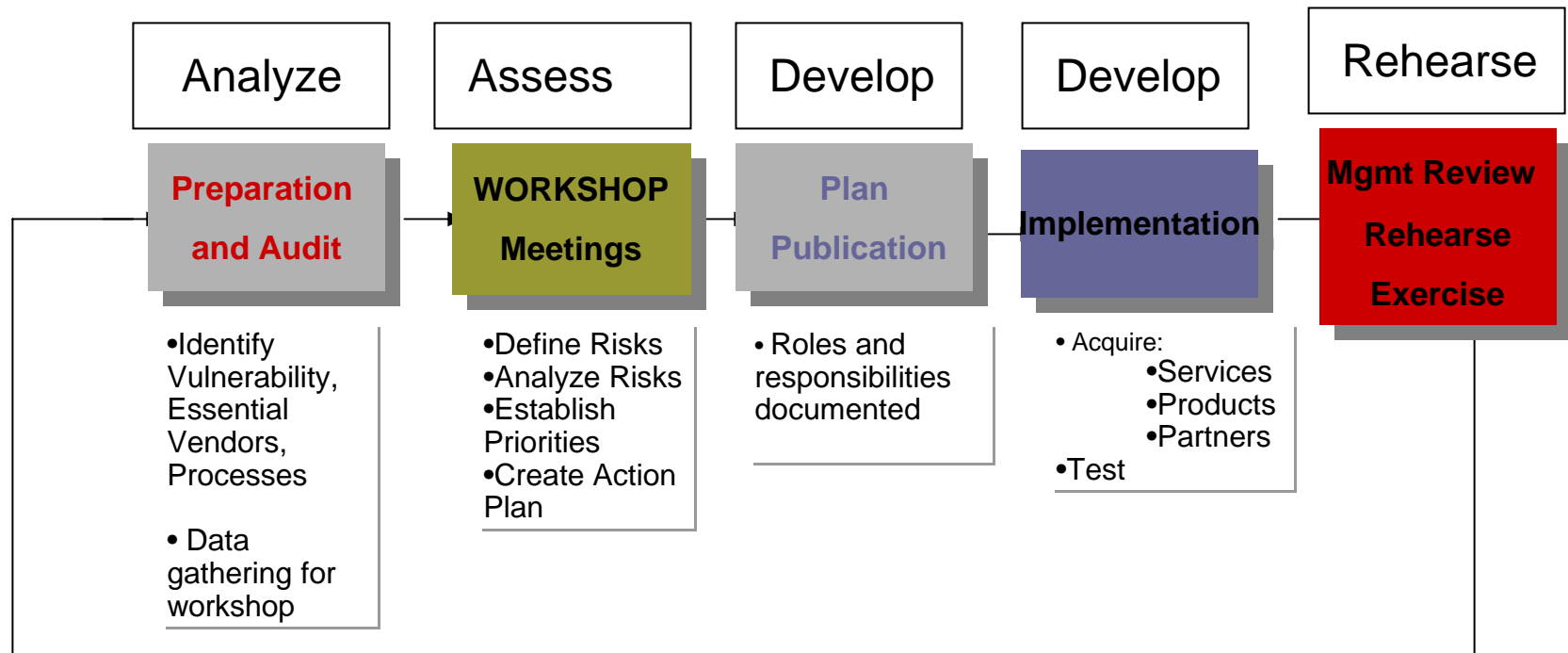


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# More Recommendations...

- Overview of Continuity Planning
  - Practice continuity management life-cycle
  - Major planning steps
  - Your management review
  - A logical planning method

# Overview of Continuity Planning (Practice continuity management life-cycle)

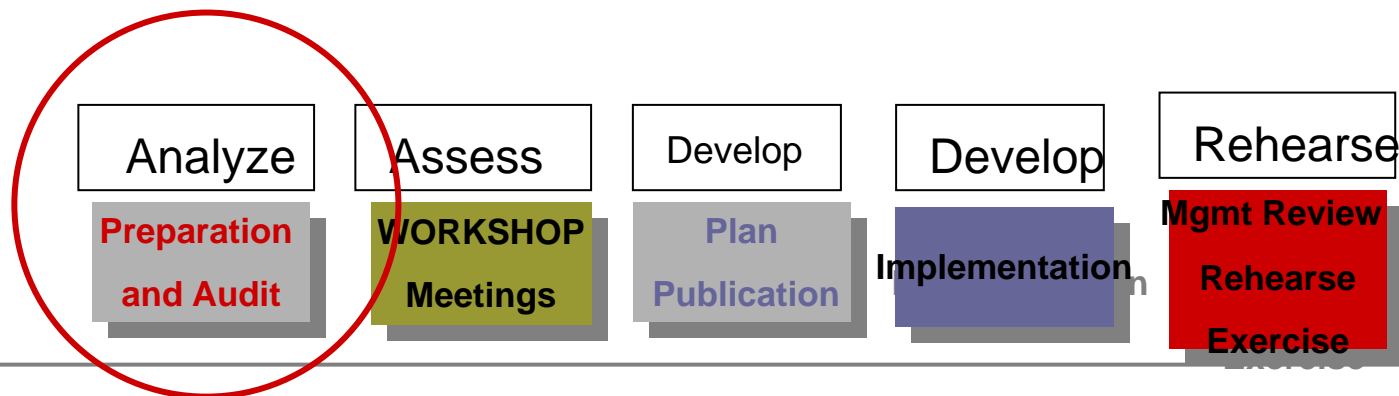


Source: World Alliances, Inc.  
Source: Business Continuity Institute, Ltd.

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# Practice continuity management life-cycle

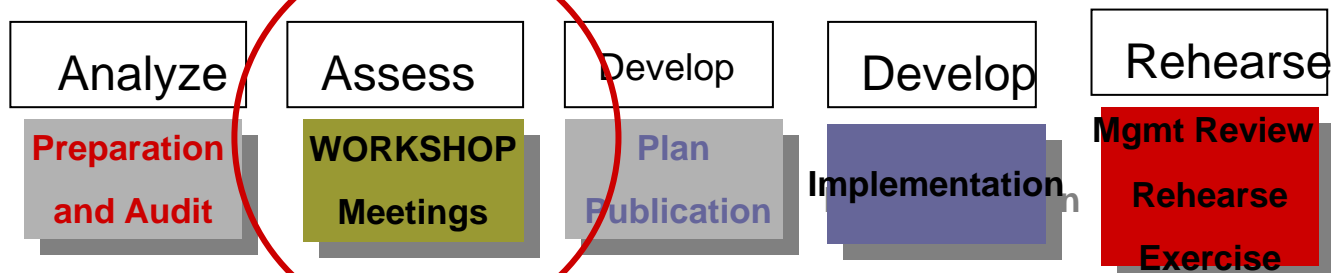
- **ANALYZE** your practice
  - Exactly where is your practice vulnerable?
  - Identify important processes
  - Which processes can you not do without?
  - Which vendors/suppliers are most essential?



# Practice continuity management life-cycle

## ■ **ASSESS** the risks

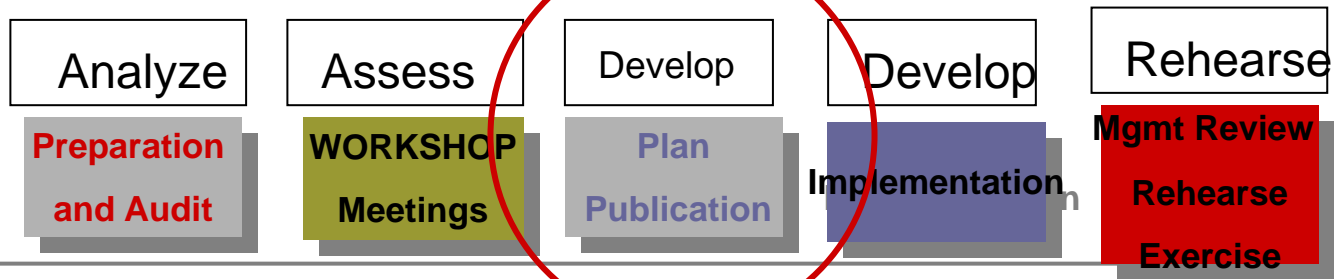
- How likely is the risk to happen?
- How much could you afford to lose if you could not do business for days, weeks or months?
- How would patients and potential patients react if your practice received adverse publicity because you were unprepared for an incident?



# Practice continuity management life-cycle

## ■ DEVELOP your strategy

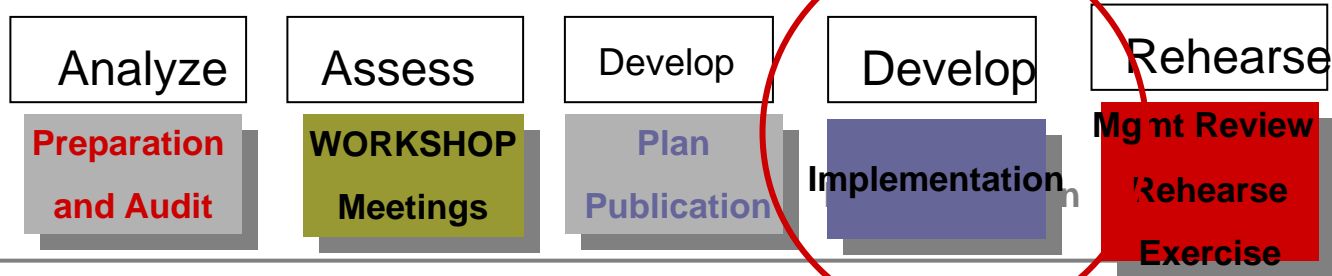
- Accept the risks – change nothing.
- Accept the risks, but make a mutual arrangement with another business or a business continuity partner to ensure that you have help after an incident.
- Attempt to reduce the risks.
- Attempt to reduce the risks and make arrangements for help after an incident.
- Reduce risks to point where you should not need outside help.



# Practice continuity management life-cycle

## ■ DEVELOP your plan

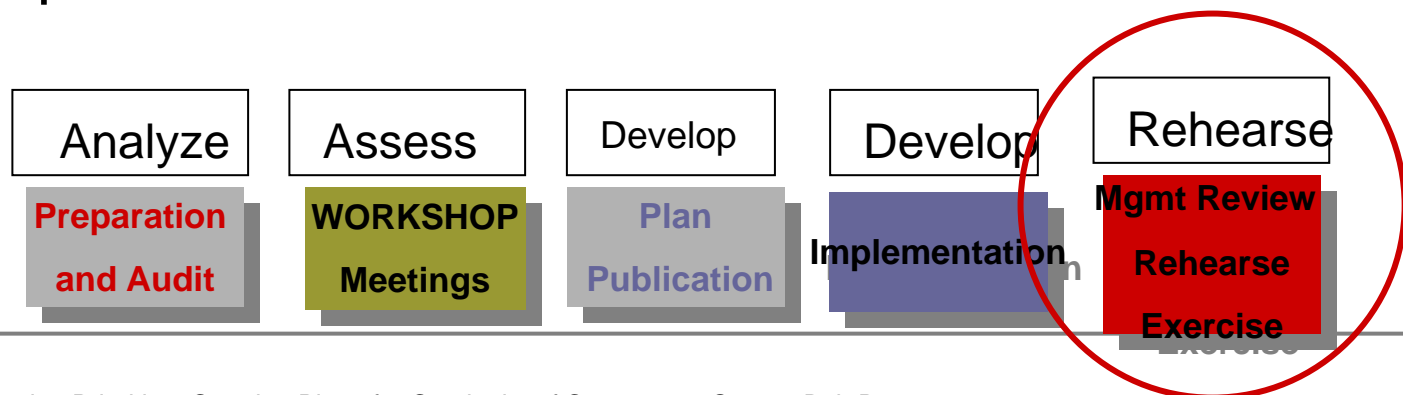
- Make it clear who needs to do what, and who takes responsibility for what. Assign backups.
- Use checklists that readers can follow easily.
- Include clear, direct instructions for the crucial first hour after an incident.
- Include a list of things that do not need to be thought about until after the first hour.



# Practice continuity management life-cycle

## ■ REHEARSE your plan

- A continuity plan is a living document
- Weaknesses are discovered when you put it into action
- Rehearsal helps you confirm your plan
- Good way to train staff that have practice continuity responsibilities



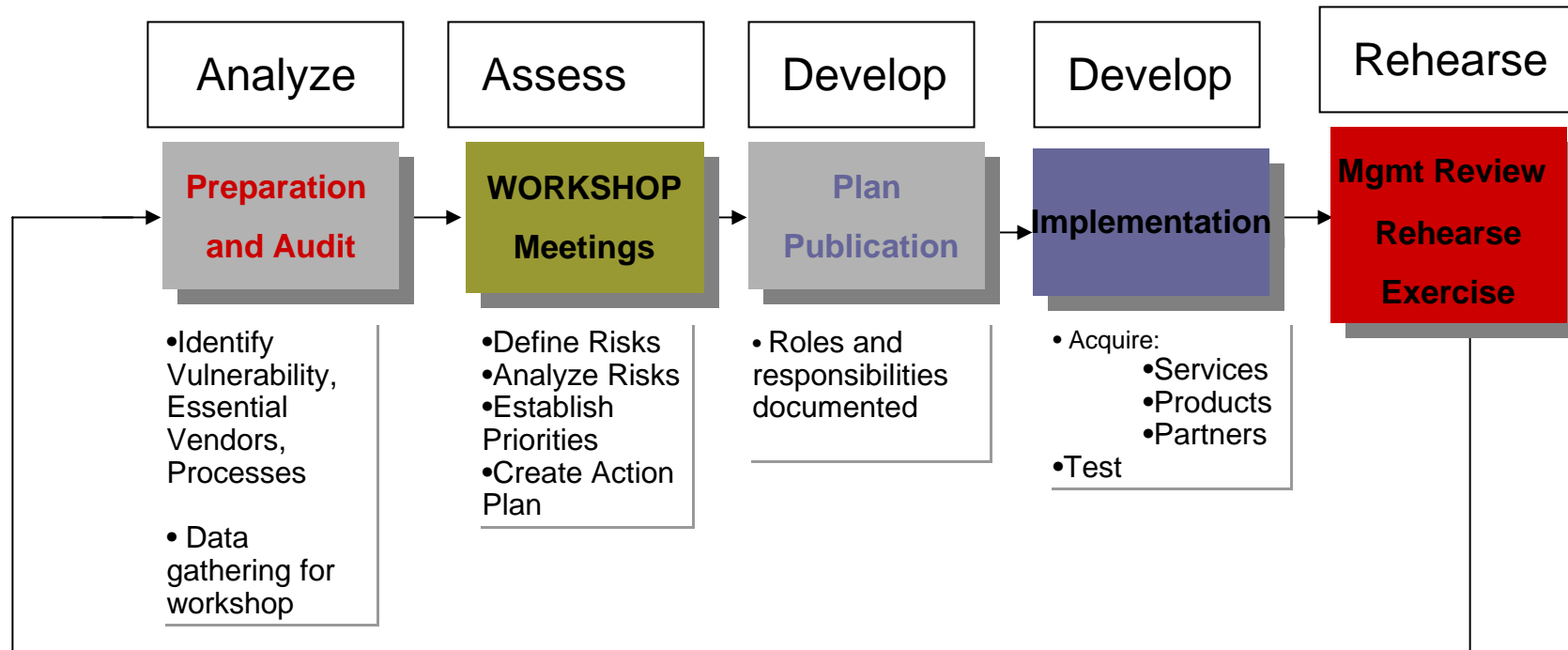
# About Reviews and Rehearsals...

- Practice Continuity Team:
  - Defines content
  - Sets Schedule for each review or rehearsal
  - Checks the full plan with the minimum of cost and disruption
  - Finds ways to rehearse:
    - paper-based exercises
    - telephone cascading
    - full rehearsal



# Continuous Loop

## (Practice continuity management life-cycle)



**Continuous updating required for employee, technology, and partner changes.**

Source: World Alliances, Inc.

Source: Business Continuity Institute, Ltd.

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# A Method for Capturing Your Results

- Analyze **objectives** for survival
- Assess **threats and obstacles**
- Create **strategies** to deal with risks
- Document **actions** in continuity plan

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# A Method for Capturing Your Results

- Objectives
  - Set **objectives** until each Goal will be realized
    - Measurable
- Obstacles
- Strategies
- Actions

---

# A Method for Capturing Your Results

- Objectives
  - Set **objectives** until each Goal will be realized
    - Measurable
- Obstacles
  - Define until possibilities are exhausted
- Strategies
- Actions

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# A Method for Capturing Your Results

- Objectives
  - Set **objectives** until survival will be realized
    - Measurable
- Obstacles
  - Define until possibilities are exhausted
- Strategies
  - Devise until each **obstacle** is overcome
- Actions

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# A Method for Capturing Your Results

- Objectives
  - Set **objectives** until survival will be realized
    - Measurable
- Obstacles
  - Define until possibilities are exhausted
- Strategies
  - Devise until each **obstacle** is overcome
- Actions
  - Create until each **strategy** is implemented
    - **Begins with verb, assigned: funds, owner, due date**

# A Method for Capturing Your Results

## Brer Rabbit Example

### ■ Objectives

- I. Keep from gittin' snatched.
- II. Avoid traps...
- III. Collect veggies from Farmer Brown...

### ■ Obstacles

# A Method for Capturing Your Results

## Brer Rabbit Example

### ■ Objectives

- I. Keep from gittin' snatched.
- II. Avoid traps...
- III. Collect veggies from Farmer Brown...

### ■ Obstacles

- I.1. Brer Fox
- I.2. Brer Bear
- I.3. *more...*

# A Method for Capturing Your Results

## Brer Rabbit Example

### ■ Strategies

- I.1.A. Ol' briar patch trick.
- I.1.B. Beg.
- I.1.C. Play dead.
- I.2.A. Pure guile.
- I.2.B. Run (hop) like crazy.

### ■ Actions

- I. 1. A. a. Chart "BPs," locations, and distances.
- I. 1. A. b. Laminate; carry in wallet.

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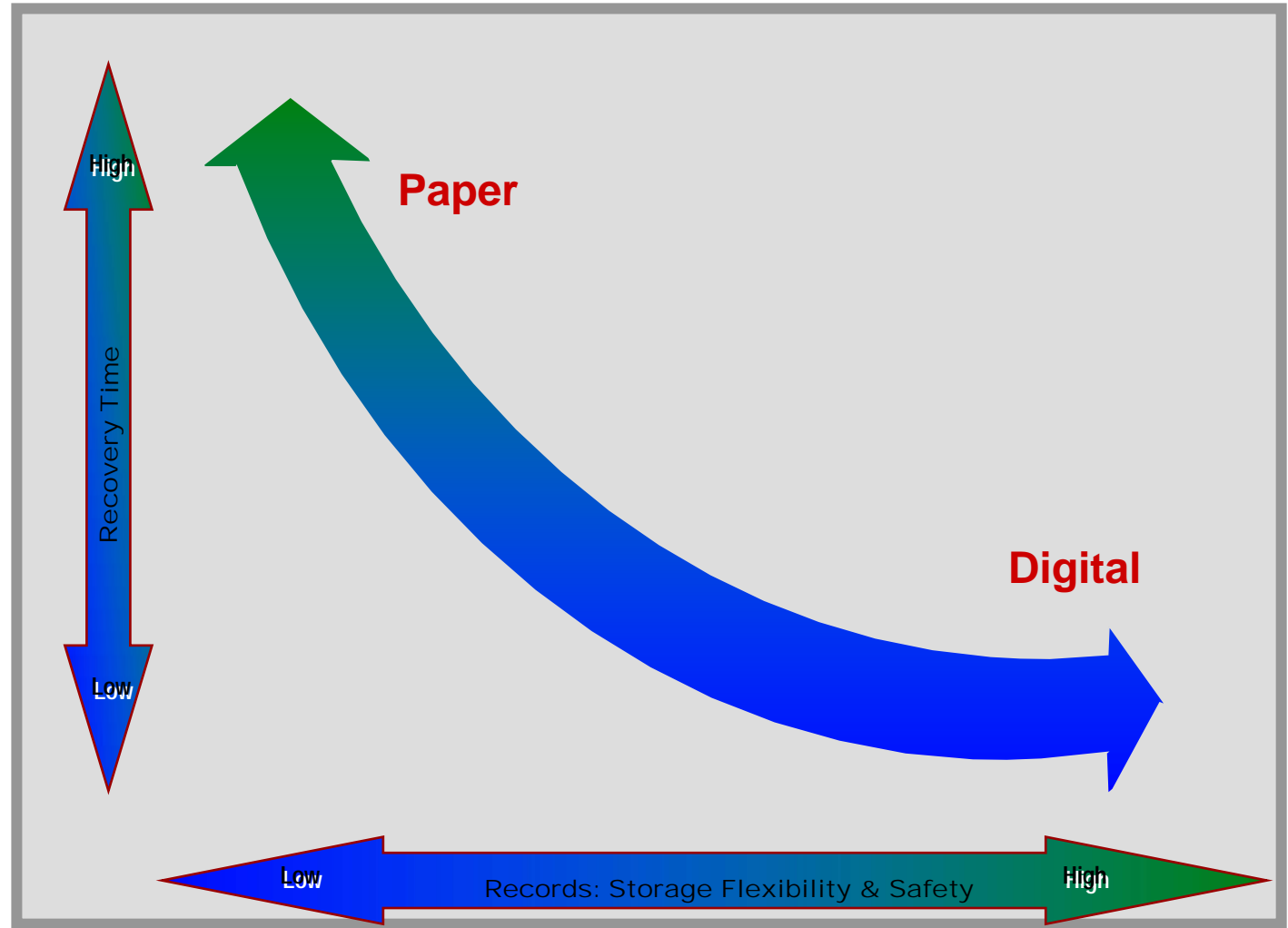
# Digital records

- Maintain **all** records in **digital** form
  - Patient records (demographic, insurance, clinical, histories, etc.)
  - Practice directory (frequently called vendors, email, voicemail, phone numbers, URL bookmarks, etc.)
  - Forms, templates, photographs, continuity plan, backup plan, recovery plan, contracts, etc.
- **Digital** means versatile
  - Cheap storage, cheap backup, cheap archive
  - Access possible **anytime, anywhere**

# Digital Records

## Advantages:

- Store thousands of patient records on a laptop computer
- Create copies in seconds
- Transmit copies
- Remote access
  - Anytime
  - Anywhere

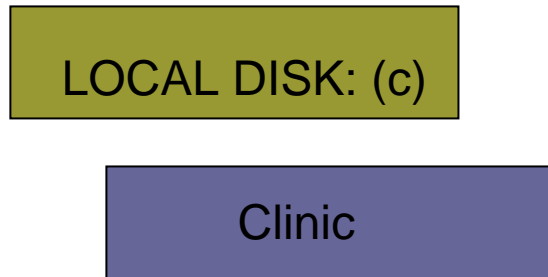


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# Creating digital records: “EMR-*lite*”

LOCAL DISK: (c)

# Creating digital records: “EMR-*lite*”



# Creating digital records: “EMR-*lite*”

LOCAL DISK: (c)

Clinic

I

J

K

L

# Creating digital records: “EMR-*lite*”

LOCAL DISK: (c)

Clinic

I

J

K

L

Jones, William

# Creating digital records: “EMR-*lite*”

LOCAL DISK: (c)

Clinic

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J

K

L

Jones, William

ECGs

# Creating digital records: “EMR-*lite*”

LOCAL DISK: (c)

Clinic

I

J

K

L

Jones, William

ECGs

Labs

Notes

x-Rays

# Creating digital records: “EMR-*lite*”

## ■ Advantages:

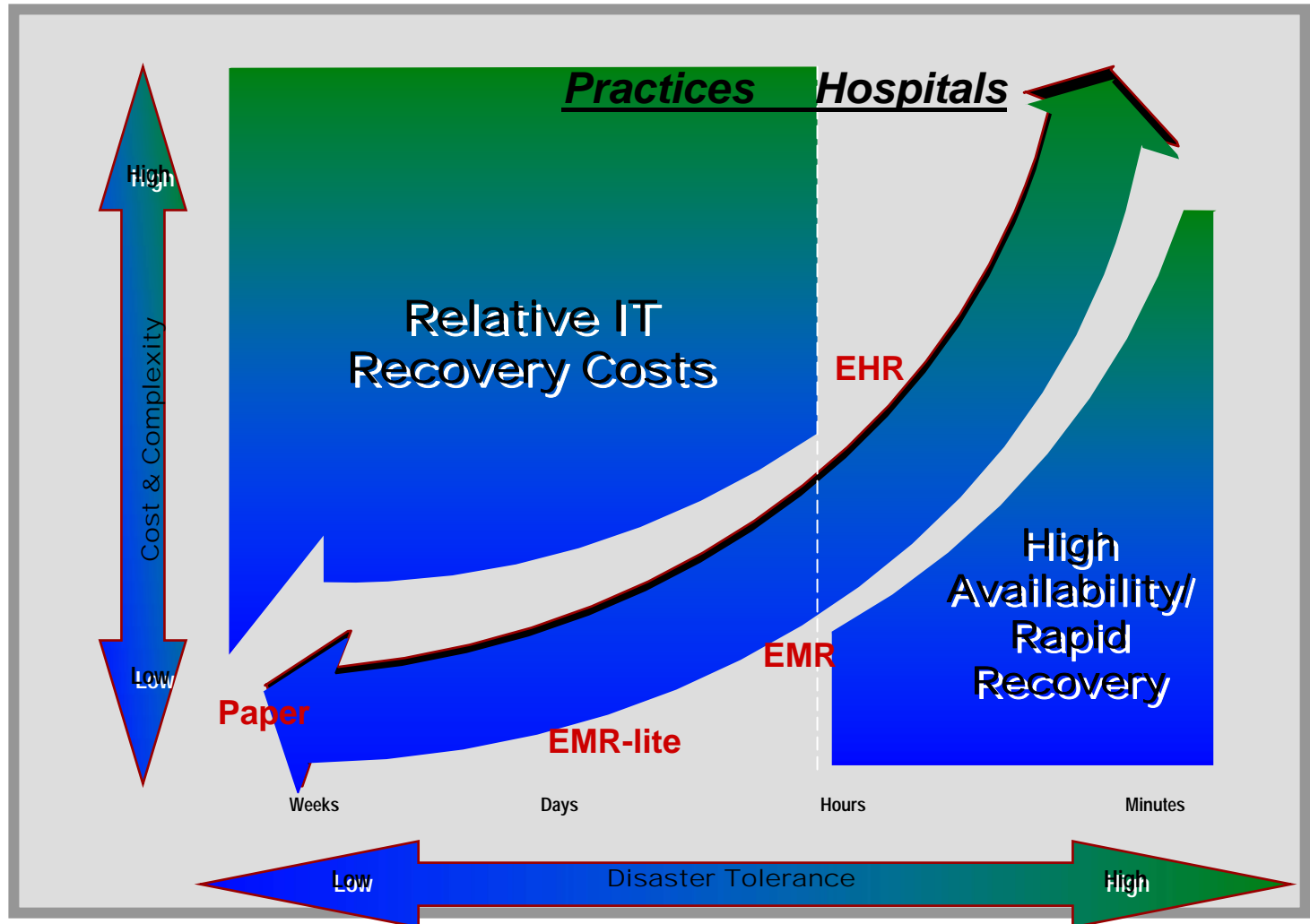
- Uses off the shelf software
  - Microsoft Word ®
  - Adobe Acrobat ®
  - Windows Explorer ™
  - IBM Lotus Approach ®
- Low, one-time cost: (<\$800)
- “Household name” brands
- Self-paced implementation
- Works with transcription and/or local data entry
- Approach® DB supports prescription function with query

## ■ Disadvantages:

- Limited database function
- Limited query facility
- No Multi-user access to same record
- No integration with practice management system
- No coding function

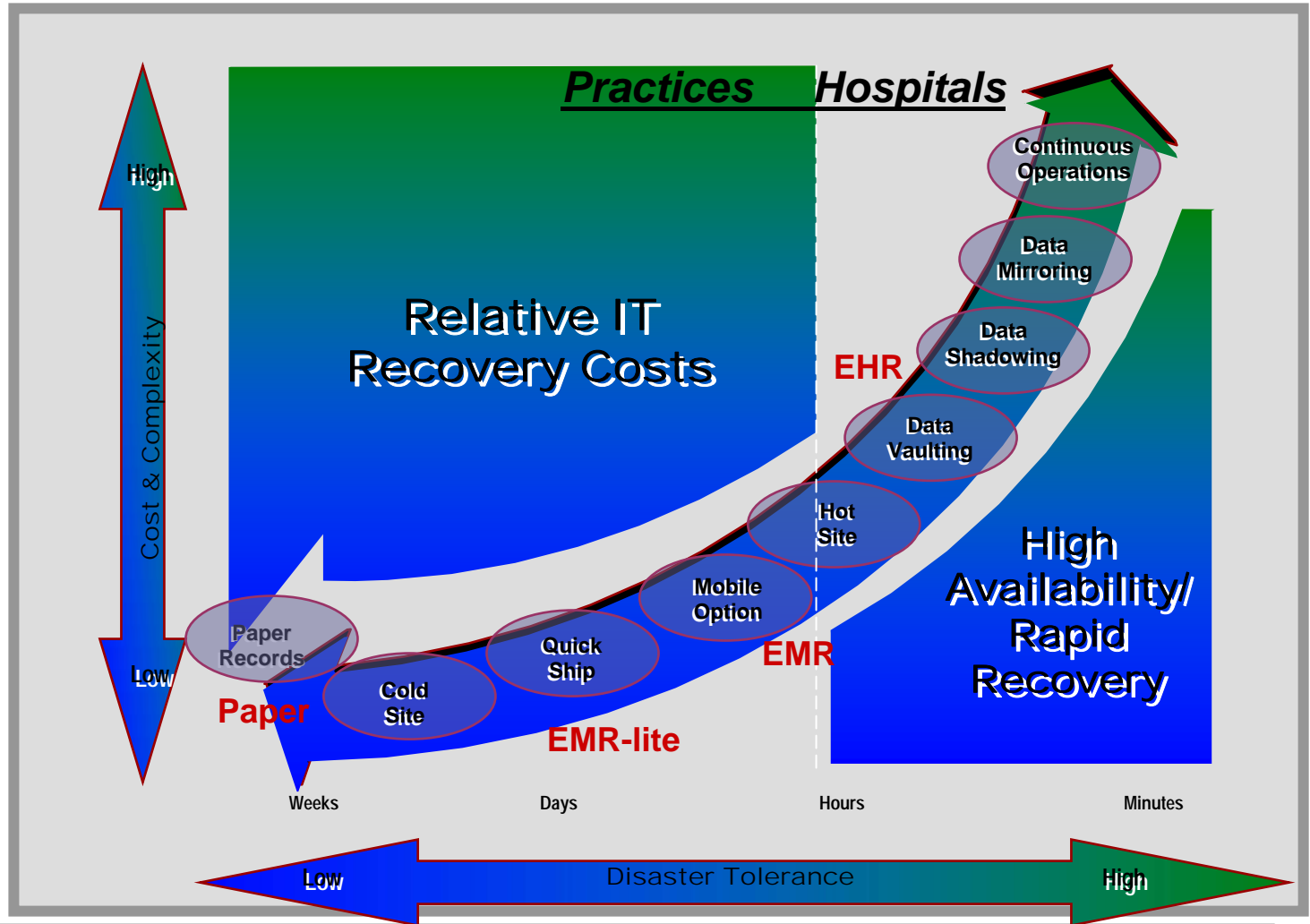
# Which infrastructure strategy is best for your practice?

Recovery strategies...

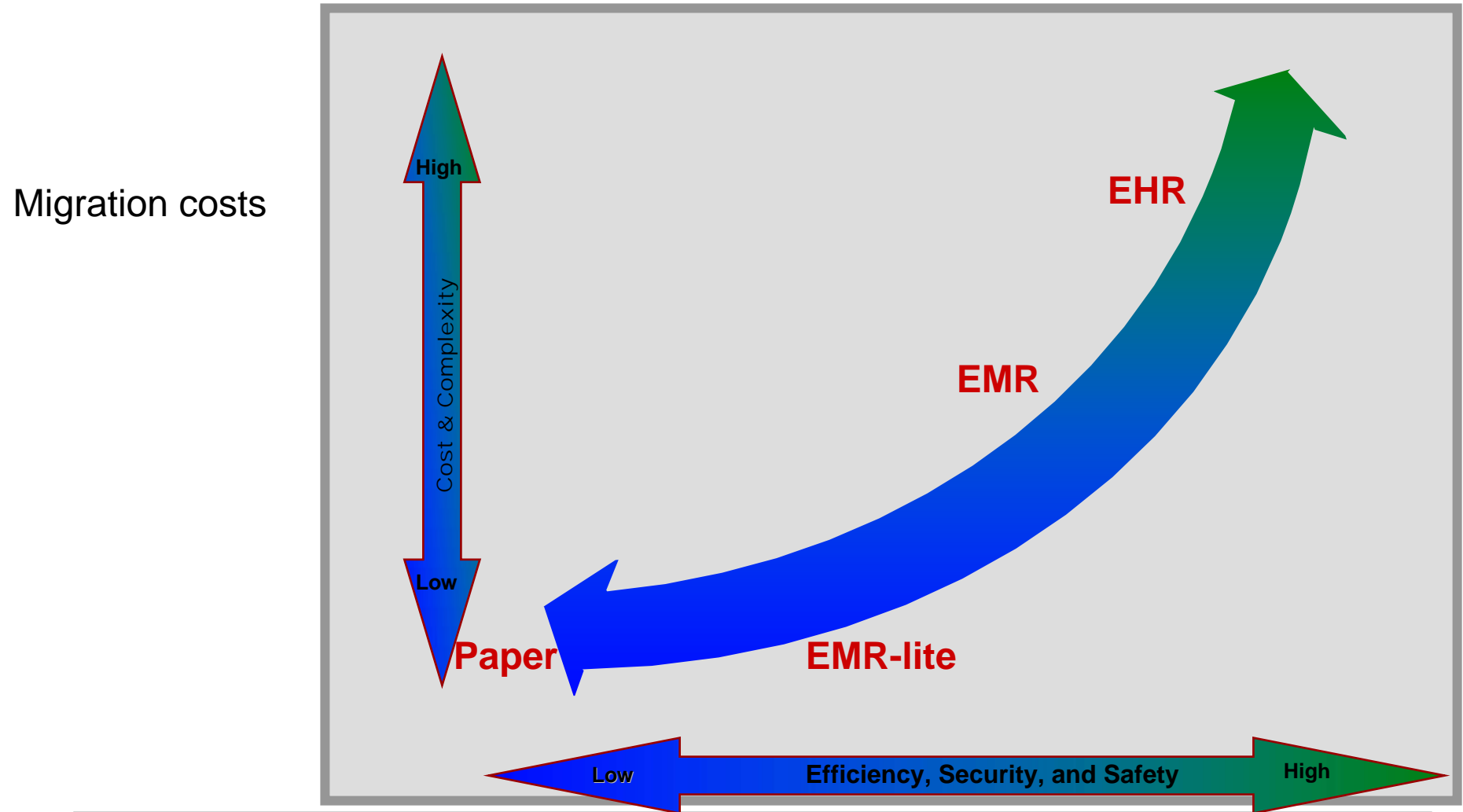


# Which infrastructure strategy is best for your practice?

Recovery strategies selected depend on your needs...

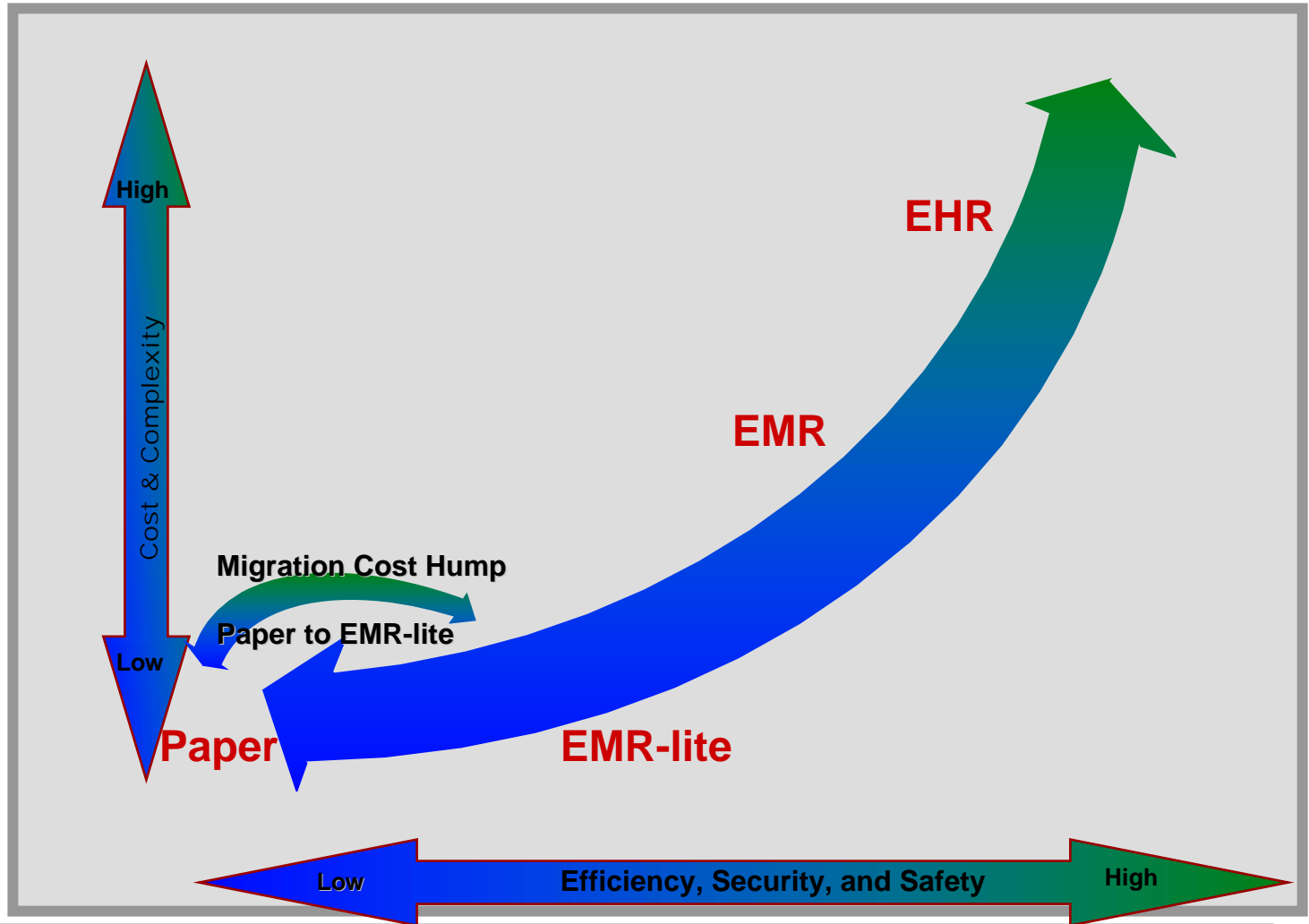


# Cost of Implementation



# Cost of Implementation

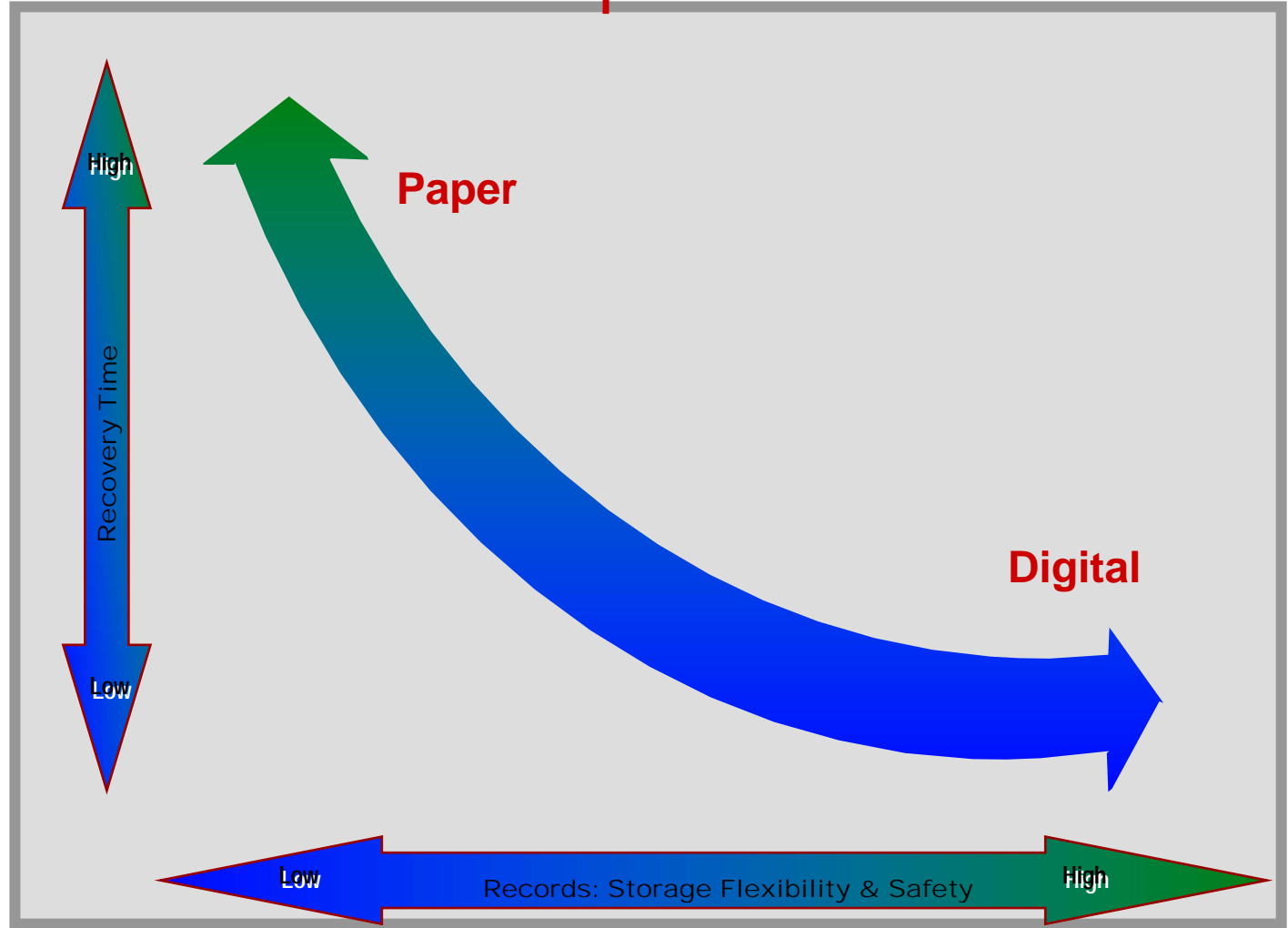
Migration costs depend on needs of the practice (pace, period of record capture, number of patient records.)



# Digital Records: Examples of low-cost backup solutions

## Alternatives:

- Local & LAN Devices
  - Explorer
  - Scheduled programs
- Remote Devices
  - Backup services
  - ASPs



# Emergency Communications Requirements

1. Connect employees, patients, and vendors
  - Provide access via a single toll-free number
  - Route calls to alternate contact number
  - Listen to prerecorded messages (including broadcasts)
  - Leave messages for specific individuals
  - Send, reply, forward messages from any phone
2. Maintain a “phone tree”

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# Self-assessment

- FEMA
  - <http://www.fema.gov/onsc/coopassessment3.htm>
- Surf Technologies, Inc.
  - <http://www.surftechnologies.net/BCDR.htm>
- Business Continuity Institute, Ltd.
  - <http://www.surftechnologies.net/BCDR.htm>
- IBM
  - <http://www-03.ibm.com/security/services/esurvey/>
- HP
  - <http://www.hp.com.au/services/bc/>

# Self-assessment

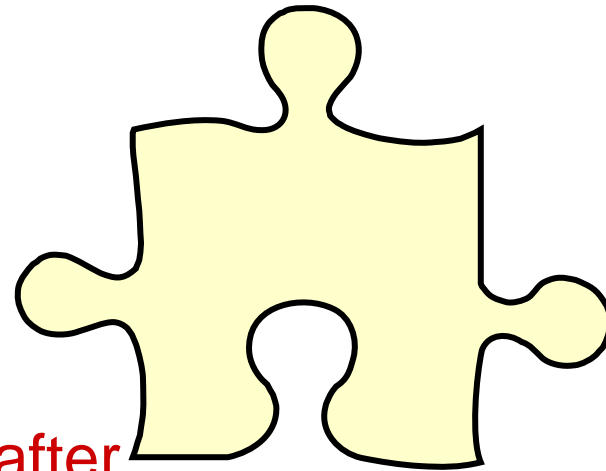
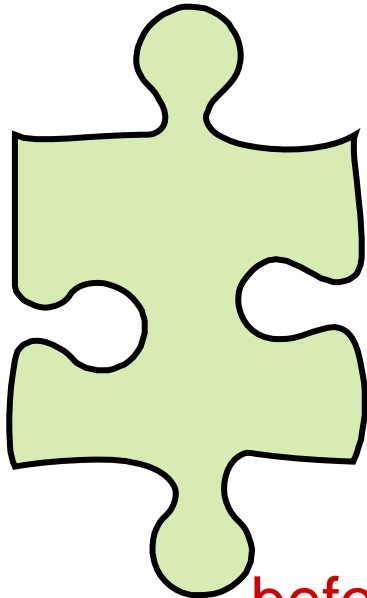
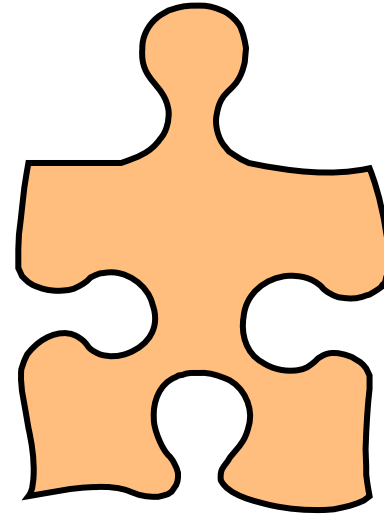
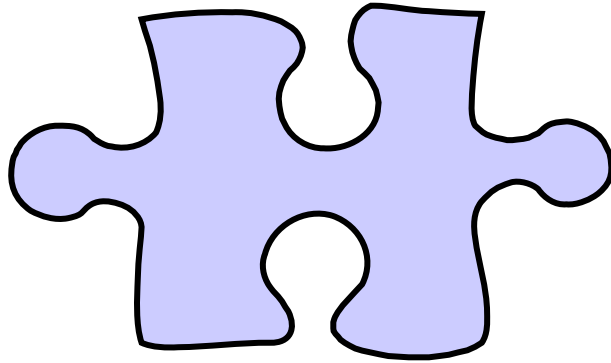
- Sample questions:
  - Do your employees know their role following a disaster?
  - Is your practice continuity plan tested annually?
  - Do you know who to contact immediately, how to contact them, what to tell them and where to tell them to report?
  - Do you have a process for making backup copies of practice data and storing copies offsite on a frequent and consistent basis?
  - Is your practice continuity plan and copies of other critical practice documents stored safely off site?

Source: Surf Technologies, Inc., 2005

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# Putting the pieces together...



...before and after...

# Action plan

<b><u>WHAT?</u></b>	<b><u>WHO?</u></b>	<b><u>WHEN?</u></b>
Conduct self-assessment.		
Perform practice analysis.		
Decide key threats, likelihood, importance.		
Set strategies, assign risks, and decide actions.		
Review relevance to practice business priorities.	(you)	
Rehearse.		

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# Quiz

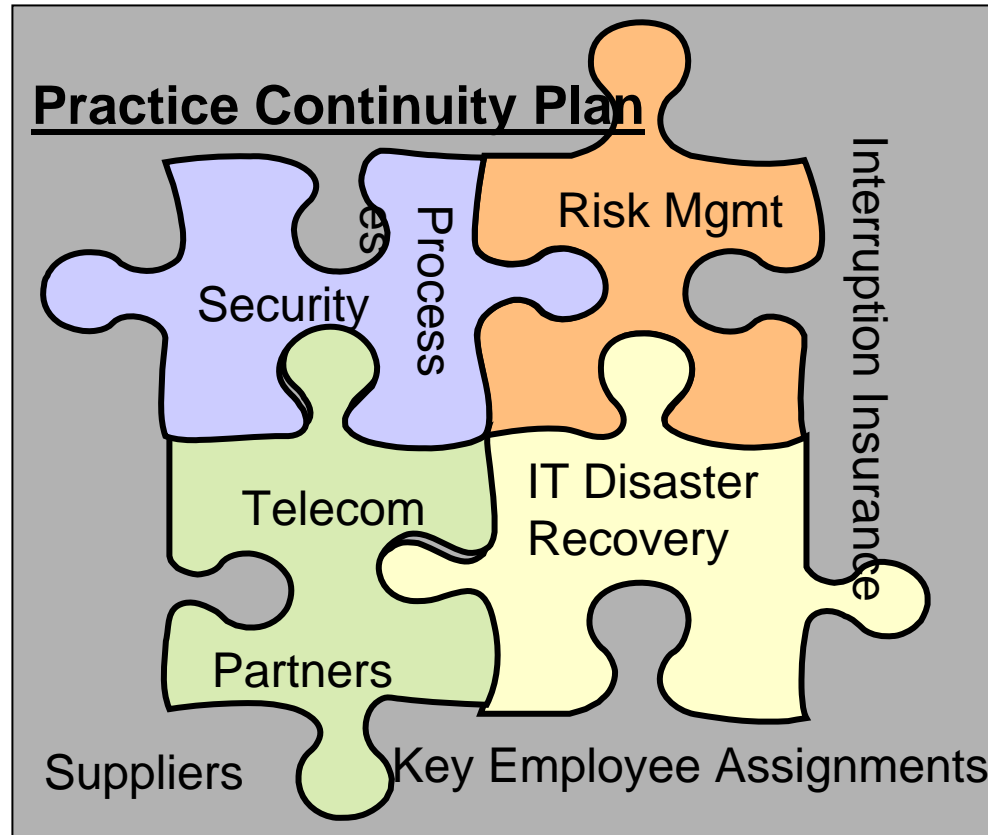
1. Why bother with continuity planning?
2. What is the difference between archiving and backup?
3. What are five items required in your continuity plan?
4. What is a reasonable price for “EMR-lite?”
5. What are the five steps in practice continuity management life-cycle?

# Quiz answers

- 1. A practice continuity plan can help:
  - Avoid financial losses
  - Meet legal requirements
  - Avoid loss of market share
  - Protect the safety of assets, including employees
  - Enhance their reputation
- 2. The difference between archive and backup is:
  - Archive
    - primary version of a piece of inactive data
  - Backup
    - copies of active production data

# Quiz answers

- 3. Five items required in your continuity plan:

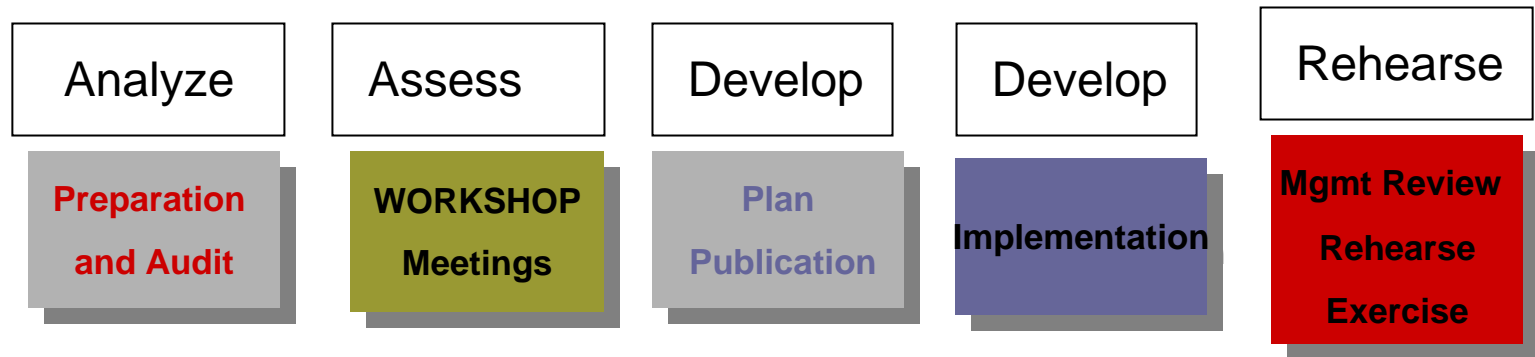


# Quiz answers

- 4. What is a reasonable price for “EMR-lite?”
  - Uses off the shelf software
    - Microsoft Word ®
    - Adobe Acrobat ®
    - Windows Explorer ™
    - IBM Lotus Approach ®
  - Low, one-time cost (<\$800)
  - “Household name” brands
  - Self-paced implementation
  - Works with transcription and/or local data entry
  - Approach® DB supports prescription function with query

# Quiz answers

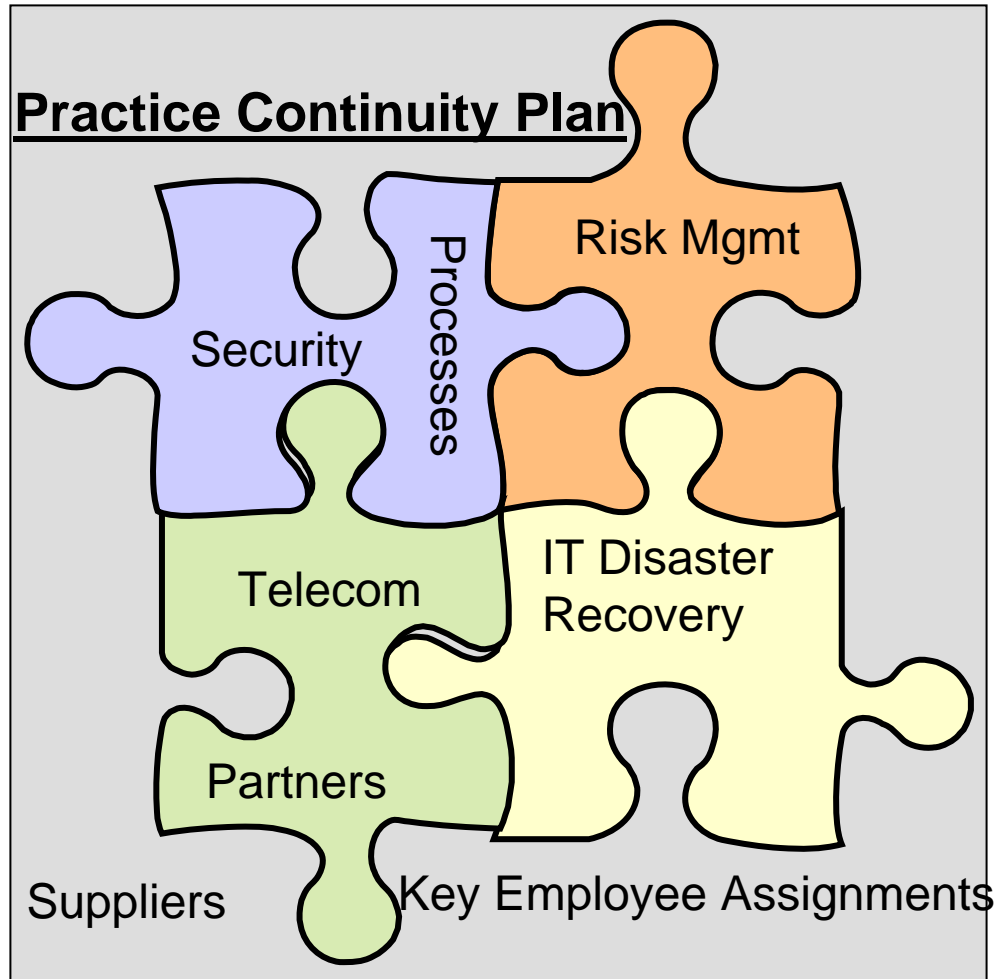
- 5. What are the five major steps in practice continuity management life-cycle?



# Seminar Syllabus Topical Outline

- Recent attention given to “continuity”
- Challenges to continuity
- FAQs and a few definitions...
- Three case studies
- Recommendations for practice continuity planning
- Creating digital records (a suggested method)
- Self-assessment tools
- Action plan
- Seminar quiz
- ➔ Summary

# Summary



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# Summary

*“No medical practice should be without a disaster [recovery] plan.”*

- Dr. Neil Baum, Urologist  
New Orleans, December 2005

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