



Commonwealth of Pennsylvania
Treasury Department
Harrisburg, Pennsylvania 17120

Request to Participate in the Commonwealth Financial Services Sector Pandemic Planning Committee Survey

With the approach of the regular flu season and responses to the ongoing H1N1 flu outbreak continuing, top health officials indicated at the recent H1N1 Influenza Preparedness Summit that it is critical for organizations at all levels to become actively engaged in flu planning and preparedness efforts. The Commonwealth of Pennsylvania has been planning and preparing to respond to an influenza pandemic for the last several years. These efforts include the formation of infrastructure sector planning committees for critical sectors of the state's economy.

In coordination with the Office of Governor Edward Rendell, the Pennsylvania Treasury Department last year asked the Commonwealth's other financial agencies (the Departments of Banking, Revenue, and Insurance; the Securities Commission and the Office of the Budget) to form the Commonwealth Financial Services Sector Pandemic Planning Committee. The Committee was created for the purpose of developing a report and recommendations regarding the preparedness of critical public and private organizations in the financial sector to respond to a pandemic.

In December of 2008, Treasury and its Commonwealth financial agency partners hosted a meeting of approximately fifty financial organizations to discuss the structure and goals of the planning effort. The Committee outlined at that time the following goals:

- identifying the extent to which the private financial sector has engaged in pandemic preparedness;
- determining regulatory or policy relief by the Commonwealth that could assist the financial sector in continuing to provide critical services and otherwise respond to a pandemic; and
- evaluating the readiness of public and private sector financial organizations to preserve or reestablish communications modalities between each other necessary to continue the provision of both private and public services during a pandemic.

In addition, the Committee divided the financial community into four sub-sectors, each to be guided by a designated sub-sector leader. All financial organizations attending the meeting were assigned to at least one of the following sub-sectors: Asset Advisors, Brokers, and Managers; Depository Institutions/Merchant Services; Risk Sharing/Shifting Entities; and Market Participants.

During the meeting it was decided that the Committee should utilize a survey to gather information required to enable it to reach these goals. Over the past several months several Committee members and sub-sector leaders developed the Commonwealth Financial Services Sector Pandemic Planning Committee Survey, included here in PDF format for your convenience, to assess current pandemic preparedness and planning by financial sector organizations.

The web-based Survey, designed as a pandemic preparedness data-gathering tool, asks organizations to voluntarily provide information regarding their business structure. We anticipate preparing a report based on the Survey's aggregated responses in order to describe current readiness, best practices, and areas for possible additional preparedness efforts in each sub-sector.

Please respond to the Survey as completely as you feel comfortable. In devising this survey, we assumed that much (if not all) of the information requested would already be in the public domain as a consequence of disclosures that organizations have made through financial and regulatory filings as well as through other public releases. No respondent's IP address will be stored upon completion of the survey. In addition, you are not required to provide your organization's name when completing the survey.

Organizations are encouraged to complete the entire survey, but even partially completed surveys will help us secure as much information as possible in order to advance the objective of gauging quality of, and improving responsiveness. We particularly ask that participants complete survey sections seeking identification of state and federal regulatory requirements that they believe may need to be modified or waived during a pandemic.

Below you will find a link and password that will enable you to complete the Commonwealth Financial Services Sector Pandemic Planning Committee Survey online. Please feel free to direct any questions about the Survey and your responses to me at (717) 787-7217 or debleicken@state.pa.us. Finally, please share the link and password to the survey with any financial services organization whose input may improve the final report and recommendations of the Committee. Please complete the Survey by no later than **Friday, October 2, 2009 at 6:00 p.m.**

Depository Institutions/Merchant Services

https://www.surveymonkey.com/s.aspx?sm=gv8QgOX4GLuNQuuKkJNwuw_3d_3d

Password: deposit

Sincerely,



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