



SunGard Pandemic Response Checklist¹

The following provides a framework for planning and responding to a Pandemic threat.

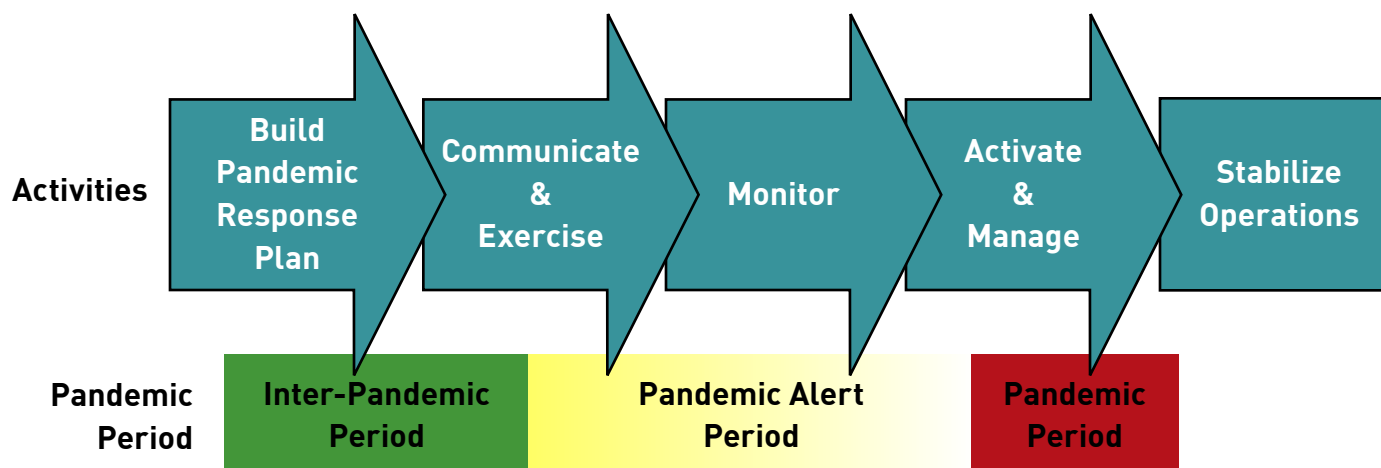


Figure 1: SunGard's Pandemic Response Approach

Build Pandemic Response Plan

Collect and review existing business priorities, strategies and business availability preparedness. Evaluate the potential risks and vulnerabilities based on a Pandemic flu disruption to people, processes, and technology. Assess the potential impacts a Pandemic situation may have upon your organization and determine appropriate strategies to mitigate areas of concern. Document the actions necessary to prepare for an increased Pandemic threat level.

Communicate and Exercise

Build organizational awareness of the Pandemic situation and communicate plans and actions to critical stakeholders. Exercise the planned strategies and actions to validate and ensure preparedness and familiarity with current Pandemic response plans.

Monitor

Monitor the Pandemic threat classifications as determined by the World Health Organization (WHO) and/or US government response. Ensure executive management is aware of the current Pandemic conditions and potential impacts.

Activate and Manage

Activate the Pandemic planning actions appropriate for the current condition. Assess the changing impacts and conduct ongoing incident management measures specific to the organization's people, process and technology.

Stabilize Operations

Initiate steps to stabilize operations and continue business functions. Restart suspended operations and continue to monitor the overall Pandemic situation.

¹ Note: This planning checklist is not intended to be a substitute for comprehensive Pandemic response planning; nor does it include Pandemic planning specific to your organization.

Pandemic Response Approach

Build Pandemic Response Plan

1. Collect and Assess Current Preparedness Information

- Business Impact Analysis
- Risk Assessments
- Business and technology profiles
- Current prioritization of personnel / functions / business units
- Business and Technology Availability Plans, existing policies and procedures, etc.
- Emergency Preparedness Plans
- Health and Safety procedures
- Facility / Environmental preparedness
- Communications Plan . Succession Plan

2. Evaluate Risks

- High absenteeism of staff (25% - 40%)
- Permanent loss of critical personnel
- Interruption of supply chain
- Interruption of vendor supplied services
- Travel restrictions and/or quarantine
- Interruption and /or extended outage of critical infrastructure and business services

3. Assess Potential Impacts

- Reduction or loss of critical skill sets and the loss of institutional knowledge
- Business volume changes (i.e., increase or decrease of business activity)
- Service quality and delivery time
- Financial (sales, revenue, cash flow)
- Current technical and production capabilities
- Non-compliance with regulatory requirements
- Non-compliance with Service Level Agreements (SLAs)

4. Determine Strategies

- People
 - Increase employee awareness (health and hygiene) through education and training
 - Determine precautions to minimize the spread of the influenza virus such as stockpiling personal protective equipment and other sanitary supplies
 - Consider surveillance protocols for monitoring employee and visitor health
 - Determine alternate work locations to distance members of work groups
 - Identify alternates and back-up personnel for critical business and decision-making roles
 - Coordinate internal planning with external organizations
 - Re-evaluate internal personnel policies in the context of a Pandemic response (e.g. work-at home, payment for family-member-care time)
- Process
 - Reassess the overall business process priorities (i.e. what will be most critical during potential 3+ week Pandemic wave)
 - Build options and redundancy into critical processes and work flow
 - Assess the impact of suspension of non-critical business functions
 - Assess current contract / SLA requirements
 - Consider alternate work locations
 - Evaluate capabilities of shifting work responsibilities (i.e. ability to shift personnel supporting “non-critical” functions to “critical” functions)
 - Develop alternate supply chain sources
 - Reassess business inventory strategies – raw materials and finished goods

Technology

- Consider increasing remote operations, monitoring, and control capabilities
- Assess network capacity to support increased volume from alternate work locations
- Determine equipment requirements to support working from home (e.g. laptops)
- Re-evaluate security policies and procedures
- Identify and decrease single points of failure
- Consider suspending production environment upgrades and changes
- Expand Help Desk / end-user support capabilities
- Stage hardware spare parts inventory

5. Create a Pandemic Response Plan

- Develop and / or expand an Incident Management Plan that documents the following:
 - Roles and responsibilities
 - Response Strategies
 - Actions to implement strategies
 - Tasks required to accomplish tactical objectives
 - Trigger points based on WHO and/or US government pandemic threat levels (see attached excerpt from the Homeland Security Council)
 - Notification and escalation procedures and contact information
 - Procedures for staff support groups including:
 - Corporate Communications
 - Environment/Facilities
 - Finance
 - Food Services
 - Human Resources
 - Information Technology
 - Legal
 - Office Services
 - Purchasing
 - Records Management
 - Risk Management
 - Security
 - Transportation
 - Resources requirements
- Develop and / or expand business and technology availability plans that document the following:
 - Roles and responsibilities
 - Actions to implement strategies
 - Redeployment of people, processes and technology
 - Tasks required to accomplish tactical objectives
 - Trigger points based on WHO and/or US government pandemic threat levels
 - Notification and escalation procedures and contact information

6. Validate Pandemic Response Plan

Develop and conduct walk-through exercise to validate plan

COMMUNICATE & EXERCISE

- Develop Communications Plan for internal and external audiences
- Educate employees
 - Communicate plan details including communication protocols
 - Provide training with regard to basic health, environmental, and safety practices
 - Inform employees of anticipated policy changes . Coordinate external communications . Liaison with public health organizations, local government, and emergency response agencies . Exercise Response Plan including communications protocols

MONITOR

- Monitor the progression of the flu threat
- Track government and health organizations' responses and directions
- Track employee absenteeism trends

ACTIVATE & MANAGE

- Activate the Pandemic Response Plan and implement Action Plans based on trigger points
- Track progress and communicate internally and externally as appropriate
- Provide additional resources as needed by response teams

STABILIZE OPERATIONS

- Resume suspended functions
- Update the Pandemic plan strategies and procedures based on lessons learned
- Prepare for potential waves of the Pandemic flu

SunGard Pandemic Response Plan Service Description

The SunGard Pandemic Response Plan service provides a proactive means for a customer's management to outline decisions and actions that should be performed to respond to an influenza situation that may escalate to the point of disrupting or has already disrupted normal business processes.



Specific activities include:

- Identifying specific risks related to the threat of a Pandemic and the potential impacts
- Evaluating potential strategies to mitigate the impact of a Pandemic (e.g. technology infrastructure, redirection of effort, alternate work locations);
- Establishing customer's overall response plan to a Pandemic scenario:
 - Assessing potential impacts to the business and technology operations;
 - Identifying requirements and prioritizing availability for critical business functions;
 - Determining response triggers that would necessitate activating response plans (e.g. WHO Alert Phases, supply chain disruption, travel restrictions);
 - Identifying guiding principles and required policy decisions (e.g. human resources, legal, life/health and safety);
 - Developing an enterprise level Pandemic Incident Management Plan for support of essential decisions and communications in response to a crisis situation; and,
 - Developing a common Pandemic Response Plan Template for business and technology functions to use when developing individual response plans to a Pandemic scenario.

If you would like more information on how SunGard can assist you in planning your response to the threat of a Pandemic, contact your SunGard Account Executive.

Excerpt From Homeland Security Council

“The Implementation Plan for the National Strategy for Pandemic Influenza”, May 3, 2006:

WHO Phases		Federal Government Response Stages	
INTER PANDEMIC PERIOD			
1	No new influenza virus subtypes have been detected in humans. An influenza virus subtype that has caused human infection may be present in animals. If present in animals, the risk of human disease is considered to be low.	0	New domestic animal outbreak in at-risk country
2	No new influenza virus subtypes have been detected in humans. However, a circulating animal influenza virus subtype poses a substantial risk of human disease.		
PANDEMIC ALERT PERIOD			
3	Human infection(s) with a new subtype, but no human-to-human spread, or at most rare instances of spread to a close contact.	0	New domestic animal outbreak in at risk country
		1	Suspected human outbreak overseas
4	Small cluster(s) with limited human-to-human transmission but spread is highly localized, suggesting that the virus is not well adapted to humans.	2	Confirmed human outbreak overseas
5	Larger cluster(s) but human-to-human spread still localized, suggesting that the virus is becoming increasingly better adapted to humans, but may not yet be fully transmissible (substantial Pandemic risk).		
PANDEMIC PERIOD			
6	Pandemic phase: increased and sustained transmission in general population.	3	Widespread human outbreaks in multiple locations overseas
		4	First human case in North America
		5	Spread throughout United States
		6	Recovery and preparation for subsequent waves

Source: Homeland Security Council, National Strategy For Pandemic Influenza Implementation Plan, May 2006.