

# Business Recovery Planning





# **Business Recovery Planning Reference Material**

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## I. OVERVIEW: Business Recovery Planning

This reference material is designed to give an overview of business recovery planning. This material is not intended as a substitute for consultation with emergency and business recovery professionals. Written materials provide the references you'll need as you develop and maintain your company's business recovery plans. You may know these plans as disaster recovery plans or hear the acronym DRP. Because the business recovery planning process can be overwhelming and complex, this reference material highlights the importance of considering a variety of pathways for resuming business operations and for segmenting the process into logical steps. It helps you to consider investments and resources needed to address business recovery planning in your company.

As you begin the planning process, be sure to devote resources (financial and time) to it. Most planning efforts pay for themselves because the activities lead to operational efficiencies in your business. This occurs when actions are taken to mitigate the effects of a disaster. During this process, you'll likely benefit from opportunities to introduce or improve existing operations.

Most of us recognize that there are many details to consider for day-to-day business to resume. In the wake of a disaster, the speed of resuming business hinges upon timely, effective planning and training prior to the event. A return to normalcy requires collaboration amongst employees, suppliers, vendors, customers, insurance companies, insurance agents and brokers, government agencies and financial institutions, to name a few.

In the following pages, you will find forms, checklists and suggestions to use at your company. Once an event occurs, there are multiple simultaneous events to help a company resume operations. Depending upon the severity of the situation, various levels of response are appropriate as well. Most of us recognize that there are many details to consider for business to resume operations. This reference material intentionally segments business processes, encourages thinking about what can happen and plans for "what ifs" along the way.

Terms such as "disaster recovery," "business resumption," "emergency response" and "preparedness planning" can sometimes be used interchangeably. Depending on the resources that you use, you will find the phrases in fact have very different meanings. So, that's why the first step in developing your business recovery plan is to establish common definitions for the various components of your plan. To get started and to reduce confusion, let's start by defining a business recovery plan.

A comprehensive business recovery plan contains the following major components:

- *Disaster Preparedness Plan*
- *Emergency Response Plan*
- *Business Continuity Plan*
- *Business Restoration Plan*

Each of these components addresses a specific issue posed by a disaster. Together, the components become the business recovery plan for an organization. The business recovery planning process reviews activities likely to occur during and after a disaster, and it's an ideal time to record and store your records and plans in secure places that will be accessible in the event of a disaster. Be sure to have both

electronic and paper copies of information to reduce the time it takes to resume normal business operations.

## **II. Disaster Preparedness Planning**

Disaster preparedness planning can be an onerous project. Indeed, the difficulty that most companies face in developing a plan is simply getting started. In addition, the definition of a disaster preparedness plan tends to vary, which can further complicate the initiative.

### **A. Hazard Assessment**

Every business recovery plan should begin with a hazard assessment. This focuses your resources in areas identified as **critical** to business operations and continuity. This is where you and designated employees will be developing and implementing a strategy to eliminate exposures or improve controls at your company. This phase incorporates conducting regular inspections, training, drills and exercises, equipment inventories, protection of records, and community awareness. In this planning, you need to identify exposures, probability and impact of the event, make recommendations and be sure all parties are aware of the exposures/hazards, etc. Hazard assessment is a sound loss prevention approach to help reduce the probability of loss. The results of investing in this activity include some short-term risk improvement actions along with the identification of some processes that are critical to the business.

### **B. Disaster Preparedness Planning**

Disaster preparedness planning should be an integral part of every corporation's strategic planning process. The plan is comprised of activities that will reduce the likelihood or probability of a disaster striking your business. For example:

- Constructing facilities in areas less prone to floods or earthquakes would reduce the probability of a disaster striking your business.
- Companies can reduce the impact of a disaster by designing facilities to exceed the minimum construction standards

## **III. Emergency Response Planning**

The emergency response plan outlines the actions that should be taken when a disaster occurs. This phase of planning is dedicated to the protection of personnel safety and equipment including buildings. Evacuation and emergency plant shutdown procedures are generally components of this plan.

## **IV. Business Continuation Planning**

The business continuation plan details actions to take to ensure a company stays in business after a disaster. The longer it takes a company to recover, the greater the likelihood it may fail. Preparation of a complete business recovery plan may be costly in dollars, but the greatest expense is the time spent by your key people. This cannot be avoided. While you may receive vital assistance from professional contingency planners, your insurance company and insurance agent or broker understand that they only counsel. It's your business; you know the market in which you operate, and, in the final analysis, the business recovery plan developed is your plan.

## **V. Business Restoration Planning**

Business restoration activities usually take place concurrently with the business continuation plan. Sometimes considered interchangeable, there are some key business restoration activities outside the day-to-day operations that are critical to resuming operations. The need for these tasks occurs only when there

is a disaster. An example might be activating the pre-arranged data "hot site" using the duplicate records storage information. The goal is to resume normal pre-disaster business operations as soon as possible.

## **VI. Conclusion**

Remember, a good business recovery plan should:

- Shorten response time from event to resumption of business
- Minimize lost customers and revenues
- Increase competitive advantage
- Control recovery costs
- Increase productivity during recovery period
- Minimize regulatory impacts

This planning process is sometimes described as the cycle of contingency planning.



## **Disaster Preparedness Planning**



### **Hazard Assessment**

#### **Risk Assessment Matrix**

**Identify Exposures**

**Determine Probability of Event**

**Determine Impact of Event**

**Make Recommendations**

**Prepare Risk Mitigation Action Plan**

**Assign Responsibilities for Action Plan**

**Define purpose of Action Plan**

**Set Action Plan Milestones**

**Incorporate Applicable Regulations, Codes and Standards**

### **Checklists**

#### **Natural Hazards**

**Earthquake**

**Fire**

**Flood**

**Hurricane**

**Tornado/Windstorm**

**Winter Storm/Cold Weather**

### **Special Hazards**

**Bomb Threat**

**Civil Unrest**

**Boiler Failures**

**Hazardous Materials**

**Power Outages**

**Vital Records Storage**





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## Disaster Preparedness Planning Hazard Assessment

Hazard assessment is a risk management exercise that can be used to assess your company's vulnerabilities to potential disasters. This high-level review and discussion may identify concerns that require immediate attention or additional research, and it may uncover exposures that can be quickly corrected to reduce the impact of disaster. Hazard assessment should be an integral part of a company's strategic planning process.

For example, many companies realize that they would suffer severe financial consequences if their facilities were not available for an extended period due to a disaster. Here are just a few examples of how companies can mitigate the negative impact of such a disaster:

- If companies are located in earthquake- or windstorm-prone areas, check building design, construction and building materials to make sure that minimum construction standards for earthquake and windstorm have been met.
- When building materials and existing construction are found to be substandard, retrofit the facilities to meet or exceed the design standards.
- If fire is a company's major loss exposure, fire protection systems such as sprinkler systems should be installed.
- If power outages are a major loss exposure, emergency generators or dual power supplies should be installed.

A [Risk Assessment Matrix](#) will help you identify your critical business operations. We've included a matrix in this reference material to help you as well as several sample forms and checklists that will be used again during the emergency response and business continuity planning activities. The forms and checklists also help identify and quantify risk to a company, but remember the level of detail required is different for each activity. Using the matrix produces a general overview of issues in the company. As you proceed further in your business recovery planning, the level of detail will be more precise, the amount of research greater and the mitigation actions more complicated.

Be sure to take every advantage of electronic resources to record your plans and activities. Be sure to print your plans and activities so that if or when an emergency occurs you'll have access to your information. The ability to record information and keep it up to date electronically is critical. If the information is available, resuming operations can be your sole focus!

Once you have completed the risk assessment matrix and capitalized on what you learned from the process, you will want to address specific threats. We provide you with information on some common possibilities such as natural hazards or other events that could jeopardize the success of your operations.





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## **Disaster Preparedness Planning**

One of the first steps in the overall planning process is disaster preparedness. Whether it is through natural disasters such as hurricanes, or man-made disasters such as bombings, each year disasters take their toll on businesses in lives and in dollars. Disaster preparedness involves developing and implementing a strategy to eliminate or mitigate exposures and improve controls. This includes conducting regular inspections, training, drills and exercises, equipment inventories, protection of records, and community awareness.

The following section on preparedness planning attempts to provide proactive measures that businesses can take to prepare themselves for such disasters so that the loss of life and loss of capital can be minimized.

If a client does not have an emergency response plan or business continuation plan in place, the preparedness questionnaire should be used to identify which steps the client can take to mitigate the relevant exposures for their business immediately. Preparedness planning is not a substitute for formal emergency response and business continuity planning. Instead, disaster preparedness considers items such as natural events (floods, earthquakes, fires, and windstorms); occurrences such as power outages, terrorism or other disruption to business activities.





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## Earthquake

Earthquakes occur most frequently west of the Rocky Mountains, although historically the most violent earthquakes have occurred in the central United States. Worldwide, earthquakes may occur anywhere. Regions that are particularly prone to experiencing earthquakes include western South America, most of Central America, western North America, Japan, Indonesia, the Philippines, southern Europe and central and southern Asia.

Earthquakes cause extensive structural damage. Buildings constructed of brick masonry and non-reinforced concrete are the most susceptible. Transportation routes such as highways, bridges, overpasses, rail lines and airport runways are commonly damaged. Damage to buried utilities and communication systems including water, sewage and gas pipelines; telephones lines; and above ground radio and television towers can interrupt the operations within buildings that survived the earthquake. In addition to the structures already mentioned, dams, storage tanks, stacks and chimneys are also susceptible to damage from earthquake.

Earthquakes occur suddenly and without warning. They can trigger landslides, avalanches, flash floods, fires, or huge ocean waves called tsunamis. Aftershocks can occur for weeks following an earthquake. Even if there is no structural building damage, an earthquake can cause damage to machinery, computer equipment and inventory. After an earthquake, there are often fires resulting from damaged utilities that can destroy machinery and building contents.

There is often water damage resulting from broken water lines or sprinkler systems and machinery. And even if the structure is intact, the loss of power and loss of HVAC may prevent your business from continuing operations. In many buildings, the greatest danger to people in an earthquake is when equipment and non-structural elements such as ceilings, partitions, windows and lighting systems shake loose.

### Planning Considerations

Consider the following when for preparing for an earthquake:

- Assess your facility's vulnerability to earthquakes. Ask local government agencies for seismic information for your area.
- Have your facility inspected by a structural engineer. Develop and prioritize strengthening measures. These may include:
  - Adding steel bracing to frames
  - Adding sheer walls to frames
  - Strengthening columns and building foundations
  - Replacing unreinforced brick filler walls
- Follow safety codes when constructing a facility or making renovations.
- Inspect non-structural systems such as air conditioning, communications and pollution control systems. Assess the potential for damage. Prioritize measures to prevent damages.
- Inspect facility for any item that could fall, spill, break or move during an earthquake. Take steps to reduce these hazards:
  - Move large and heavy objects to lower shelves or the floor. Hang heavy items away from where people work.
  - Secure shelves, filing cabinets, tall furniture, desktop equipment, computers, printers, copiers, and light fixtures.
  - Secure fixed equipment and heavy machinery to the floor. Larger equipment can be placed on casters and attached to tethers, which attach to the wall.
  - Add bracing to suspended ceilings, if necessary.
  - Install safety glass where appropriate.
  - Secure large utility and process piping.
- Keep copies of design drawings of the facility to be used in assessing the facility's safety after an earthquake.
- Review processes for handling and storing hazardous materials. Have incompatible chemicals stored separately.
- Ask your insurance carrier about earthquake insurance.
- Establish procedures to determine whether an evacuation is necessary after an earthquake.
- Designate areas in the facility away from exterior walls and windows where occupants should gather after an earthquake if an evacuation is not necessary.
- Conduct earthquake drills. Provide personnel with the following information:
  - In an earthquake, if indoor, stay there. Take cover under a sturdy piece of furniture or counter, or brace yourself against an inside wall. Protect your head and neck.
  - If outdoors, move into the open, away from buildings, streetlights and utility wires.
  - After an earthquake, stay away from windows, skylights and items that could fall. Do not use the elevators.
  - Use stairways to leave the building if it is determined that a building evacuation is necessary.



## Earthquake Checklist

Date: \_\_\_\_\_  
 Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice an earthquake emergency response plan. Include provisions for response to medical emergencies, loss of power, fire, water, sprinkler system leakage, natural gas leakage and chemical spills.			
Design new buildings and modify existing buildings to conform to local, state and federal building codes.			
Regularly inspect buildings for structural deterioration. Promptly repair all structural problems (i.e., cracked beams, broken masonry and mortar, dry rot, etc.).			
Situate newly constructed buildings on firm foundation materials, bedrock, cohesive soil, etc.			
Anchor all structures, tanks and machinery to foundations.			
Anchor or brace top-heavy building contents, industrial racks, bookshelves, etc.			
Equip all incoming natural gas and fuel lines with automatic shut-off valves.			
Equip building with backup power supply, diesel generator or long-term battery backup system.			
Maintain a minimum 72-hour backup water supply, nonperishable foods and sanitation materials.			
Maintain a first aid kit along with search and rescue equipment.			
Provide diking for all large liquid containers.			

**Identify corrective action for all Unsatisfactory responses.**

ACTION NEEDED	COMPLETED	DATE



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## Fire

Fire is the most common of all the hazards. Every year, fires cause thousands of deaths and injuries and billions of dollars in property damage.

### Planning Considerations

Consider the following when planning for a fire:

- Meet with the fire department to talk about the community's fire response capabilities. Talk about your operations. Identify processes and materials that could cause or fuel a fire or contaminate the environment in a fire.
- Have your facility inspected for fire hazards. Ask about fire codes and regulations.
- Ask your insurance carrier to recommend fire prevention and protection measures. Your carrier may also offer training.
- Distribute fire safety information to employees: how to prevent fires in the workplace, how to contain a fire, how to evacuate the facility, where to report a fire.
- Instruct personnel to use the stairs, not the elevators, in a fire. Instruct them to crawl on their hands and knees when escaping a hot or smoke-filled area.
- Conduct evacuation drills. Post maps of evacuation routes in prominent places. Keep evacuation routes including stairways and doorways clear of debris.
- Assign fire wardens for each area to monitor shutdown and evacuation procedures.
- Establish procedures for the safe handling and storage of flammable liquids and gases. Establish procedures to prevent the accumulation of combustible materials.
- Provide for the safe disposal of smoking materials.
- Establish a preventive maintenance schedule to keep equipment operating safely.
- Place fire extinguishers in appropriate locations. Train employees in use of fire extinguishers.
- Install smoke detectors. Check smoke detectors once a month, and change batteries at least once a year.
- Establish a system for warning personnel of a fire. Consider installing a fire alarm with automatic notification to the fire department.
- Consider installing a sprinkler system, fire hoses and fire-resistant walls and doors.
- Ensure that key personnel are familiar with all fire safety systems.
- Identify and mark all utility shutoffs so that electrical power, gas or water can be shut off quickly by fire wardens or responding personnel.
- Determine the level of response your facility will take if a fire occurs. Among the options are:
  - Option 1:** Immediate evacuation of all personnel on alarm.
  - Option 2:** All personnel are trained in fire extinguisher use. Personnel in the immediate area of a fire attempt to control it. If they cannot, the fire alarm is sounded and all personnel evacuate.
  - Option 3:** Only designated personnel are trained in fire extinguisher use.
  - Option 4:** A fire team is trained to fight incipient-stage fires that can be controlled without protective equipment or breathing apparatus. Beyond this level fire, the team evacuates.
  - Option 5:** A fire team is trained and equipped to fight structural fires using protective equipment and breathing apparatus.



## Fire Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice a fire emergency response plan. Include provisions for building evacuation, equipment shutdown and protection, electrical systems shutdown, protection of stored inventory, and response to medical emergencies.			
Meet with fire department to talk about the community's fire response capabilities. Develop fire plan with local fire department.			
Establish business contingencies with clients and suppliers.			
Post emergency phone numbers to activate fire response plan.			
Distribute fire safety information to employees: how to prevent fires in the workplace, how to contain fire, how to evacuate the facility, where to report a fire.			
Ensure key personnel are familiar with all fire safety systems.			
Establish procedures for safe handling and storage of flammable liquids and gases.			
Place fire extinguishers in appropriate locations. Train employees in use of fire extinguishers.			
Install automatic fire detection. Check alarms and detectors monthly.			
Establish a preventive maintenance schedule to keep equipment operating safely. Test fire protection equipment such as fire pumps on a regular basis.			
Develop Hot Work Permit Program for welding operations.			
Equip all incoming natural gas and fuel lines with automatic shut-off valves.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE



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## Flood

Floods are the most common and widespread of all natural disasters. Most communities in the United States can experience some degree of flooding after spring rains, heavy thunderstorms or winter snow thaws.

Most floods develop slowly over a period of days. Flash floods, however, are like walls of water that develop in a matter of minutes. Flash floods can be caused by intense storms or dam failure.

### Planning Considerations

Consider the following when preparing for a flood:

- Ask your local emergency management office whether your facility is located in a flood plain. Learn the history of flooding in your area. Learn the elevation of your facility in relation to streams, rivers and dams.
- Review the community's emergency plan. Learn the community's evacuation routes. Know where to find higher ground in case of a flood.
- Establish warning and evacuation procedures for the facility. Make plans for assisting employees who may need transportation.
- Inspect areas in your facility subject to flooding. Identify records and equipment that can be moved to a higher location. Make plans to move records and equipment in case of a flood.
- Purchase a National Oceanic and Atmospheric Administration Weather Radio with a warning alarm tone and battery backup. Listen for flood watches and warnings.
  - **Flood Watch:** Flooding is possible. Stay tuned to NOAA radio. Be prepared to evacuate. Tune to local radio and television stations for additional information.
  - **Flood Warning:** Flooding is already occurring or will occur soon. Take precautions at once. Be prepared to go to higher ground. If advised, evacuate immediately.
- Consider the need for backup systems:
  - Portable pumps to remove flood water.
  - Alternate power sources such as generators or gasoline-powered pumps.
  - Battery-powered emergency lighting.
- Participate in community flood control projects.

Ask your insurance carrier for information about flood insurance. Typical property and casualty insurance does not insure against flood loss. Consider the feasibility of mitigating loss from flood at your facility. Here are three methods:

- 1) **Permanent measures** are taken before a flood occurs and require no human intervention when flood waters rise. They include:
  - Filling windows, doors or other openings with water-resistant materials such as concrete blocks or bricks. This approach assumes the structure is strong enough to withstand floodwaters.
  - Installing check valves to prevent water from coming in where utility and sewer lines enter the facility.
  - Reinforcing walls to resist water pressure. Sealing walls to prevent or reduce seepage.
  - Building watertight walls around equipment or work areas within the facility that are particularly susceptible to flood damage.
  - Constructing floodwalls or levees outside the facility to keep flood waters away.
  - Elevating the facility on walls, columns or compacted fill. This approach is most applicable to new construction, though many types of buildings can be elevated.
- 2) **Contingent measures** are taken before a flood but require some additional action when flooding occurs. These measures include:
  - Installing watertight barriers called flood shields to prevent the passage of water through doors, windows, ventilation shafts or other openings.
  - Installing permanent watertight doors.
  - Constructing movable floodwalls.
  - Installing permanent pumps to remove floodwaters.
- 3) **Emergency measures** are generally less expensive than those listed above, require substantial advance warning and do not satisfy the minimum requirements for watertight flood proofing as set forth by the National Flood Insurance Program. They include:
  - Building walls with sandbags.
  - Constructing a double row of walls with boards and posts to create a "crib" and then filling the crib with soil.
  - Constructing a single wall by stacking small beams or planks on top of each other.



## Flood Checklist

Date: \_\_\_\_\_  
 Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice a flood emergency response plan. Include provisions for building evacuation, equipment shutdown and protection, electrical system shutdown, protection of stored inventory and response to medical emergencies.			
Regularly inspect buildings for structural deterioration, as well as for open entries for water. Promptly repair all structural problems and cover open entries.			
Construct permanent flood walls or dikes around buildings to prevent inundation.			
Locate all-important machinery, equipment and business records above ground level. If this is not possible, it is suggested that watertight walls or rooms be constructed around these items.			
Locate as many electrical system components as possible above ground level.			
Equip basement and ground-level areas with water pumps.			
Equip building with backup power supply, diesel generator or long-term battery backup system.			
Equip plumbing system with back-flow valves.			
Anchor all structures, tanks and machinery (including exterior items) to foundations.			
Equip all incoming natural gas and fuel lines with automatic shut-off valves.			
Cover and secure all liquid containers (i.e., tanks, vats, etc.), especially those containing toxic chemicals.			
Maintain a backup water supply.			
<b>Maintain a first aid kit.</b>			

**Identify corrective action for all Unsatisfactory responses.**

ACTION NEEDED	COMPLETED	DATE



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## Hurricane

Hurricanes are severe tropical storms with sustained winds of 74 miles per hour or greater. Hurricane winds can reach 160 miles per hour and extend inland for hundreds of miles.

Hurricanes bring torrential rains and a storm surge of ocean water that crashes into land as the storm approaches. Hurricanes also spawn tornadoes.

The National Weather Service issues hurricane advisories as soon as a hurricane appears to be a threat. The hurricane season lasts from June through November.

### Planning Considerations

The following are considerations when preparing for a hurricane:

- Ask your local emergency management office about community evacuation plans.
- Establish facility shutdown procedures. Establish warning and evacuation procedures. Make plans for assisting employees who may need transportation.
- **Make plans for communicating with employees' families before and after a hurricane.**
- Take inventory and restock emergency items such as food, clothing/blankets, water, duct tape, flashlights with working batteries, first aid supplies, etc.
- Purchase a NOAA (National Oceanic and Atmospheric Administration, which provides National Weather Service Broadcasts) Weather Radio with a warning alarm tone and battery backup. Listen for hurricane watches and warnings.

**Hurricane Watch:** A hurricane is possible within 24-36 hours. Stay tuned for additional advisories. Tune to local radio and television stations for additional information. An evacuation may be necessary.

**Hurricane Warning:** A hurricane will hit land within 24 hours. Take precautions at once. If advised, evacuate immediately.

- Survey your facility. Make plans to protect outside equipment and structures.
- Make plans to protect windows. Permanent storm shutters offer the best protection. Covering windows with 5/8" marine plywood is a second option.
- Consider the need for backup systems:
  - Portable pumps to remove floodwater.
  - Alternate power sources such as generators or gasoline-powered pumps.
  - Battery-powered emergency lighting.
- Prepare to move records, computers and other items within your facility to another location.
- Participate in community hurricane control projects.



## Hurricane Wind Velocity Categories

Category	Wind Speed (MPH)	Storm Surge (Ft)	Probable Property Damage
1	74 - 95	4 - 5	<ul style="list-style-type: none"><li>▪ Damage primarily to shrubbery, trees, foliage and un-anchored mobile homes</li><li>▪ Some damage to poorly constructed signs</li></ul>
2	96 - 110	6 - 8	<ul style="list-style-type: none"><li>▪ Considerable damage to shrubbery, trees and foliage</li><li>▪ Some trees blown down</li><li>▪ Major damage to mobile homes</li><li>▪ Extensive damage to poorly constructed signs</li><li>▪ Some damage to roofing materials of buildings</li><li>▪ No major damage to buildings</li></ul>
3	111 - 130	9 - 12	<ul style="list-style-type: none"><li>▪ Foliage torn from trees</li><li>▪ Large trees blown down</li><li>▪ Poorly constructed signs down</li><li>▪ Some damage to roofing materials of buildings</li><li>▪ Some window and door damage</li><li>▪ Some structural damage to small buildings</li></ul>
4	131 - 155	13 - 18	<ul style="list-style-type: none"><li>▪ Shrubs and trees blown down</li><li>▪ All signs down</li><li>▪ Considerable damage to roofing materials and buildings, windows and doors</li><li>▪ Complete destruction of roofs on many small residences</li><li>▪ Complete destruction of mobile homes</li></ul>
5	> 155	> 18	<ul style="list-style-type: none"><li>▪ Shrubs and trees blown down</li><li>▪ Extensive damage to roofs</li><li>▪ Complete destruction of roofs on many residences and industrial buildings</li><li>▪ Severe and extensive damage to windows and doors</li><li>▪ Extensive shattering of glass in windows and doors</li><li>▪ Some complete building failures</li><li>▪ Complete destruction of mobile homes</li></ul>



## Hurricane Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Activate emergency response plan.			
Communicate proposed plan of action to employees.			
Emergency communications plan established and tested.			
Move vulnerable equipment, raw materials and finished product away from doors, windows and cover equipment with a water-resistant tarp.			
<b>Fill vehicle fuel tanks.</b>			
Move equipment off the floor.			
Secure valuable papers in watertight containers and store in a secure area of the building.			
Back up all computer files and store in a watertight container off premises in a bank vault or similar type of secured storage facility.			
Secure building envelope. If possible, place wood or metal covers over windows and doors to prevent glass breakage.			
Have extra supplies of plastic rolls, mops, buckets, water vacuums, lubricants (like WD-40), portable generators, radio, batteries, bottled water and basic food supplies on hand available for the disaster recovery team.			
Keep a list of all vendors' and key customers' telephone numbers available and secured. Notify them of any changes in the situation that may affect them.			
Begin securing the building from the storm and from potential theft in the aftermath. Protect and cover windows and doors.			
Notify building management, security and local authorities of a pending closing and identify personnel permitted on the premises after the storm.			
Shut down the nonessential power supply to equipment in the building.			
Secure all roof mounted HVAC, lights, signs and other equipment.			
Equip all incoming gas and fuel lines with automatic shutoff valves.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE





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## Tornado/Windstorm

Tornadoes are incredibly violent local storms that extend to the ground with whirling winds that can reach 300 mph. Spawned from powerful thunderstorms, tornadoes can uproot trees and buildings and turn harmless objects into deadly missiles in a matter of seconds. Damage paths can be in excess of one mile wide and 50 miles long.

Tornadoes can occur in any state but occur more frequently in the Midwest, Southeast, and Southwest. They occur with little or no warning.

### Planning Considerations

Consider the following when planning for a tornado:

- Ask the local emergency management office about the community's tornado warning system.
- Purchase a National Oceanic and Atmospheric Administration Weather Radio with a warning alarm tone and battery backup. Listen for tornado watches and warnings.

**Tornado Watch:** Tornadoes are likely. Be ready to take shelter. Stay turned to radio and television stations for additional information.

**Tornado Warning:** A tornado has been sighted in the area or is indicated by radar. Take shelter immediately.

- Establish procedures to inform personnel when tornado warnings are posted. Consider the need for spotters to be responsible for looking out for approaching storms.
- Work with a structural engineer or architect to designate shelter areas in your facility. Ask your local emergency management office or National Weather Service for guidance. Consider the amount of space you will need. Adults require about six square feet of space.
- The best protection in a tornado is usually an underground area. If an underground area is not available, consider:
  - Small interior rooms on the lowest floor and without windows.
  - Hallways on the lowest floor away from doors and windows.
  - Rooms constructed within reinforced concrete, brick or block with no windows and a heavy concrete floor or roof system overhead.
  - Protected areas away from doors and windows.

Note: Auditoriums, cafeterias, and gymnasiums that are covered with a flat, wide-span roof are not considered safe.
- Make plans for evacuating personnel away from lightweight modular offices or mobile home-size buildings. These structures offer no protection from tornadoes.
- Conduct tornado drills.
- Once in the shelter, personnel should protect their heads with their arms and crouch down.



## Tornado/Windstorm Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice a windstorm emergency response plan. Include provisions for building evacuation, response to medical emergencies, loss of power, fire, water, sprinkler system leakage, natural gas leakage, chemical spills, flooding and exposed electrical wiring. Distribute procedures to all employees.			
Emergency communications plan established and tested.			
Establish business contingencies with clients and suppliers.			
Regularly inspect buildings for structural deterioration, particularly at the roof level. Promptly repair all structural problems (i.e., cracked beams, broken masonry and mortar, damaged roof surfaces, etc.).			
Design new buildings and modify existing buildings to conform to local, state and federal building codes.			
Anchor all structures, tanks and machinery to foundations.			
Equip all incoming natural gas and fuel lines with automatic shutoff valves.			
Secure roof-mounted HVAC and electrical equipment, lighting, signs, etc.			
Have wood or metal covers available for windows and doors to prevent glass breakage.			
Locate towers, elevated tanks and signs and utility poles away from buildings.			
Equip building with backup power supply, diesel generator or long-term battery backup system.			
Maintain a windstorm emergency kit. Include flashlights, plastic sheeting, rope, battery operated radio, blankets, first-aid equipment, hand tools, etc.			
Maintain a backup water supply.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE



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## Winter Storm/Cold Weather

Severe winter storms bring heavy snow, ice, strong winds, and freezing rain. Winter storms can prevent employees and customers from reaching the facility, leading to a temporary shutdown until roads are cleared. Heavy snow and ice can also cause structural damage and power outages.

### Planning Considerations

Consider the following when preparing for a winter storm:

- Listen to National Oceanic and Atmospheric Administration Weather Radio (ex. National Weather Service) and local radio and television stations for weather information:

**Winter Storm Watch:** Severe winter weather is possible.

**Winter Storm Warning:** Severe winter weather is expected.

**Blizzard Warning:** Severe winter weather with sustained winds of at least 35 mph is expected.

**Traveler's Advisory:** Severe winter conditions may make driving difficult or dangerous.

- **Establish procedures for facility shutdown and early release of employees.**
- Store food, water, blankets, battery-powered radios with extra batteries and other emergency supplies for employees who become stranded at the facility.
- Provide a backup power source for critical operations.
- Arrange for snow and ice removal from parking lots, walkways, loading docks, etc.
- Ensure that all dry pipe sprinkler systems have been drained completely and that all wet pipe systems have been properly protected against freezing and cracking.
- Have roof structurally load tested against possible snow buildup and resulting snow collapse.
- Find out from the local Department of Transportation about plowing procedures and priorities.



## Winter Storm/Cold Weather Checklist

Date: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

Completed by: \_\_\_\_\_

	S	U	N/A
Develop and practice a winter storm emergency response plan. Include provisions for building evacuation, response to medical emergencies, loss of power, fire, water, sprinkler system leakage, natural gas leakage, building collapse, and exposed electrical wiring. Distribute procedures to all employees.			
Establish and test emergency communications plan.			
Establish business contingencies with clients and suppliers.			
Develop and implement a deep freeze plan focusing on all utilities, especially fuel, gas, sprinkler and water lines. Install alarms where needed.			
Regularly inspect buildings for structural deterioration, particularly at the roof level. Promptly repair all structural problems (i.e., cracked beams, broken masonry and mortar, damaged roof surfaces, etc.)			
<b>Design new buildings and modify existing buildings to conform to local, state and federal building codes.</b>			
Check roof snow-bearing adequacy. Put an excessive snow removal plan in place.			
Equip all incoming natural gas and fuel lines with automatic shutoff valves.			
Equip building with backup power supply, diesel generator or long-term battery backup system. Maintain adequate fuel supply.			
Check established public and private procedures for snow and ice removal.			
Maintain a winter storm emergency kit. Include flashlights, battery operated radio, blankets and warm clothing, first-aid equipment, shovels, food and water, etc.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE



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## Special Hazards

### Checklists

**Bomb Threat**

**Civil Unrest**

**Boiler Failures**

**Hazardous Materials**

**Power Outages**

**Vital Records Storage**





## Bomb Threat

Consider the following before responding to bomb threats in your organization:

- Develop a company policy on how to handle bomb threats.
- Develop a media policy and designate a media spokesperson if a bomb threat occurs.
- Inform employees on company's plan of action in the event of a bomb threat.
- Train employees on how to handle these threatening situations.
- Increase internal security measures and state of readiness.
- Have professionals (ex. sheriff's department, local police department) give training seminars to employees to improve their techniques in handling these problems. Be sure to consider all employees who might be involved in such an event such as receptionist, facilities, human resources and managers.
- Make sure copies of a report form are available at the receptionist and others' desks. There are a number of quality forms produced by government agencies such as the Treasury Department [Bomb Threat Checklist](#). Or, use the following to record information:

### Incident Report

Company Name:						
Your Name:		Date:				
Telephone #:		Ext:				
What time was call received?						
Record caller's statements:						
<b>DO NOT INTERRUPT THE CALLER. IF THE CALLER SEEMS AGREEABLE TO FURTHER CONVERSATION, ASK THE FOLLOWING QUESTIONS:</b>						
Where is the bomb hidden?						
What time will the bomb detonate?						
Why did he or she plant the bomb?						
What floor is the device on?						
Is the caller familiar with your company?						
What type of device is it?						
<b>Additional Information:</b>						
<input type="checkbox"/> Male		<input type="checkbox"/> Female				
		<b>YES</b>	<b>NO</b>		<b>YES</b>	<b>NO</b>
Does person appear angry?				Background Noise?		
Can you determine an accent?				Does person appear calm?		
Is it foreign? If so, what dialect?				Outside phone?		
Other:				Good connection?		





## Civil Unrest

Incidents of civil unrest are increasing in frequency. One commonly reads of mob violence or workplace violence in the newspaper. The following are precautions that can be taken to minimize damage resulting from these events:

- Develop company policy and response plan.
- Train all employees on how to handle these threatening situations.
- Increase internal security measures and state of readiness.
- Have professionals (ex. sheriff's department, local police department) give training seminars to pertinent employees to improve their techniques in handling these problems.

## Civil Unrest Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop company plan for civil unrest, including reporting and evacuation procedures.			
Develop internal emergency communications procedures.			
Have formal building access procedures in place.			
Increase internal security measures and state of readiness.			
Develop procedures and plans with local police and fire departments.			
Put media communications plan in place. Instruct employees not to comment to the press.			
Have professionals give training seminars to pertinent employees to learn techniques for handling these problems.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE





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## Boiler Failure

Today, boilers are an ever-present element of everyday life. They are used for electrical generation, steam and hot water heating, sterilization, cooking, and much more. A boiler essentially is a container in which water is heated, steam is generated, steam is superheated, or any combination thereof, by the application of heat from combustible fuels, electricity, or solar energy. Boilers are found in residential, industrial and commercial settings worldwide.

Boiler failures may occur suddenly and without warning or may proliferate over a long period of time. Failures can result from numerous circumstances and conditions such as improper operation and installation, operating error, inadequate maintenance, natural catastrophes, etc. Additionally, boiler failures may act as a catalyst for the failure of additional ancillary equipment located in the plant (such as air compressors, electrical transformers, etc.).

### **Review the following guidelines to anticipate boiler failures:**

Establish and document Standard Operating Procedures (SOP) for all of the boiler and ancillary equipment maintenance (predictive and preventative) as well as operating procedures such as boiler start-up, boiler shutdown, welding, boiler blowdowns, fuel switchover, etc.

Be aware of fire extinguishers, fire alarms and fire hose locations. Check routinely to make sure they are working properly. Follow good housekeeping practices around the boiler and boiler room area, reducing the risk of fires, slipping and falling.

Ensure that all of the boiler operating and maintenance staff are adequately and properly trained in the operation, maintenance and safety of boilers and boiler room equipment. Review and document the boiler operating certification, mandated by local regulatory codes.

Perform regular inspections on the steam, water, fuel and combustion systems of the boiler. Ensure proper functionality of all operating and safety appliances/controls. Take steps to reduce hazards:

- Correct fuel leaks immediately, securing boilers or other heat sources as appropriate.
- Be aware of wet stains on insulation, piping and associated joints that may indicate a small leak that could result in a major steam/water leak or failure.
- Ensure that all boiler ancillary equipment (such as boiler feed pumps, water softeners, etc.) is operating correctly, safely and within design specifications.
- Check and verify proper operation of boiler operating controls and safety equipment.
- Perform approved and documented water analysis on boiler feedwater, boiler water and condensate as outlined by the boiler OEM (Original Equipment Manufacturer) and/or water treatment consultant.
- Reduce excess debris and storage located within the boiler room, which may not only result in fires and slip and falls but may also impede boiler room evacuation.
- Install emergency stop for remote shutdown of boiler and boiler room equipment

Ask your insurance carrier about recommended operating, maintenance and safety procedures. Have your boiler inspected and maintained pursuant to the local regulatory codes. Perform internal and external inspections as outlined by the boiler OEM (Original Equipment Manufacturer) and local boiler codes. Contact your Boiler & Machinery insurance carrier for assistance in the completion of jurisdictional boiler inspections.

Review boiler and boiler room locations, identifying operations and production areas that may be damaged in the event of a boiler failure or combustion explosion. Also, identify any hazardous materials that may be disturbed in the event of a failure (i.e.: asbestos insulation, PCB transformers, etc.).

Evaluate all boiler production loads and demand, identifying critical loads and process needs that will need to be addressed in the case of a boiler failure/outage.

Develop a plan for supplying the entire boiler critical load and process needs required for essential business operations. This plan should include procedures such as:

- Boiler load shedding
- Rerouting of boiler process steam/hot water to critical operations
- Identifying boiler repair firms and equipment suppliers
- Identifying vendors and suppliers of rental boilers and boiler room equipment
- Identifying temporary hook-up locations and equipment for rental boilers and boiler room equipment (examples are water, condensate, fuel, steam/water piping, etc.)

Identify all local regulatory codes that will need to be addressed with the installation of not only new boilers and boiler room equipment but also rental boilers and backup boiler room equipment.

Establish procedures to determine whether an evacuation is necessary after a boiler failure. Designate areas outside the facility, away from exterior walls and windows, where occupants should gather after a boiler failure if an evacuation is necessary.

Keep copies of design drawings of the facility, boiler and ancillary equipment to be used in assessing the facility's safety after a boiler failure.



## Boiler Failure Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice a boiler failure emergency response plan. Include provisions for response to medical emergencies, loss of power, fire, water, sprinkler system leakage, natural gas leakage and chemical spills.			
Develop a boiler failure/outage response plan that identifies vendors and suppliers of rental boilers and boiler room equipment, boiler repair firms, welding firms, contacts for local municipalities (water/gas/electricity), water treatment consultants, local regulatory codes, etc.			
Follow all local regulatory codes when installing, retrofitting, welding and performing all maintenance on new and rental boilers and boiler plant equipment.			
Review Standard Operating Procedures (SOPs) for boilers and boiler room equipment, performing approved pre-operating and operating checks regularly.			
Perform internal and external inspections as outlined by the boiler OEM (Original Equipment Manufacturer) and local regulatory codes.			
Review boiler and boiler room locations, identifying operations and production areas that may be damaged by a boiler failure or combustion explosion.			
Identify all hazardous materials that may be damaged or disturbed in the event of a failure (ex. Asbestos, PCBs, etc.).			
Perform an evaluation on all boiler production loads and demands, identifying critical loads and process needs that should be addressed in the case of a failure/outage.			
Furnish all incoming natural gas, fuel oil, LPG and fuel sources with isolation and automatic shutoff valves.			
Furnish all water, steam and condensate systems with isolation and automatic shut off valves.			
Regularly inspect the boiler and boiler room, performing safety and operating inspections on the steam, water, fuel and combustion systems.			
Maintain fire extinguishers, fire alarms, fire hoses, and first-aid kits in the boiler room areas.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE



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## Hazardous Materials

Hazardous materials are substances that are either flammable, combustible, explosive, toxic, noxious, corrosive, oxidizable, irritating, or radioactive. A hazardous material spill or release can pose a risk to life, health, or property. An incident can result in the evacuation of a few people, a section of a facility or an entire neighborhood.

There are a number of Federal laws that regulate hazardous materials, including: the Superfund Amendments and Reauthorization Act of 1986 (SARA), the Resource Conservation and Recovery Act of 1976 (RCRA), the Hazardous Materials Transportation Act (HMTA), the Occupational Safety and Health Act (OSHA), the Toxic Substances Control Act (TSCA) and the Clean Air Act.

Title III of SARA regulates the packaging, labeling, handling, storage and transportation of hazardous materials. The law requires facilities to furnish information about the quantities and health effects of materials used at the facility and to promptly notify local and State officials whenever a significant release of hazardous materials occurs.

### **Consider the following when developing your incident plan:**

- Identify and label all hazardous materials stored, handled, produced and disposed of by your facility. Follow government regulations that apply to your facility. Obtain material safety data sheets (MSDS) for all hazardous materials at your location.
- Ask the local fire department for assistance in developing appropriate response procedures.
- Train employees to recognize and report hazardous material spills and releases. Train employees in proper handling and storage.
- Establish a hazardous material response plan:
  - Establish procedures to notify management and emergency response organizations of an incident.
  - Establish evacuation procedures.
  - Depending on your operations, organize and train an emergency response team to confine and control hazardous material spills in accordance with applicable regulations.
  - Identify other facilities in your area that use hazardous materials. Determine whether an incident could affect your facility.
  - Identify highways, railroads and waterways near your facility used for the transportation of hazardous materials. Determine how a transportation accident near your facility could affect your operations.



## Hazardous Materials Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop and practice a hazardous incident emergency response plan. Include provisions for containment, building evacuation and response to medical emergencies. Distribute procedures to all employees.			
Keep containment supplies and proper containment equipment on hand such as absorbent materials, tarps and off-the-shelf containment equipment.			
Have a proper hazard communication program including complete Material Safety Data Sheets on hazardous substances used.			
<b>Establish business contingencies with clients and suppliers.</b>			
Familiarize fire department with hazardous chemicals in plant. Send them copies of MSDSs if they keep such records.			
Survey transportation routes (roads, highways, railroads and waterways) for possible hazardous materials incidents.			
Survey neighborhood and other facilities for possible hazardous materials incidents.			
<b>Maintain a hazardous incident emergency kit. Include containment materials (gloves, face shields, respirators, drums, etc.).</b>			

**Identify corrective action for all Unsatisfactory responses.**

ACTION NEEDED	COMPLETED	DATE



## Power Outages

Power outages or technological emergencies resulting from power outages include any interruption or loss of a utility service, power source, life support system, information system or equipment needed to keep the business in operation.

### Planning Considerations

Consider the following suggestions when planning for technological emergencies:

- Identify all critical operations, including:
  - Utilities including electric, power, gas, water, hydraulics, compressed air, municipal and internal sewer systems, and wastewater treatment services.
  - Security and alarm systems, elevators, lighting, life support systems, heating, ventilation and air conditioning systems and electrical distribution system.
  - Manufacturing equipment and pollution control equipment.
  - Communication systems, both data and voice computer networks.
  - Transportation systems including air, highway, railroad and waterway.
- Determine the impact of service disruption.
- Ensure that key safety and maintenance personnel are familiar with all building systems.
- Establish procedures for restoring systems. Determine need for backup systems.
- Establish preventive maintenance schedules for all systems and equipment.

### Power Outage Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop formal company response plan for technological emergencies such as power outages.			
Formally review all departments' equipment and operations to determine which equipment and applications are critical.			
Ensure that all critical equipment have backup power and/or UPS systems.			
<b>Ensure that all software applications and data have backups.</b>			
<b>Ensure backup computer and telecommunications equipment is available if necessary.</b>			
<b>Establish business contingencies with clients and suppliers.</b>			
Develop security policy/program for both in-house and network computer operations.			
Establish preventative maintenance schedules for all equipment.			

### Identify corrective action for all Unsatisfactory responses.

ACTION NEEDED	COMPLETED	DATE





## Vital Records Storage

Both vital records programs and corporate business continuation plans deal with the protection of information. They are integral components of any comprehensive corporate asset preservation program.

The loss of information contained on vital records can affect business continuity, stockholder equity, legal or regulatory compliance and financial stability. The loss of such can result in business failures.

The purpose of a vital records program is to identify and classify vital records and valuable papers and determine the amount of protection necessary against hazards such as: fire, smoke, water, building collapse, chemical reaction, contamination, etc. In business continuation planning, the protection and availability of vital records is important to the survival of the business during the emergency response, recovery and restoration phases.

Vital records can be derived from many sources, take on many forms and be kept on various media. Operational or functional sources of vital records include: finance, production, sales, human resources, administrative, customers and vendors, legal, maintenance, R&D, etc. Vital records can be: correspondence, contracts, memos, books, notebooks, laptops, databases, etc. The media on which they are recorded can be: paper, microfilm, microfiche, CDs, tapes, optical discs, etc.

Vital records are those documents that are irreplaceable or that contain information for which the temporary unavailability could constitute a serious legal or business impairment. Typically, these types of documents would be considered vital:

1. Records that must be original and for which a reproduction cannot be substituted;
2. Records needed promptly to sustain the business or recover monies with which to replace buildings, equipment, raw materials, finished goods and work in process;
3. Records needed to avoid a delay in restoration of production, sales and service;
4. Records of high intrinsic value; and,
5. Records essential to the reconstruction of other records.

It's hard to quantify the amount of information that is considered "vital" to a firm. While the costs involved in developing, implementing and maintaining a vital records management program can be substantial, they can be offset by the financial benefits of increased efficiency, effective space management and a reduction in directors and officers liability.

### Vital Records Storage Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**S = Satisfactory**  
**U = Unsatisfactory**  
**N/A = Not Applicable**

	S	U	N/A
Develop a formal comprehensive Vital Records plan. Vital Records are identified, categorized and labeled with handling procedures established, locations documented, access during an emergency defined and backups made as an operating procedure.			
Comprehensive filing system has been established to organize and locate vital records quickly.			
All vital records have been copied or backed up and stored offsite.			
Equipment necessary for running backup media has been identified and is in place.			
A record retention vendor has been selected. Its facility has been surveyed for ambient storage conditions, storage practices, fire protection and security.			
Procedures for vital record transportation are in place and practiced.			
Employee access to critical documents is limited, and an authorization procedure is in place.			
Employees have been trained on proper vital records handling, storage and backup procedures.			
List of records restoration vendors has been developed for emergencies.			

**Identify corrective action for all Unsatisfactory responses.**

ACTION NEEDED	COMPLETED	DATE





# Emergency Response Planning

## Planning Process

Establish a Planning Team

Analyze Exposures and Capabilities

Develop the Plan

Implement the Plan

## Checklists

- Overall Emergency Response Planning
- Direction and Control, Emergency Notification, Notification Systems, Evacuation, Facility Shutdown
- Administration and Logistics, Emergency Services, Communications, Shelter, Supporting Materials, Security, Fire and Rescue, Health/Medical, Engineering, Relocation



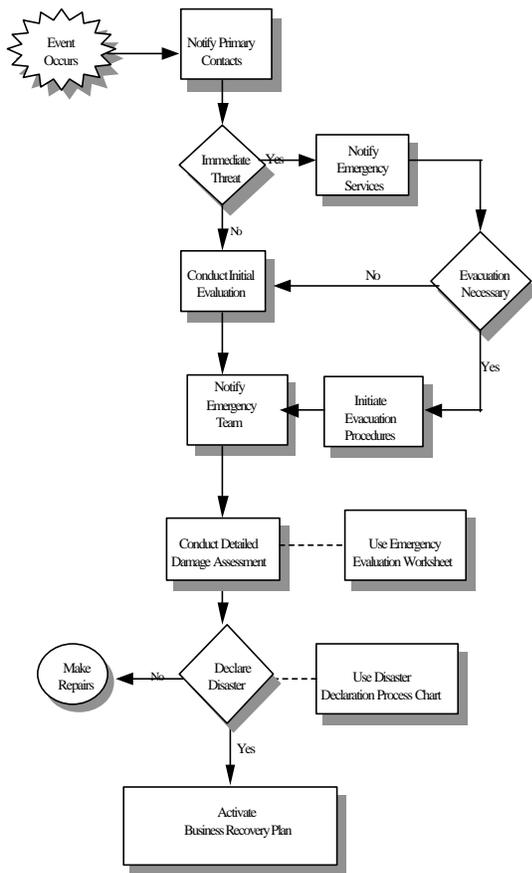


## Emergency Response Plan

Emergency response planning (ERP) is the process of developing procedures--in advance--that enable an organization to respond to a disaster. This process would include actions such as warnings, command and control, shutdown and evacuation.

The ERP is activated when an unexpected disaster event such as a fire or earthquake occurs or if a forecasted event such as a hurricane is imminent. The plan responds to the disaster event from the moment that it occurs until people are safe and no further property damage is incurred.

This flowchart outlines the steps taken during emergency notification and identifies who is responsible for those actions. Remember: not all events are emergencies, and not all emergencies become disasters. A



hasty decision to declare a disaster can be more disruptive than the event itself. A timely and appropriate response, however, is necessary to protect employees and property. The ERP notification procedures are also used to activate the business continuity plan once damage assessments occur. In this example, the emergency management team is responsible for declaring a “company disaster.” Emergency response plans are components of an overall business recovery plan and are often a good short-term starting point for action.

Use the [ERP checklist](#) to review an existing plan or to create a new one. The checklist can be used to assess your firm’s emergency response capabilities. Use the resulting information as a guide for developing your company’s ERP. This approach will help facilitate the management, development and completion of your company’s emergency response plan.

There are an overwhelming number of issues to consider as a company begins the ERP process. We have categorized the various issues into functions often included in an ERP and provide checklists in each of the areas. The number of checklists used and the extent to which the action items are completed will vary with each firm depending on the complexity of its business and operation. At a minimum, every ERP should include these functions: Direction and Control, Emergency Notification, Notification Systems, Facility Shutdown and Evacuation. These functions are the

core of the ERP. They outline the need for defined policies, procedures, responsibilities and tasks. Consider obtaining the Federal Emergency Management Agency publication [FEMA 141 Emergency Management Guide for Business & Industry](#) to assist with developing an ERP.

ERP Fundamental Forms	Additional Forms	
- <b>Direction and Control</b>	- Administration and Logistics	- Security
- <b>Emergency Notification, Notification Systems</b>	- Emergency Services	- Fire and Rescue
- <b>Facility Shutdown</b>	- Communications	- Health/Medical
- <b>Evacuation</b>	- Shelter	- Engineering
	- Supporting Materials	- Relocation



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## ***The Emergency Response Planning Process***

### **Establish Planning Team**

There must be an individual or group in charge of developing the emergency response plan (ERP). The following is a guide to establishing a planning team.

*Form the planning team:* The team should represent a cross section of employees from management to line staff. Important functional areas that should be represented would include: upper management, facilities, human resources, IT, safety and health, operations, business units, etc.

*Establish authority:* Upper management must show commitment to the planning process by “authorizing” the team to take the steps necessary to complete the plan. The planning team will get better cooperation from other workers when management supports them. The team should report to upper management or be led by someone at that level.

*Issue a mission statement:* Upper management should issue a mission statement that demonstrates the company’s concern for worker welfare. The statement will define the purpose of the plan and authorize the team to complete the ERP. This mission statement should be included in the introduction of the finished ERP.

*Establish a schedule and budget:* The team should develop a project schedule with deadlines and milestones. Upper management should allocate funds to support the ERP project. Some project expenses may include training, use of outside consultants, ERP software, etc.

### **Analyze Exposures and Capabilities**

Gather information about vulnerabilities and current exposures at your company and define the capabilities to eliminate or mitigate them. The [Risk Assessment Matrix](#) can be used to identify and quantify the risks and threats posed to your company. This form has a completed sample matrix as well. You may already have your company’s risk assessment matrix because it is one of the initial steps for developing an overall business recovery plan. However, this may be a good opportunity to review and update the matrix. Comparing the results of the ERP checklist with the risk assessment matrix can help to review your company’s current emergency response capabilities.

### **Develop Plan**

#### ***Plan Components***

Once the risk analysis and the capability assessment are completed, it is time to document the emergency response plan. The following basic components should be in each plan:

*Executive Summary* informs company personnel about the purpose of the plan, the company’s ERP policy, authorized ERP personnel and upper management commitment to business recovery planning.

*Emergency Management Elements* describe the company’s approach to some core ERP components such as property protection. They also highlight the communications and community outreach activities and outline the administrative and logistical requirements for the process. At its core, the plan requires details for life safety precautions, necessary restoration and recovery tasks and details of who will be directing and controlling business resumption activities. These elements are the foundation of the ERP and must be detailed in the plan.

*Emergency Response Procedures* detail how a company will respond to emergencies. They instruct employees on what action to take to mitigate casualties and property loss during an emergency.

*Support Document* outlines critical documents needed during an emergency. These may include the plan itself, phone lists, site plans, checks, resource lists, etc.



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### **Consider these activities when developing your plan:**

*Identify Challenges and Prioritize Activities* to determine specific goals and milestones. Make a list of tasks to be performed, by whom and when. Determine how problem areas and resource shortfalls will be addressed.

*Write the Plan* and assign each member of the team a section to write. Establish an aggressive timeline and schedule with specific goals.

*Establish a Training Schedule* and assign responsibilities to develop training resources and schedules.

*Coordinate With Outside Organizations* and meet periodically with local government agencies and community organizations and inform them about your company's ERP. Determine local and State emergency reporting procedures and integrate them into the ERP procedures.

*Maintain Contact With Other Corporate Offices* if your firm has many locations and divisions and each maintains its own ERP; integrate all the plans into one master plan.

*Review, Conduct Training and Revise* plan by conducting tabletop exercises to determine feasibility of the plan. Revise ERP from data gathered during the exercises.

*Seek Final Approval* in writing. Approval from upper management that the plans will be supported both financially and with the necessary human resources is important.

*Distribute the Plan*, while not always considered part of development, it will be important to bring things to conclusion and distribute your information. Make sure employees have the plan, particularly key personnel with ERP responsibilities.

### **Implement the Plan**

Implementing a company ERP means more than simply exercising the plan during an emergency. It means acting on recommendations made during the risk assessment analysis; integrating the plan into company operations; training employees; and continuously evaluating and updating the plan.





## Emergency Response Plan (ERP) Checklist

Date: \_\_\_\_\_

Completed By: \_\_\_\_\_

Company: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Emergency Response Plan for: \_\_\_\_\_

**Does your plan have provisions for:**

	YES	NO	N/A
Who will be in charge in the event of a disaster?			
Lines of succession to ensure continuous leadership, authority and responsibility for key positions?			
Establishing specifics for setting up an Emergency Operations Center (EOC) and identifying personnel assigned to the EOC during an emergency?			
Identifying an alternate EOC location in case the primary location is unable to function?			
Description of methods of communication between the EOC and response teams, as well as with other company locations, adjacent businesses, and local government emergency services (police, fire, medical, etc.)?			
Placement of recall communications for contacting response teams, including current notification lists?			
Procedures for updating the notification lists, with copies to key employees?			
Determining the criteria for ordering an evacuation, who will announce it and how it will be communicated?			
Placement of evacuation routes on maps? Do they indicate routes so that each employee has two escape options?			
Building and site plans including utility shutoffs, fire hydrants and fire extinguishers?			
Drills to train all personnel to safely evacuate and then follow check-in procedures? Are plans in place for assisting persons with disabilities and non-English-speaking personnel during evacuations?			
Stating the individual employee's role in the event of a disaster?			
An updated supplier and customer list to communicate to them the status of operations following a crisis? Is a backup copy of it located offsite?			
Appointing and training a media spokesperson to communicate a single overriding message that will portray the organization positively during a crisis?			
Response plans, with training and exercises completed, to help mitigate injury and damage from the potential disasters on the next page?			



RISK OR HAZARD	YES	NO	N/A	RISK OR HAZARD	YES	NO	N/A
Flood				Earthquake			
Winter Storms/Cold Weather				Bomb Threat			
Fire				Water Leaks/Surface Water			
Power Outages				Programming Errors			
Tornado/Windstorm				Internet/Computer Related Disruptions			
Gas Leaks				Vandalism			
Hazardous Materials				Denial of Access			
Communication Failure				Sabotage			
Contamination				Embezzlement			
Civil Unrest				Theft			
Fraud				Terrorism			

Beginning with the fundamental components of an Emergency Response plan, we have provided some checklists to encourage dialogue and planning. The first four checklists are recommended as fundamental planning tools. Use others as needed in your operations. Select from the following:

**Detailed Checklists**

ERP Fundamental Forms	Additional Forms	
- <b>Direction and Control</b>	- Administration and Logistics	- Security
- <b>Emergency Notification, Notification Systems</b>	- Emergency Services	- Fire and Rescue
- <b>Facility Shutdown</b>	- Communications	- Health/Medical
- <b>Evacuation</b>	- Shelter	- Engineering
	- Supporting Materials	- Relocation



**Direction and Control Checklist**

This function includes the use of a centralized management center for emergency operations. Known as the emergency operating center, or EOC, this center is used to facilitate policymaking, coordination and control of operating forces in a large-scale emergency situation. It must cover the process of obtaining and analyzing emergency management information to provide a basis for decision-making. It should describe the use of alternate EOCs and disaster site command posts, as appropriate.

Date: \_\_\_\_\_

**Yes = Complete**  
**No = Requires Action**  
**N/A = Not Applicable**

Completed by: \_\_\_\_\_

**Does your plan have provisions for:**

	YES	NO	N/A
Indicating who is in charge for each emergency or disaster situation and citing the location of the EOC or on-the-scene command post from which direction and control will emanate?			
Determining the need to evacuate the facility or site and when to issue evacuation orders?			
Identifying the individual responsible for issuing evacuation orders and how those orders will be announced?			
An alternate EOC site to serve as a backup if the primary EOC is not able to function?			
Identifying the personnel assigned to the EOC for emergency operations?			
Logistical support for food, water, lighting, fuel, etc., for the emergency response force?			
Timely activation and staffing of emergency response teams and/or personnel?			
Assigning operational and administrative support for emergency response activities?			
A clear and concise summary of emergency functions, direction, control relationships and a support communications system?			
Ensuring that EOC staff members can be recalled on notice?			
Describing EOC functions, layout, concept of operations, duties of staff, use of displays and the process used to bring the EOC to full readiness on a 24-hour basis?			
Protecting resources (essential personnel and equipment) during disaster situations?			
Implementing resource controls?			
Safeguarding essential and vital records?			
Monitoring and reporting disaster effects capability?			
Central coordination point(s) for receiving, analyzing, reporting and retaining (events log) disaster-related information (property damage, fire status) for EOC staff and/or response teams?			
The EOC staff to acknowledge/authenticate reports?			

**Identify corrective action for all NO responses.**

ACTION NEEDED	COMPLETED	DATE





**Emergency Notification Checklist**

This functional activity should increase employee awareness of hazards and provide active channels for informing and advising them about appropriate actions before, during and after emergencies. Effective collection and dissemination of information will help to control rumors and minimize dysfunctional responses. Plans for developing and disseminating information material on preparedness, safety measures, evacuation procedures, etc. should be covered. Consideration should be given to establishing procedures for dealing with the media during an emergency in case the company's facility is affected by a disastrous situation.

Date: \_\_\_\_\_

**Yes = Complete**  
**No = Requires Action**  
**N/A = Not Applicable**

Completed by: \_\_\_\_\_

**Does your plan have provisions for:**

	YES	NO	N/A
Assigning responsibility to assure that all employees understand the warning signals, receive general instructions on what to do in an emergency, and know where to go and how to get to their shelter areas and/or disaster stations?			
The preparation of emergency employee guidance material based on all hazards affecting the company?			
Distributing emergency information materials to employees—using all sources available such as printing them in the company newsletter or magazine, making safety tip announcements over the public address system, showing disaster films by FEMA and others, handing out pamphlets with paychecks or in the company cafeteria and posting instructions on bulletin boards?			
The dissemination of emergency information and instruction material for any visually impaired and non-English-speaking workers?			
Posting safety tips, locations of fire exits, evacuation routes, etc. on bulletin boards and in other prominent areas of the building?			
Providing special instructions to any key workers expected to continue operations as to what their roles will be, including information about provisions made for their safety and that of their families?			
Including emergency response activities on the agenda of regularly scheduled meetings for supervisory staffs?			
Supervisors and foremen to meet regularly with their staffs to discuss the provisions in the Emergency Plans?			
Routine briefings for all employees when they first join the company to acquaint them with the emergency plan and the response roles they will be expected to assume?			
Scheduling general safety training measures for all employees and specific response action training for all response team members on a regular basis?			
Designating an information office to act as the official point of contact during an emergency?			
Assigning a spokesperson to handle all contact with the news media?			
Authenticating all sources of information received and then verifying them for accuracy?			
Rumor control?			

**Identify corrective action for all NO responses.**

ACTION NEEDED	COMPLETED	DATE





## Notifications Systems Checklist

Management must receive timely information on impending threats to the facility and be able to transmit information rapidly to key staff and all employees. Systems must be in place to disseminate information to key emergency response staff and all other employees. Timely forecasts of all hazards require emergency preparedness of response actions. All aspects of existing warning systems must be identified, and provisions must be made to implement them as needed.

Date: \_\_\_\_\_

**Yes = Complete**  
**No = Requires Action**  
**N/A = Not Applicable**

Completed by: \_\_\_\_\_

### Does your plan have provisions for:

	YES	NO	N/A
Receiving warnings from the weather service or local government when hazardous situations threaten the facility?			
Warning employees in the event of disaster?			
Describing the warning system (ex. alarms, paging systems, detectors, word-of-mouth) used to alert the workers of danger?			
An alternate means of warning to back up the primary notification system?			
Defining the responsibilities of departments or personnel and describing activation procedures?			
Warning local government and nearby establishments of onsite disasters that might spread to areas outside the facility?			
Requesting emergency assistance from local agencies (fire, police, medical, etc.)?			
Differentiating warning signals that identify specific threats or require specific response actions?			
Warning any hearing-impaired and non-English-speaking workers?			
A 24-hour warning point to alert key officials and to simultaneously activate all warning devices?			
Notifying key officials and/or request offsite assistance in the event of an emergency?			
Routine checks of the warning system to assure it is functioning properly?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Evacuation Checklist

The goal of this function is to evacuate people and move resources (equipment, supplies and inventory) out of threatened areas. Evacuation is an expedient option that depends on sufficient warning time to get away from an impending disaster. An assortment of evacuation options should be available to the decision-maker that are tailored to the different types of hazards, both natural and man-made. The plan should establish clear and detailed procedures for carrying out complete or partial evacuations from buildings, the facility site or an entire area in an organized manner. While the functional procedures for an area evacuation include ingredients of a major plan, they are an integral part of the company's overall emergency operations plan. Therefore, it is very important that evacuation planning be coordinated with all other elements of the company emergency operations plan as well as with the government authorities in the respective communities involved.

Depending on the emergency circumstances, evacuation of a building, site or area will require provision for completing a number of concurrent and sequential actions, all of which should be addressed via written procedures. Procedures with more than one required action (a process shutdown, for example) should have individual checklists established so that important response sequences will not be overlooked. Further, all the interactions and dependencies among these responses need to be identified and thought out in a systematic fashion, so a proper sequence can be established. This helps to ensure that operations flow smoothly.

Date: \_\_\_\_\_

**Yes = Complete**  
**No = Requires Action**  
**N/A = Not Applicable**

Completed by: \_\_\_\_\_

### Does your plan have provisions for:

	YES	NO	N/A
Describing the conditions under which evacuation would be ordered?			
Developing evacuation procedures, with appropriate options for the various hazards to prevent that avoid potential secondary hazards (i.e., live high-voltage wires that could fall, fuel lines that could be ruptured by earthquake explosion or fire damage, etc.)?			
Coordinating site and area evacuation procedures with local officials?			
Identifying the individual responsible for ordering an evacuation and establishing lines of succession for carrying out evacuation functions?			
Defining the conditions under which it would be safe to complete facility shutdown before ordering general evacuation?			
Describing the alerting and communication systems for signaling impending or immediate evacuation for each type of evacuation your facility requires?			
Procedures for search and rescue teams to follow if evacuation alarms are inoperative?			
Maps indicating evacuation routes from buildings and the facility site?			
Clearly marked evacuation routes throughout company facilities with two exit options (and fire escapes where needed) for every employee?			
Safety lighting (to ensure adequate light for evacuation during a power outage) in stairwells or corridors?			
Assuring that all personnel know the evacuation routes, routines and check-in procedures for both area and site evacuations?			



**Evacuation Checklist** *(continued)*

<b>Does your plan have provisions for:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
Assisting any handicapped employees to evacuate?			
Special attention to ensure that any non-English-speaking employees understand warning signals and know where and how to evacuate the workplace?			
Identifying public/company-provided safe reassembly areas that will not leave evacuees exposed to adverse weather conditions—below freezing temperatures, driving rains, etc.			
Assigning responsibility in an evacuation to specific floor or area captains to ensure all personnel get clear?			
An organized head count to ensure that all facility occupants have exited?			
A system to identify missing persons?			
Ensuring that vital records are evacuated or can be replaced?			
Identifying critical equipment to be evacuated and explaining how and by whom it will be moved?			
A facility status report to specified company and civil authorities from the responsible onsite person following a site evacuation?			
Periodic evacuation drills at all facilities?			
Designating responsible staff members (by name and title) to maintain and update the evacuation plan on a standby basis?			

**Identify corrective action for all NO responses.**

<b>ACTION NEEDED</b>	<b>COMPLETED</b>	<b>DATE</b>



## Facility Shutdown Checklist

This function requires well-established procedures to shut down equipment and utilities during an emergency or the entire facility when evacuation is necessary. It provides for the protection of company facilities, equipment and supplies that will be essential to rapid restoration of operations after the disaster. It covers damage assessment and control and emergency protection measures. It defines and assigns the responsibilities for the protection of company property and classified materials before employees leave workstations. Each of the provisions listed below may play a critical role in preserving life and/or preventing property damage. To be properly prepared for any hazard that could threaten the facility, the shutdown procedures developed need to be based on thoughtful consideration of what additional events might occur in conjunction with each threat and each required action involving emergency response.

Date: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

Completed by: \_\_\_\_\_

### Does your plan have provisions for:

	YES	NO	N/A
Indicating under what conditions shutdown must occur to be considered?			
Identifying who will make the decision to shut down equipment, utilities or the facility?			
Specifying who is responsible for carrying out shutdown? Assigning specific roles for equipment and utility (gas, electric and water) shutoffs as well as for checking automatic shutoffs (and for doing it manually if the automatic system fails)? Identifying who will be equipment shutoff backup? Requiring report of shutdown completion to EOC?			
Establishing a prearranged order or signal to initiate shutdown procedures appropriate for the impending hazard?			
Providing a list of equipment and instructions on how to complete an emergency shutdown?			
Facility layout diagrams to show where to turn utilities and equipment off?			
Posting shutdown instructions on or near control panels, valves, switches and operating mechanisms of each piece of major equipment?			
Instructing and training personnel to implement the emergency shutdown procedures?			
Designating personnel to close doors and windows, tie down loose equipment, move equipment and supplies to shelter areas and barricade windows and doors?			
Identifying and protecting valuable and sensitive tools, instruments, machinery and materials? Precious metals, original drawings and blueprints, and vital records should be placed in locked storage or moved to safer locations if time permits. Large machinery can be hardened in place by sandbagging or by using dirt piled on equipment first covered with plastic or tarpaulin.			
Protecting equipment and material stored outside by banding, tiedown, moving critical or valuable items to inside storage, or moving mobile equipment to high ground or to protected sides of the buildings, as circumstance requires and time allows?			
Establishing damage assessment and control techniques to minimize property loss during a disaster?			
Having a department manager test shutdown procedures for utility services and equipment?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Administration and Logistics Checklist

Date: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

Completed by: \_\_\_\_\_

### Does your plan have provisions for:

	YES	NO	N/A
Review and written concurrence from all company departments assigned emergency responsibilities?			
Approval and promulgation by the chief executive of the company?			
A specific date by which management will approve the planning activities?			
Identifying the office or individual (by job title) that is responsible for the maintenance (review/update) of the plan and for ensuring that necessary changes and revisions to the plan are prepared, coordinated, published and distributed?			
Updating, as necessary, based on deficiencies identified through drills and exercises, changes in organizational structure, technological changes, etc.?			
A resource inventory listing that includes source and quantity? (This listing should include lighting, first aid, medical, firefighting and other basic emergency response support equipment.)			
Statements that identify additional emergency resource requirements for personnel, equipment and supplies?			
Easily locating specific topics of the plan such as through a table of contents or using an index in the completed document?			
Training response staff and specialized teams to carry out emergency functions?			
Reviewing those portions of the plan actually implemented in an emergency event or in an exercise to determine if revisions can be made to improve disaster response and recovery operations?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Emergency Services Checklist

Emergency services for security, firefighting and rescue, medical, and engineering should be geared to the size and complexity of the facility involved and to the problems likely to arise. In many businesses, emergency duties can be assigned to teams from the existing employee population. We identify individuals who perform emergency services as emergency response team (ERT) members. They form the nucleus of the operating forces and will be called upon to accomplish vital jobs during an emergency. ERT duties may require one or two individuals at a small facility or involve several dozen people in a large organization. (It is always safer to have teams of two or more.) To be effective, preparations for the functional response are necessary. Two major benefits derived from an ERT are a faster response time and a greater technical knowledge of the company's facilities, processes and materials. Knowledge enables the ERT to deal with emergency tasks with optimum effectiveness. ERT members should develop quick reaction checklists for their specific tasks in the event of an emergency. The ERTs collectively perform the services that allow the company to react to and recover from disaster events. The teams also are involved in implementing evacuation operations.

Date: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

Completed by: \_\_\_\_\_

<b>Does your plan have provisions for:</b>	YES	NO	N/A
Maintaining current notification/recall rosters for each ERT?			
Advising personnel of specific risks associated with handling hazardous materials and of the best means to protect themselves?			
Obtaining appropriate equipment, instruments and protective clothing (as necessary) for ERT members to perform emergency tasks?			
Assuring that ERT members understand how and when to use response equipment, instruments and protective clothing?			
Standard operating procedures for each response team describing how the team will accomplish its assigned tasks and how it will deal with the various hazards?			
Entering into mutual aid agreements with other private sector companies, state and local government service agencies, and volunteer agencies?			
A plot plan (site plan, map of buildings and grounds) including utility shutoff locations; water hydrants and mains; storm drains and sewer lines; fences and gates; natural gas or chemical pipelines; name of each building; and street names and street number directions?			



**Emergency Services Checklist** (continued)

<b>Does your plan have provisions for:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
A building plan (floor plan for each building) including: room layout indicating the materials to be typically found in each room or area, with notes on quantities and storage container; alarm (and detector) locations—with file on equipment specifications and maintenance; fire extinguisher locations; exits, stairs, elevators, escape routes; sprinkler layout and control point; HVAC system control point (mechanical room, boiler room) and notes on control for smoke ventilation and air distribution system; and notes on type of construction of walls, floors, and roof?			
Supplying copies of the organization’s plot and building plans to local fire and police departments?			
Handling inquiries and informing families on the status of employees separated from them, especially if injured or missing, due to a disaster event?			
Logistical support during emergency operations?			
Reporting the appropriate information (casualties, damage assessment, evacuation status, etc.) to the EOC during emergency operations?			
Direction and control of ERT personnel during emergency operations?			
Designating a representative for each ERT to report to the EOC to advise decision-makers, to coordinate with other operating forces, and to direct and control the team response?			
Recovery operations during disaster events?			

**Identify corrective action for all NO responses.**

<b>ACTION NEEDED</b>	<b>COMPLETED</b>	<b>DATE</b>



## Communications Checklist

This function deals with establishing, using, maintaining, augmenting and providing backup for all channels of communication needed for emergency response and recovery. Effective communications are dependent on planning and establishing coordinated response and communication procedures that everyone understands. Further, experience has shown that communications options will be more likely to work in an emergency if they are part of the day-to-day operating system. Systems that are critical to everyday operations are immediately repaired when failures are encountered, and maintenance staff will be well acquainted with the systems.

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

**Yes = Complete**  
**No = Requires Action**  
**N/A = Not Applicable**

### Does your plan have provisions for:

	YES	NO	N/A
Primary and backup communication systems with generators or extra batteries (fixed and mobile available)?			
Describing the methods of communications between the EOC and response teams, alternate company operating locations, adjacent firms and local government emergency services (fire, police, etc.)?			
Detailing the communication requirements for emergency response organizations and warning systems?			
Two-way cellular or radio communications between the EOC and emergency response forces if available?			
Assuring the response team members (and their backups) assigned to communications talks know where to obtain communications equipment and how to operate it effectively and understand communications terminology?			
Recalling communications staff or team members on short notice?			
Obtaining additional telephone services during emergencies?			
Listing key telephone numbers for industry emergency assistance organizations?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Shelter Checklist

Appropriate shelter should be provided when needed to protect employees from the effects of any disaster. Use of shelter within the workplace or in a nearby public building may be the most effective way to protect people when evacuation from the risk site is not feasible. This function addresses the conditions under which people should be placed in protective shelters and how the decision to do so would be implemented. The plan should describe any onsite shelter capacity. The federal government conducts a continuing nationwide survey of public and private structures to identify shelter space that can be used to protect the public from natural hazards. Those companies that have not been surveyed under this program may request assistance from state and local emergency management agencies to assure that their proposed shelter areas provide adequate protection for their employees. Responsibility for shelter maintenance and management should be established for onsite shelters. If there are no adequate shelter spaces in company buildings, the plan or checklist should identify those public shelter facilities that local emergency management officials have allocated for the company employees.

Date: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

Completed by: \_\_\_\_\_

### Does your plan have provisions for:

	YES	NO	N/A
Identifying existing shelter space in company facilities? Include capacity for disasters such as tornadoes and hurricanes.			
Orderly movement to onsite shelter with a general traffic pattern and ready-made directional signs?			
Assigning corridor, floor and building wardens to assist employee movement?			
Crisis stocking of food, water, medical supplies and other necessities for shelter stay? (For onsite company shelters only.)			
Designating shelter managers and support staff?			
Coordinating with local authorities to identify shelter locations assigned to company employees outside the facility in accordance with the community's in-place shelter allocation?			
Printed instructions advising employees of shelter locations and routes to get there either within the facility or nearby?			
Coordinating all key worker shelter needs with the local government?			
Determining when occupants can be released from shelter?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Supporting Materials Checklist

Once you and your team have created an ERP, you will want to review it. Does your plan include provisions for supporting materials such as maps, organizational items, contact lists and identification of local resources and signed agreements?

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
No = Requires Action  
N/A = Not Applicable

### Does your plan have provisions for:

	YES	NO	N/A
<b>Maps</b> Building floor plans, plot plan (site plan, building, grounds, utilities, fire protection systems, emergency shutoffs), street maps and other appropriate maps.			
<b>Procedure Charts</b> Simple organizational charts with the name, titles, addresses and telephone numbers of key emergency personnel. These charts will be useful before and during emergency operations. Use the charts to illustrate who is responsible for key activities such as dealing with local government, other industries and those who have emergency equipment or supplies.			
<b>Contact Lists</b> Contact lists provide telephone or pager numbers of key personnel. These lists should include names, addresses, telephone numbers and organizational responsibilities for emergency operations. Alternates should be listed in case primary personnel are not available. Company officials should carry pocket cards containing the names, telephone numbers and locations of local government and company emergency services staff and facilities.			
<b>Listing of Local Resources</b> A resource listing of major sources of additional workforce, equipment and supplies. The document identifies resources by company, location, type and number of skilled workers, equipment and supplies available in the community. The resource listing is updated annually.			
<b>Mutual Aid Agreements</b> Agreements among companies and government agencies to assist one another within defined limits, during major emergencies. The direction and control and emergency service staffs should be aware of the provisions of these agreements.			
<b>Glossary of Terms</b> To be effective, the plan should use terms that mean the same thing to everyone concerned. To accomplish this, include a glossary of terms as a separate appendix.			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





## Security Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
No = Requires Action  
N/A = Not Applicable

### Does your plan have provisions for:

	YES	NO	N/A
Traffic control during an emergency?			
Assisting movement to a shelter or to evacuate the facility?			
Security for critical resources?			
Keeping order in emergency shelters?			
Protecting company property in damaged areas?			
Evacuating disaster areas during emergency operations?			
Training in sabotage prevention for security force?			

### Identify corrective action for all NO responses.

ACTION NEEDED	COMPLETED	DATE





**Fire and Rescue Checklist**

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

**Does your plan have provisions for:**

	YES	NO	N/A
Deploying fire/rescue teams and equipment in the event of an emergency?			
Storing fire control equipment where it will be accessible despite direct hazard effects (earthquake, fires, etc.)?			
Assuring that team members know how to operate rescue equipment?			
Fire protection in emergency shelters?			
Advising decision-makers about the risks associated with hazardous materials?			
Rescuing injured people during emergency operations?			
Alerting all emergency services to the dangers associated with the technological hazards and fire during emergency operations?			

**Identify corrective action for all NO responses.**

ACTION NEEDED	COMPLETED	DATE





**Health/Medical Checklist**

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

**Does your plan have provisions for:**

	YES	NO	N/A
Selecting and setting up emergency casualty stations for screening casualties, administering first aid, initiating identification and casualty records, and arranging transportation to medical facilities if necessary?			
Obtaining emergency medical support during an emergency?			
Maintaining an adequate inventory of medical supplies for emergency use?			
Emergency procedures for exposure to onsite chemicals and for dealing with the injured who may also be contaminated?			
First aid training for personnel assigned to supplement medical staff?			
Health/medical care at any facility shelter?			
Information programs to ensure good health under shelter conditions?			

**Identify corrective action for all NO responses.**

ACTION NEEDED	COMPLETED	DATE





## Engineering Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

**Does your plan have provisions for:**

	YES	NO	N/A
Establishing and testing shutdown procedures?			
Precautions, as necessary, to protect equipment during shutdowns and to preserve it over extended periods of nonuse?			
Maintaining drawings showing locations of utility key valves, switches, feedlines and hazardous areas?			
Backup electrical power to the EOC and essential production lines?			
Preparing and maintaining a resource list that identifies source, location and availability of equipment, (dump trucks, fuel, etc.) to support disaster response recovery operations?			
Damage assessment reports?			
Restoring utilities to critical and essential facilities?			
Postdisaster repairs and restoration of facility and services?			
Sanitation services for emergency facilities?			
Maintaining adequate water supply after shutdown for drinking, firefighting, decontamination and sanitation?			

**Identify corrective action for all NO responses**

ACTION NEEDED	COMPLETED	DATE





## Relocation Checklist

Your company may elect to evacuate threatened areas as organizational units and, if feasible, continue operations in a limited capacity at an alternate location. Movement of employees and their families to prearranged locations requires extensive planning and coordination. Be sure to consider both your company's emergency organization and governments' emergency management officials at the various locations.

Date: \_\_\_\_\_

Yes = Complete  
No = Requires Action  
N/A = Not Applicable

Completed by: \_\_\_\_\_

<b>Does your plan have provisions for:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
Coordinating evacuation activities (traffic control, route designations, staging areas, etc.) with the local governments of the jurisdictions through which the employee convoy will travel?			
Designating primary and secondary evacuation routes: including detailed maps of the routes with staging areas, rest stops, and destination points clearly marked?			
Arranging transportation for vital records, supplies and equipment and for employees without private vehicles?			
Assigning staging areas from which the convoy of evacuating employees will originate? When the homes of the employees are widely dispersed, designation of two or three staging areas as originating points may be more practical than leaving from a central location in a large convoy.			
Identifying and establishing liaison with reception area authorities?			
Establishing location for relocation headquarters and operations?			
Making staff assignments at the relocated workplace (including line of succession to take responsibility for providing personnel requirements)?			
Consigning resources—necessary skilled workforce, equipment and material—to support reception area logistic operations?			
Identifying any shortfall in logistic support from plan commitments and reporting this to any reception area authorities from the public sector who are involved?			
Coordinating lodging and shelter assignments for employees and dependents with reception area authorities?			
Assisting civil authorities in preparation of the relocation site to meet shelter and other survival needs of employees and families?			
Informing employees of organizational relocation plans, the roles expected of them, the provisions being made for them and their families; providing them with instructions on what to take, where to meet and how to get there; and supplying maps of the evacuation routes and lodging sites? Give special attention informing any non-English-speaking employees to assure they understand these instructions. Also, handicapped employees may need additional assistance to relocate.			

Identify corrective action for all NO responses.

<b>ITEM ACTION NEEDED</b>	<b>COMPLETED</b>	<b>DATE</b>





## Business Continuation Planning

Planning and Preparation

Definition and Scope of Business Continuation Planning

Risk Assessment and Mitigation

Plan Development

Implementation

Forms and Checklists

- Planning Coordinator Duties, Suggested Assignments, Suggested Components for Business Continuation Plan, Project Progress Report Form, Business Impact Analysis Questionnaire, Business Continuation Planning Project Schedule, Business Resumption Timetable Form, Critical Documents and Vital Records Form, Risk Assessment Matrix, Evaluating Business Operations, Business Continuation Response Team Action Plan, Notification and Recovery Management





## Business Continuation Planning

Consider this scenario: Your facility has been hit with an event that disrupts your operation. You activate the emergency response plan, and it works. The disruptive event is under control, and your staff is evacuated safely.

But that's not the end of it. The damage assessment team determines it will take more than 30 days to recover the facility. Therefore, the company formally declares the situation a *disaster*. How does the company resume critical business functions and operations? How are employees going to respond to client needs? In short, what does the company need to do so that business activities continue during the recovery process?

Business Continuity Planning (BCP) is the process of defining arrangements and procedures that enable an organization to continue as a viable entity. If its business operations are disrupted for an unacceptable period of time, then the business may fail. This plan addresses the recovery of a company's **critical business functions** after an interruption. This process may also be referred to as the disaster recovery business resumption or business continuation plan. The business continuation plan keeps the business operational during adverse conditions from the time the event is under control to the time the business is restored and fully operational.

We've gathered checklists, outlines and recommendations for companies without plans to develop a comprehensive site-specific BCP. Our fundamental resources include Chubb's [business impact questionnaire](#) and restoration checklist, as well as many additional forms from a variety of sources to facilitate the planning process.

The *Business Continuation Planning Risk Management Review from Chubb<sup>SM</sup>* is designed to evaluate a company's overall susceptibility to business income losses and to improve recovery mechanisms should a loss occur. Companies with an existing plan should use this tool to identify areas of their plan that need improvement.

Business continuation planning can be segmented into the following areas: planning and preparation; definition and scope; data collection; risk assessment and mitigation; business impact analysis; plan development; implementation; testing and monitoring; and maintenance.

## Business Continuation Planning Process

### Planning and Preparation

The management group should have the full support of senior management for the BCP initiative. The project will require a significant investment in time, resources and money. There are some critical initial tasks to complete prior to the first BCP Planning Committee meeting. The following activities and resources will help create an effective BCP:

1. Appoint a business continuation planning coordinator (see suggested [Duties of a Planning Coordinator](#) document).
2. Select a business continuation planning committee. Members should include senior managers from all business units or departments.
3. Select Planning Committee meeting dates for the next 12 months.
4. Develop project assignments for the Planning Committee members. See [suggested assignments](#) and a [progress report form](#) to record activities.
5. Develop initial [BCP project schedule](#).



## Definition and Scope of BCP

The management group should define the BCP and its scope; this in turn will allow for identification of priorities. Moreover, the group should take appropriate steps to reveal preliminary operational vulnerabilities and mitigating strategies that can be studied in depth during the Business Impact Analysis (BIA) and strategic planning (SP) segments of this project. Many of the findings and recommendations developed during this phase can be implemented immediately. The group can start by taking the following actions:

1. Determine the objectives of the business continuation plan. Answer questions such as:
  - What is the goal and focus of the plan?
  - What is the scope of the plan? Does it cover the entire enterprise or just one location?
2. Develop an initial set of assumptions by responding to the following:
  - What major disruptive events will the plan address?
  - Can a single disruptive event, such as an earthquake or flood, impact more than one company facility?
  - Define terms that may need clarification, such as **disaster** and **significant disruptive event**
3. Decide on the types of disruptive events to consider. List foreseeable disruptive events that can impact normal business operations. This information will be reviewed in depth later during risk assessment.
4. Select a likely disaster scenario rather than a specific event to develop your BCP. For example, most companies will select a disaster scenario similar to this: **The main facility is inaccessible and inoperable for 30 days**. By selecting a scenario rather than a specific event, a company will address 80% of the likely events that may occur. The resulting BCP will be able to respond effectively to disasters that are less severe as well.
5. Consider alternative business continuation strategies and implement minimal cost recommendations. This information will be reviewed in depth, later during the risk mitigation phase.
6. Refine and update initial [project work schedule](#).
7. Submit a [progress report](#) to top management.

Not all events are emergencies, and not all emergencies become disasters. A hasty decision to declare a disaster can be more disruptive than the event itself. A timely and appropriate response, however, is necessary to protect the safety of employees and reduce the risk to property (see [Emergency Notification and Mobilization](#) flowchart).

## Data Collection

1. Verify that the organization has a formal emergency response plan in place. The plan should address the organization's response to all situations that can affect health and safety. Decide whether the ERP will be a separate document or be incorporated into the Business Continuation Plan. At a minimum, the emergency response procedure should dovetail the business continuity plan **Disaster Declaration** decision-making process.
2. Verify that asset documentation is current and that this documentation will be available for the "selected" disaster scenario.
3. Verify that critical documents and vital records are properly protected and/or duplicated and that the documents and records will be available for the "selected" disaster scenario. Consider using the [Vital Records and Critical Documents](#) form.
4. If recovery strategies involve relocation to another site, then have each department complete a list of *minimum* personnel, materials, equipment and space requirements needed to conduct *critical business functions* at an alternate site. A spreadsheet summary of these requirements should be made for the BCP. This step will help in the development of the [return time objective \(RTO\)](#) table during the BIA phase of the project.



## Risk Assessment and Mitigation

Perform a comprehensive risk assessment using the tools provided. Identify all reasonable risks that can disrupt business operations. Be sure to consider the following:

- Natural threats - windstorms, floods, earthquakes;
- Technological threats - power failure, loss of phone switch; and
- Human threats - riots, strikes, sabotage, loss of critical raw material.

Develop a [Risk Assessment Matrix](#) that prioritizes threats and the probability of occurrence. Conduct a risk mitigation evaluation addressing the findings from the risk assessment matrix. List practical [risk mitigation actions](#) to reduce the impact of identified threats to the organization. This is a good time to submit a progress report and budget to senior management outlining low cost mitigation or continuity strategies. Prepare a [Risk Mitigation Action Plan](#) highlighting activities that can be achieved immediately to mitigate potential disaster events that would not require senior management approval. These actions are generally easy to implement with minimal cost.

## Business Impact Analysis

The [Business Impact Analysis](#) involves surveying all business units to determine the financial and other impacts of identified threats. It provides a basis for determining business continuation strategies. A properly completed Business Impact Analysis will accomplish a list of priorities for resumption of business functions (each function should be classified as *Critical*, *Essential* or *Important*).

The BIA determines the financial impact of each impaired critical function and identifies resources needed to support the resumption of **critical** business functions. After completing the BIA, it is possible to determine the Return Time Objectives (RTOs) for each business unit. Submit the BIA report to senior management for approval before initiating the Strategic Plan phase.

## Plan Development

Once the BIA and RTO are completed, it is possible to develop strategies or solutions to recover and continue *critical* business functions. Use financial impact data from the BIA to evaluate the cost/benefit of each potential business continuation strategy. Select one or more specific strategies to resume critical or possibly essential business functions. As the plan is developed, you will refine, test and adjust solutions to meet the business needs. When ready, submit the strategic plan and budget to senior management for approval.

Establish the organizational flow of the BCP and chart it. This will be the company's management infrastructure after a disaster is declared. The personnel assigned to the BCP teams will have full decision-making authority as approved by top management and detailed in the BCP. Sample [BCP flow chart](#) attached.

Establish a *link* between the emergency notification procedures in the emergency response plan and the [disaster declaration](#) procedures of the BCP. But remember: Not all events are emergencies, and not all emergencies become disasters. A hasty decision to declare a disaster can be more disruptive than the event itself. A timely and appropriate response, however, is necessary to protect the safety of employees and reduce the risk to property.

Develop a disaster declaration procedure. Select and appoint members for each response team needed to support continuation strategies. Each team should have a leader, an alternate leader and a *minimum* of three other members. Assign the development of each specific continuation strategy to the appropriate response team. Each response team should return written resumption procedures to the planning coordinator within 30 days. See a sample [Response Team Action Plan](#). Prepare a [Business Continuation Plan Outline](#). This outline can serve as the table of contents for the continuation plan. Prepare a rough draft of the continuation plan. Submit the completed rough draft to top management for review and approval.



## **Implementation**

Budget for and/or acquire all items needed to support the business continuation plan.

Examples: Emergency supplies, communication equipment, vendor agreements, power generators, etc.

Adjust your written business continuation plan to reflect organizational issues. Distribute multiple copies of the final draft to each member of the management group and to each response team leader.

Remember that the plan can be in any format as long as all support personnel are able to access the plan at any time, both from home and from any business location in the world.

Once the management group and response team approves the documents, release the final copy of the action plans to all response team members. Establish procedures for testing and maintaining the business continuation plan. Continue to submit progress reports to senior management.

### **Structured Walk-Through Test**

During business continuity plan testing, the response team members should meet to verbally walk through each step of their resumption procedures. The team should evaluate the effectiveness of each continuation activity.

### **Checklist Test**

Each response team should meet to review its response procedures to ensure that all information is current. Each response team leader should also verify that all team members are aware of their duties and that each team member has multiple copies of the team action plan.

### **Tabletop Exercise**

This exercise involves all members of the management team and all response team leaders when they meet to discuss responses to various disruptive events.

### **Simulation Test**

A disruptive event is simulated without impacting normal operations. A simulation test validates the following:

- Notification Procedures
- Backup Power Systems
- Hardware Backup Systems
- Transportation Arrangements
- Alternate Communication Systems

### **Full Interruption Test**

This test involves activating the complete business continuation plan. It includes the mobilization of personnel and resources to an alternate site. The test is recommended for all business operations with critical voice and data processing functions.

### **Testing and Monitoring**

Conduct realistic tests of the BCP at scheduled intervals. The management group and all response plan team members should participate in test exercises. Testing intervals should never be less than once a year. Make arrangements to run all backup systems where appropriate. Review and evaluate the results of all tests. Make appropriate changes to the BCP based on lessons learned during test exercises.

### **Maintenance**

Develop a system to update names, responsibilities and contact information contained in the BCP. Establish procedures for the Management group to review and revise the resumption strategies frequently. Schedule review and update meetings on a quarterly or semi-annual basis. Annual reviews may be adequate for less dynamic business organizations.



## **Business Continuation Planning Coordinator Duties**

1. Schedule and chair all Planning Committee meetings.
2. Schedule and chair all Management group meetings.
3. Serve as a liaison between the Management group and all planning and support groups.
4. Coordinate the assembly of essential support information, such as:
  - Vendor resources
  - Business unit material needs at an alternate site
  - Phone trees
5. Arrange all word processing functions needed to get the Business Continuation Plan written.
6. Maintain and update the master copy of the Business Continuation Plan.
7. Ensure that all members of the Management group and all Team Leaders have access to current copies of the Business Continuation Plan.
8. Arrange for appropriate training sessions required by Response Team members.
9. Monitor the status of all budgeted items needed to mitigate threats and/or to support resumption strategies.
10. Develop testing procedures for all components of the Business Continuation Plan.
11. Review the results of all Business Continuation Plan tests and report them to the management group.
12. Schedule and conduct periodic meetings for the management group and Response Team Leaders to review and update resumption strategies.

### **Planning Committee Suggested Assignments**

1. Conduct a review of the Emergency Response Plan. Ensure the following are included in the plan:
  - Procedures for reporting emergencies.
  - Emergency escape procedures and routes.
  - Procedures for employees who perform or shut down critical operations before evacuation.
  - A procedure to account for all employees, visitors and contractors after an evacuation is completed.
  - Rescue and medical duties for assigned employees.
2. Conduct an audit of the following systems to insure they are adequate and properly maintained:
  - Fire protection and fire detection systems.
  - Security systems.
  - Backup power systems.
3. Verify that asset documentation is current and the information is duplicated with off-site backup.
4. Develop a list of essential forms needed to support operations at an alternate site.
5. Develop a list of vital company records and documents. Ensure all documents are properly stored and/or duplicated and would be available following a worst-case disaster scenario.
6. Complete a list of material and space needs for each department to continue critical functions at an alternate site.



## **Suggested Components - Business Continuation Plan**

### **Administration Information**

- Business Continuity Plan Objective
- Definitions
- Assumptions
- BCP Activation Procedures
- Continuation Priorities
- Duties of Plan Coordinator

### **Response Team Information**

- Response Teams and Team Members
- Types of Teams – Management, Damage Assessment, Relocation, Information Services, Logistics, Customer Relations, Telecommunications, Transportation
- Response Team Duties and Responsibilities

### **Business Continuation Strategies**

- Site Restoration Procedures
- Data Recovery Procedures
- Command Center Procedures
- Plan Activation Procedures
- Relocation Procedures
- Critical Function Continuation Procedures
- Voice and Data Processing Continuation Procedures
- Support Services Continuation Procedures

### **Plan Testing and Maintenance**

- Testing Responsibilities
- Training Procedures
- Testing Checklists and Logs

### **Appendix - Items** listed here should be obtained from within your organization.

- Plan Distribution List
- Corporate Phone Directory
- Customer List
- Supplier List
- Vital Record List
- Phone Tree
- Supply and Equipment List for Alternate Site
- Media Contact List
- Resumption Planning Vendor Contracts
- Mail/Package Delivery Service List
- Command Center/Emergency Operations Center Supplies







# Business Impact Analysis Questionnaire

Department Name:	
Person Interviewed:	

1. Provide a brief description of the department's purpose and objectives:

2. Provide a brief description of the department's internal and external customers:

3. List the total revenue generated by this department:  N/A

\$	
----	--

Provide information about the consequences of a total loss of department functions for the following scenarios:

**Financial Impact (Lost Revenue):**

Day 1:		Week 3:	
Day 3:		Week 4:	
Week 1:		Month 1:	
Week 2:		Month 2:	

**Comments:**

**Contract Penalties:**  N/A

**Legal Regulatory Impacts:**  N/A

**Loss of Market Share:**  N/A

**Customer Service (External Customers):**  N/A



Customer Service (Internal Customers):

N/A

Other:

N/A

5. Does this department depend on materials/supplies from another company department?

Yes

No

If Yes, explain:

6. Does this department depend on materials/supplies from an outside source?

Yes

No

If Yes, explain:

Are these materials/supplies readily available from another source?

Yes

No

If Yes, explain:

If No, indicate how long it would take to find another source and describe the impact on department operations:

7. Does the department have any existing recovery procedures in place to resume essential business functions?

Yes

No

If Yes, explain:

8. Has the department ever experienced a significant disruption of operations?

Yes

No

If Yes, provide details about actions taken and results:

9. Is the department dependent on data processing systems or equipment to perform essential functions?

Yes

No

If Yes, complete the attached Application Impact Analysis for each critical data processing application. (Note: A critical application is one that is essential for the performance of department functions.)



## Identification of Strategic Business Operations

Department Name:	
Completed By:	

Business Operation:

**Organizational Impact:** The loss of this application would have the following effect on the organization:

- Catastrophic     
  Moderate     
  Minor

Comments:

**How long can your department continue to perform all of its functions without the usual data processing support?** (Assume that the loss of data processing support occurred during your busiest or peak period.) **Check only one.**

- Up to 3 days     
  Up to 1 week     
  Up to 1 month     
  Other:

Comments:

Identify peak periods for this business unit:

- Yes       No

Day:

Week:

Month(s):

Have you developed/established backup procedures (manual or otherwise) to continue operations in the event the business unit is unavailable?

- Yes       No

If Yes, please indicate when the procedures have been tested:

Use the following codes for the next four questions:

- A. Up to \$10,000
- B. \$10,000 - \$100,000
- C. \$100,000 - \$1,000,000
- D. \$1,000,000 - \$10,000,000
- E. Over \$10,000,000

	Day 1	Day 3	Week 1	Week 2	Week 3
1. Losing this unit will result in lost revenue from fees, collections, interest penalties, etc.					
2. Losing this unit will erode our customer base. The cost to the organization from lost business is estimated at:					
3. Losing this unit will result in the following fines and penalties due to regulatory requirements (federal, state, local):					
4. The loss of this business unit has legal ramifications due to regulatory statutes, contractual agreements, etc. Specify potential areas of exposure:					





## Business Continuation Planning Project Schedule

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<b>PREPARATION PHASE</b>												
Obtain Top Management Approval												
Appoint BCP Coordinator												
Select BCP Planning Committee												
Select Committee Meeting Dates												
Assign Project Tasks												
Develop BCP Project Schedule												
<b>DEFINITION PHASE</b>												
Determine BCP Objectives												
Develop Assumptions and Definitions												
List Disruptive Events Addressed by Plan												
Select a Disaster Scenario for BCP												
Consider Alternative Continuation Strategies												
Update Initial Project Schedule and Assignments												
Submit Progress Report to Management												



Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
----------	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----

**DATA COLLECTION PHASE**

Review Emergency Response Plan												
Verify Asset Documentation												
Verify Vital Record Availability												
Develop Business Unit Material Needs List												

**RISK ASSESSMENT AND MITIGATION PHASE**

Perform a Thorough Risk Assessment												
Develop a Risk Assessment Matrix												
Perform a Risk Mitigation Evaluation												
Submit a Progress Report and Risk Mitigation Budget to Top Management												
Develop a Risk Mitigation Action Plan												

**BUSINESS IMPACT ANALYSIS PHASE**

Identify <i>Critical</i> Business Functions												
Prioritize <i>Critical</i> Business Functions												
Develop Return Time Objective (RTO) Table												
Complete a Business Impact Analysis												
Submit BIA Report to Top Management												



Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
----------	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----

**STRATEGIC PLAN PHASE**

Identify and Evaluate Continuation Strategies												
Conduct Cost/Benefit Analysis of Strategies												
Select Specific Continuation Strategies												
Submit SP to Senior Management for Approval and Budget												

**BCP PLAN DEVELOPMENT PHASE**

Establish a BCP Organizational Chart												
Establish a Link Between ERP and BCP												
Develop Disaster Declaration Procedures												
Select Response Team Members												
Assign Strategy Development to Teams												
Develop a BCP Outline												
Prepare Rough Draft of BCP												
Submit BCP Draft to Top Management for Approval												



Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
----------	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----

**IMPLEMENTATION PHASE**

Submit Budget for BCP Support Items												
Prepare Final Draft of BCP												
Distribute BCP Copies to Team Leaders and Management Group												
Distribute Action Plans to Team Members												
Establish Plan Test Procedures												
Establish Testing Intervals												

**TESTING AND MONITORING PHASE**

Conduct BCP Test												
Make arrangements to Run Backup Systems												
Review and Evaluate Test Results												
Make Appropriate Changes to BCP												

**MAINTENANCE PHASE**

Develop BCP Update Procedures												
Schedule Management Group Review Meetings												



## Business Resumption Timetable

### Critical Business Functions (CBF) and Return Time Objectives (RTO)

Time Period (< 24 hours)	Time Period (2-4 Days)	Time Period (1 Week)
• • • •	• • • •	• • • •

Critical Business Function (CBF) Staff Requirements and Locations					
Recovery Team or CBF	Alternate Site		Command Center	Employee Homes	Other Site
	Immediate RTO	Short Term RTO			
<b>CBF/Team 1</b>					
Department					
Department					
<b>CBF/Team 2</b>					
Department					
Department					
<b>CBF/Team 3</b>					
Department					
Department					
<b>CBF/Team 4</b>					
Department					
Department					
Department					
<b>Totals</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



## Sample Return Time Objective Table

### Critical Business Functions (CBF) and RTOs

Time Period (< 24 hours)	Time Period (2-4 Days)	Time Period (1 Week)
<ul style="list-style-type: none"> <li>• CBF - Call Center</li> <li>• CBF - IS</li> <li>•</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• CBF - Accounting</li> <li>• CBF - HR</li> <li>• CBF - Production</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• CBF - Marketing</li> <li>• CBF - Training</li> <li>•</li> <li>•</li> </ul>

### Critical Business Function (CBF) Staff Requirements and Locations

Recovery Team or CBF	Alternate Site		Command Center	Employee Homes	Other Site
	Immediate RTO	Short Term RTO			

CBF/Team 1					
Call Center	5	12	1		
Department					

CBF/Team 2					
IS	10	10	1		
Department					

CBF/Team 3					
Production		15	2	10	14
Department					

CBF/Team 4					
Department					
Department					
Department					

<b>Totals</b>	<b>15</b>	<b>37</b>	<b>4</b>	<b>10</b>	<b>14</b>
---------------	-----------	-----------	----------	-----------	-----------



## Critical Documents and Vital Records

Records and documents that are irreplaceable or that contain information for which temporary unavailability could constitute a serious legal or business impairment. Examples include:

Critical Documents and Vital Records	Restoration Plan?	
	Yes	No
Engineering Plans and Drawings <ul style="list-style-type: none"> <li>◆ Building and Facilities</li> <li>◆ Products</li> <li>◆ Custom-made Equipment, Molds and Dies</li> </ul>		
Accounting Records		
Insurance Policies		
Formulas and Trade Secrets		
Product Lists and Specifications		
Employee, Customer and Supplier Databases		
Data Processing Information <ul style="list-style-type: none"> <li>◆ Data Files</li> <li>◆ Document Software</li> <li>◆ Application Software</li> <li>◆ System Software</li> </ul>		
Contracts		
Personnel Files		

List additional documents here:






## Risk Assessment Matrix

Risk	Probability	Impact	Controls	Total	Mitigation Actions
				0	
				0	
				0	
				0	
				0	
				0	

1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5
Low. . . . . High	No Impact . . . . . Significant Impact	Good. . . . . Poor

**Initiate mitigation actions when rating is 8 or higher**

**Comments:**



## Sample Risk Assessment Matrix

Risk	Probability	Impact	Controls	Total	Mitigation Actions
Fire	1	5	2	8	Get bid for automatic fire alarm system
Power Failure	2	5	5	12	Recommend installation of emergency power generator
Windstorm	2	4	2	8	Conduct semiannual roof inspections
Earthquake	1	5	3	9	Have engineering analysis done on building
Loss of Computer Systems	2	5	4	11	Secure a contract for a hot site
Loss of Main Phone Switch	2	5	3	10	Arrange for call forwarding; Install direct service lines
Flood	1	4	2	7	Develop flood response plan
Loss of Essential Raw Material	2	4	4	10	Find second source for essential raw materials
Loss of Essential Subcontractor	2	4	4	10	Find an alternate subcontractor

Probability Scale	Business Impact Scale	Control Scale
1 – 2 – 3 – 4 – 5	1 – 2 – 3 – 4 – 5	1 – 2 – 3 – 4 – 5
Low. . . . .High	No Impact . . . . .Significant Impact	Good. . . . . Poor

### Mitigation actions for items with a rating of 8 or higher

### Sample Mitigation Actions

- Install an automatic fire alarm system to provide early warning of a fire condition.
- Install water detection systems in all electronic equipment rooms.
- Install a clean agent automatic fire suppression system in computer room.
- Connect all computer and communication equipment to an uninterruptible power supply.
- Install an emergency power generator. Revise EDP tape backup procedures and storage practices to ensure availability during a disaster.
- Install locks on all computer and communication equipment rooms.
- Secure light fixtures and other overhead equipment that could fall or shake loose during an earthquake. Move heavy and breakable objects to low shelves. Secure cabinets and bookcases to walls to prevent them from falling during an earthquake. Place earthquake fasteners on all high value office equipment.
- Move workstations away from large windows. Install curtains or blinds that can be drawn over windows to prevent glass from shattering onto employees.
- Duplicate and/or separate critical processing functions.
- Find alternate sources for essential raw materials and product components.



## Evaluating Business Operations

Department Name:	
Completed By:	

Application Name:

1. **Organizational Impact:** The loss of this application would have the following effect on the organization:
- Catastrophic       Moderate       Minor

Comments:

2. **How long can your department continue to perform all of its functions without the usual data processing support?** *(Assume that the loss of data processing support occurred during your busiest or peak period.) Check only one.*
- Up to 3 days       Up to 1 week       Up to 1 month       Other:

Comments:

3. **Are there any peak periods for this application?**       Yes       No

If Yes, please indicate:

Day:

Week:

Month(s):

4. **Have you developed/established any backup procedures (manual or otherwise) that can be used to continue operations in the event the application is unavailable?**       Yes       No

If Yes, please indicate when the procedures have been tested:



Use the following codes for the next four questions:

- A. Up to \$10,000
- B. \$10,001 - \$100,000
- C. \$100,001 - \$1,000,000
- D. \$1,000,001 - \$10,000,000
- E. Over \$10,000,000

	Day 1	Day 3	Week 1	Week 2	Week 3
1. The loss of this application would result in lost revenue from fees, collections, interest penalties, etc.					
2. The loss of this application would erode our customer base over a period of time. The cost to the organization from lost business is estimated at:					
3. The loss of this application would result in the following fines and penalties due to regulatory requirements (federal, state, local):					
4. The loss of this application would have legal ramifications due to regulatory statutes, contractual agreements, etc. Specify potential areas of exposure:					



## Business Continuation Response Teams

Management Team	Plant/Office Relocation Team	Transportation Team
Information Technology Team	Plant/Office Equipment and Supplies Team	Customer Relations Team
Telecommunication Team	Site Restoration Team	Media Relations Team
Damage Assessment Team	Security Team	Human Resources Team

## Response Team Action Plan

**Response Team:** Circle one of the above or insert your team name here

Team Members				
Name	Work Phone	Home Phone	Pager	Cell Phone

### Responsibilities:

- 
- 
- 

### Tasks: (Primary Facility)

- 
- 
- 

### Tasks: (Alternate Site)

- 
- 
- 

Contact Information
---------------------




## Sample Response Team Action Plan

### TeleCommunications

Team Members				
Name	Work Phone	Home Phone	Pager	Cell Phone
Fred Doe	555-123-0851	555-789-2339	555-456-4772	555-678-7884
Susan Smith	555-123-0857	555-789-4332	555-456-4791	555-678-4228
Bob Brown	555-123-0863	555-789-2447	555-456-4738	555-678-8664

#### Responsibilities:

- Restoration of telecommunication service at primary facility.
- Initiate telecommunication service at alternate site.

#### Tasks: (Primary Facility)

- Respond to all telecommunication system outages.
- Identify all systems or equipment that need to be repaired or replaced.
- Make a status report to the appropriate management groups and department heads.
- Arrange to have replacement equipment or components installed on a priority basis. (See Contact Information below).
- Initiate the following backup communication procedures until all primary systems are back in service:
  - Initiate preplanned call forwarding procedures.
  - Install analog phone sets at all FAX machine line connections.
  - Designate all nonswitch circuits for critical/essential usage.
  - Activate/designate all available cell phones for critical/essential usage.

#### Tasks: (Alternate Site)

- Notify Rolm to initiate prearranged installation and activation procedures.
- Report status of branch telecommunication to Mike Weber in Home Office.
- Notify Tim Walters in Home Office to determine if shipment of wireless communication equipment is required.
- Upon activation of communication system, call U.S. West to re-route incoming calls to alternate site.

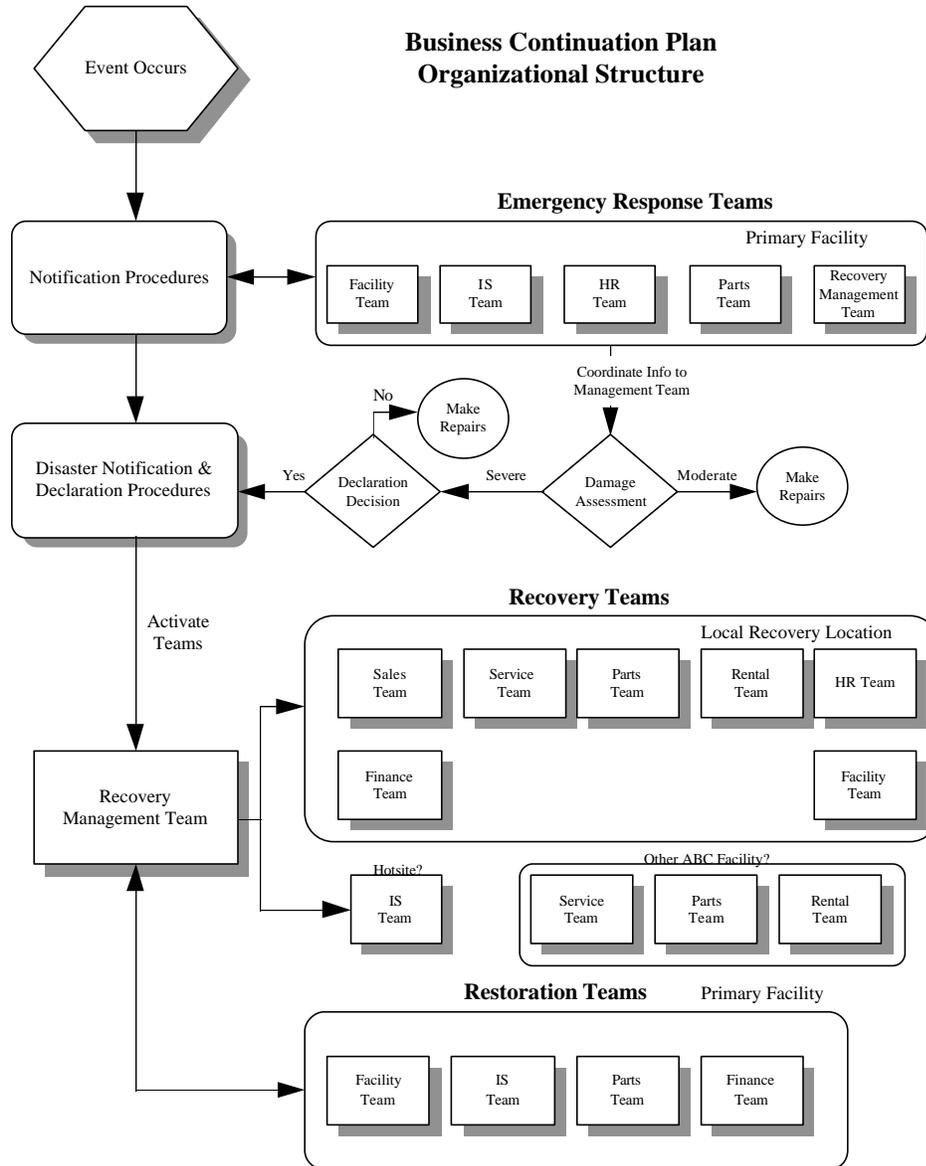
### Contact Information

Rolm: Jim Taylor @ 555-123-2774	Home Office: Tim Walters @ 555-123-5567
U.S. West: Mike Rogers @ 555-123-3990	
Home Office: Mike Weber @ 555-123-5551	



# Sample Business Continuation Planning Flow Chart

Business operations are subject to changing conditions every day. Read on to learn when to consider business continuity activities:





## Business Continuity

Each company uses its own decision-making process to determine how to respond when there is an event. The following describes the process of determining and declaring a disaster or event:

### Notification

Any employee may become aware of a condition or event that has the potential to become an emergency or a disaster. When an employee becomes aware of such a condition or event, contact a supervisor or manager and describe it. The supervisor/manager will use his or her judgment and request appropriate maintenance or repairs or contact a nearby manager as the first step in initiating these Notification Procedures. In the following two instances only, employees may take immediate action in advance of notifying their supervisor or manager:

- Certain medical emergencies may require the employees to instead immediately call 911 in cases of severe emergency, after which the employees will then contact a manager.
- Certain chemical or gas leaks or other requirements for immediate personnel evacuation (with notification of their supervisor or manager on their way out) might also cause the employees to take action prior to notification of superiors.

### Notify Primary Contacts and Advise Them of the Situation

The primary contacts listed below may be notified during a potential emergency.

Name	Office Phone	Home Phone

### Notify Emergency Services

If the situation requires immediate response from emergency services (police, fire department, etc.) either the primary contacts or personnel at the scene directed by them will contact the necessary agencies.

Contacts	Phone
Fire	911 - or -
Police	911 - or -
Ambulance	911 - or -
Hospital	
Poison Control Center	
Chemical Release	
FBI Bomb Squad	



### Conduct Initial Evaluation

The primary contacts conduct an initial evaluation using information provided by personnel on the scene, emergency services or an on-site inspection. If the event does not significantly impact normal business operations, the primary contacts will arrange for necessary repairs and mitigate the emergency.

### Notify Recovery Management Team For Mobilization

If the emergency threatens any of a company's critical business functions or requires additional evaluation, the primary contacts will notify the recovery management team (RMT) leader (or alternate) and provide a brief recap of the situation. The RMT leader contacts team members, mobilizing them to convene at the Command Center to review the situation. It is the team leader's responsibility to contact and mobilize the team.

### Recovery Management Team Members

Name	Office Phone	Home Phone
(Leader)		
(Alternate)		

### Disaster Declaration

The principle criterion for deciding to declare the emergency a disaster will be that the events impact on a company's critical business functions. Review some common critical business functions:

- Information Systems
- Parts
- Human Resources
- Facilities
- Finance
- Rental
- Sales

Consider which additional functions will be necessary to stay in business.

In addition, the following special criteria have been established to assist in the decision:

- Ability to supply products to customers.
- Ability to repair equipment.
- Ability to determine inventory and pending work orders.

In the event that a disaster declaration is unwarranted, the recovery management team will outline recommended action plans and resume operations as well as arrange for any necessary repairs.



### Mobilize Business Recovery Teams

Based on the nature of the disaster, the recovery management team will decide which teams need to be activated. Once this is done, the recovery management team will contact the leaders of these teams and apprise them of the situation. In the event a team leader is not readily available, the alternate will be contacted and will be given responsibility for the mobilization of the remainder of the team including the team leader.

Team	Name	Work Phone	Home Phone

### Notify Employees

If appropriate, all employees and staff not previously notified will be contacted by either Human Resources or the Crisis Communications Team and provided with any pertinent information on the situation or instructions to follow.

### Notify Key Contacts

In addition to Company employees, the following key contacts and vendors should be apprised of the situation as follows:

Key Contact	Phone	Caller	Remarks

### After Declaration

Once a disaster has been declared, the Human Resources Team has the responsibility of notifying all employees not involved in the recovery effort. The RMT will be responsible for ongoing communications with other parties. These include customers, vendors, public agencies and other staff.

In the event that an individual team member cannot be reached, an alternate will be contacted and further efforts to contact that individual will be handed off to the HRT.

### Declaration Cancellation

After the RMT reviews a more detailed damage assessment and receives input from outside authorities, they may choose to cancel the declaration. Once that decision is made, the RMT will begin to notify appropriate personnel.

Not all events are emergencies, and not all emergencies become disasters. A hasty decision to declare a disaster can be more disruptive than the event itself. A timely and appropriate response, however, is necessary to protect the safety of employees and reduce the risk to property.



## **Business Restoration**

Restoration Checklist

Business Resumption Timetable Forms

Tips for Resuming Business in the Wake of a Disaster





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## Business Restoration

The Restoration Plan (RP) is designed to bring the business back to the same level as it was before the disaster. It can be initiated concurrently with the Business Continuation Plan. The BCP provides a good starting point for restoration planning for the following reasons:

- The critical business processes are identified and ranked.
- The resources needed for an alternate site recovery have been listed and quantified.
- Customer, vendor and employee phone lists have been prepared.
- The decision making process to initiate the restoration plan has been authorized.
- Restoration teams have been established and responsibilities assigned.

The purpose of the BCP is to stabilize a company's critical functions immediately after a disaster. The BCP goals are to maintain both revenue streams and customer and vendor contact and to keep the company functional until it is restored to normal operating conditions. The purpose of the Restoration Plan is to return the company to normal operations, as if the disaster never occurred. The goal is to return sales, production and operations to pre-disaster levels.

Restoration Planning requires a myriad of considerations. Many considerations can be implemented prior to a disaster. The actual activities and extent of restoration requirements are dependent upon the extent of damages. It won't always be necessary to build a new facility after a disaster, but it becomes important to plan for this event. Planning for the remote possibility enables your company to be fully prepared for all of the intricacies involved in restoring business operations. A good plan will significantly reduce the time it takes to rebuild the business.

### Proactive Restoration Actions

- Establish a management team with authority and financial responsibility to decide whether the company will *restore, rebuild or relocate* the business operations after a disaster. This is the first major decision after the business continuity recovery plan has been implemented. The Emergency Management Team (EMT) that has been identified in the BCP is generally assigned the responsibility for making the restoration decisions. They will gather information from the Salvage, Facilities, IT, Finance and other BCP teams to facilitate the decision making and the formulation of the action plans.
- Ensure that adequate funding is available for restoration activities.
  - Adequate property insurance – appraisal, equipment and inventory valuations
  - Adequate business income and extra expense insurance
  - Secured credit line
  - Funds allocated for emergencies



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Document procedures for securing building permits or certifying facilities (such as COs, EPA and FDA requirements). Get permits and zoning changes ahead of time.

- Identify any current building code requirements for new construction. Complete any requirements that can be done before the need to build or rebuild arises. The following are examples that may increase the cost of construction:
  - Demolition ordinances such as additional regulations and procedures to protect the public
  - Clean up ordinances for debris like asbestos,
  - Fire protection such as the retrofitting of sprinkler systems
  - American with Disabilities Act (ADA) such as installing elevators,
  - Construction to exceed minimum standards for earthquake, windstorm, flood, etc.
- Identify critical machinery, software, materials and vendors. Develop and document procedures for quick procurement after a disaster.
- Identify specialized production facilities (clean rooms, biohazard labs, etc.). Store updated design, blueprints and architectural drawings offsite.
- Consider any obstacles (such as the availability of building materials) that may increase construction time.
- Develop and document plans to minimize time to reach operational capacity.
- Develop and document business to regain sales and restore revenues to pre-disaster levels.



# Restoration Checklist

Date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Yes = Complete  
 No = Requires Action  
 N/A = Not Applicable

<b>Does your plan have provisions for:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
An Emergency Response Plan (ERP) that has been completed and tested?			
Completing a Business Continuation Plan (BCP) including testing?			
Establishing a Restoration Management Team that is authorized to make decisions?			
A decision-making process for implementing the Restoration Plan?			
Funding restoration activities and formalizing a review of the plan to assure that adequate monies have been allocated to sustaining operations?			
Documenting building permit and facility certification procedures.			
Obtaining building permits or zoning changes before restoration is needed?			
Identifying and documenting new building codes that may increase the cost of reconstruction.			
A listing identifying critical machinery, software, materials and vendors?			
Developing and documenting a list of procedures for quick procurement of machinery, equipment, software, etc.?			
Documenting specialized production facilities and reconstruction plans?			
Reviewing considerations that may increase construction time?			
Considering options that would minimize the time needed to reach pre-disaster operational capacity?			
Outlining plans to return to pre-disaster sales and revenues?			
Checking to verify those facility and equipment designs, drawings and blueprints are part of the Vital Records program and duplicated offsite?			
Identifying and preparing potential relocation sites?			
Implementing established recovery team responsibilities and priorities?			
Assessing facility hazards to ensure safety of all personnel?			
Establishing security at the damaged facility.			
Securing the site: protecting undamaged property, controlling facility access, reactivating facility protection systems, etc.?			
Notifying all employees, vendors, customers and governmental agencies regarding the restoration plans?			
Conducting employee briefings?			
Documenting the decisions made, the damage costs, and the repairs?			
Conducting and documenting salvage operations?			
Taking inventory of all damages?			
Implementing a procedure for restoring equipment and processes?			

**Identify corrective action for all NO responses.**

<b>ACTION NEEDED</b>	<b>COMPLETED</b>	<b>DATE</b>





## Business Resumption Timetables

### Critical Business Functions (CBF) and Return Time Objectives (RTO)

Time Period (< 24 hours)	Time Period (2-4 Days)	Time Period (1 Week)
•	•	•
•	•	•
•	•	•
•	•	•

### Critical Business Function (CBF) Staff Requirements and Locations

Recovery Team or CBF	Alternate Site		Command Center	Employee Homes	Other Site
	Immediate RTO	Short Term RTO			
<b>CBF/Team 1</b>					
Department					
Department					
<b>CBF/Team 2</b>					
Department					
Department					
<b>CBF/Team 3</b>					
Department					
Department					
<b>CBF/Team 4</b>					
Department					
Department					
Department					
<b>Totals</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



**“Sample” Return Time Objective Tables**

**Critical Business Functions (CBF) and RTOs**

<b>Time Period (&lt; 24 hours)</b>	<b>Time Period (2-4 Days)</b>	<b>Time Period (1 Week)</b>
<ul style="list-style-type: none"> <li>• CBF - Call Center</li> <li>• CBF - IS</li> <li>•</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• CBF - Accounting</li> <li>• CBF - HR</li> <li>• CBF - Production</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• CBF - Marketing</li> <li>• CBF - Training</li> <li>•</li> <li>•</li> </ul>

**Critical Business Function (CBF) Staff Requirements and Locations**

<b>Recovery Team or CBF</b>	<b>Alternate Site</b>		<b>Command Center</b>	<b>Employee Homes</b>	<b>Other Site</b>
	<b>Immediate RTO</b>	<b>Short Term RTO</b>			
<b>CBF/Team 1</b>					
Call Center	5	12	1		
Department					
<b>CBF/Team 2</b>					
IS	10	10	1		
Department					
<b>CBF/Team 3</b>					
Production		15	2	10	14
Department					
<b>CBF/Team 4</b>					
Department					
Department					
Department					
<b>Totals</b>	<b>15</b>	<b>37</b>	<b>4</b>	<b>10</b>	<b>14</b>



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## TIPS FOR RESUMING BUSINESS IN THE WAKE OF A DISASTER

### Planning makes the difference

If disaster were to strike, do you wonder how long it would take for your business to return to normal?

In the wake of a disaster, resuming business quickly hinges on effective planning and training *before* the event. A return to normalcy requires collaboration among employees, suppliers, vendors, customers, insurance companies, insurance agents and brokers, government agencies and financial institutions, to name a few.

- Setting priorities for critical business functions is one of the first steps in a disaster recovery planning process. Make sure you haven't overlooked any of the key processes, even such everyday activities as redirecting mail and telephone calls.
- Company records and computer information are critical to your company's ongoing operations. Be disciplined in the regular duplication, back-up and offsite storage of company data. In the event of a disaster, access to these records is of vital importance.
- Establish a disaster recovery team responsible for implementation of your plan.
- In planning, consider the company's immediate needs. How will you handle accounts payable/receivable, vendors, suppliers, customers and employees?
- Contact real estate brokers to identify potential temporary or permanent alternative space that meets process and utility requirements.
- Establish a secured line of credit and other sources of funding for emergency expenses.
- You might want to negotiate reciprocal agreements with competitors, vendors or suppliers for mutual assistance in the event of disaster.
- Work with your insurance agent and carriers to ensure you have adequate coverage for your building and operations. In addition, they may be able to help you develop your disaster recovery plan.
- Test your plan to make sure you have thought of every contingency.

### Communication

In our world of 24-hour news, it becomes increasingly important to plan internal and external communications procedures in the event of a disaster.

- *Employees and customers.* Early messages should come from top management to provide reassurance and share restoration plans. It may be necessary to resume some operations at off-peak business hours or relocate to ensure full access to systems, telephones and other office equipment. Communication vehicles could include 1-800 numbers, your Internet home page and newspaper advertisements.
- *Suppliers and vendors.* Ask for their flexibility and understanding after a disaster occurs. They may be able to provide the company with critical machinery or software, or be willing to establish alternative billing or delivery options until the business is back on its feet. If required, activate any reciprocal agreements negotiated before the event.



- *Government agencies and regulatory authorities.* Establish regular communication to obtain approvals for resuming occupancy of the building or to reconstruct the facility. It may be outside the company's control when and if employees are allowed to reenter the premises. If necessary, adjust plans until the proper clearances are in place.
- *Sources of funding.* As soon as possible, contact your company's sources of funding for restoration activities, beginning with your insurance advisor or insurance carriers for property, business income/extra expense and workers compensation information. Also call your financial institutions to activate your pre-arranged secured line of credit and access any funds set aside for emergencies.

## **Returning to the site and Restoration**

Your first priority is protecting your employees. Once the area is stable, secure the building to limit future loss and inspect it thoroughly before anyone reenters.

- Validate the structural integrity of the building or facility by qualified professionals before employees return to the facility.
- Employees should have access only to those areas that are well-illuminated and free of debris, water, dust or liquid spills.
- Check to make sure the electrical systems, computers and computer cables and telecommunications equipment do not expose anyone to the dangers of electricity. Complete wiring inspections to ensure that all wiring and connections are not in danger due to water damage from rain or fire-fighting efforts.
- Assess water supplies for contamination. Consider that even the slightest contact with contaminated water can lead to illness.
- If there has been water leakage such as flooding, seepage or leaking pipes, take precautions with clean-up and replacement of building materials and equipment. You may want to subcontract operations that your employees are not equipped to perform. Cookware and kitchen utensils that have come into contact with floodwater will require special treatment.
- Check to ensure the atmosphere in the workplace has been tested for asbestos or other chemical/toxic agents.
- Make sure all hazardous materials are safely contained. Using an existing inventory list will enable you to quickly account for all possible materials. Leakage of hazardous materials requires specialized clean-up and disposal, so be sure to address any situations with the proper precautions.
- If there was a power outage during the disaster, investigate the heating, ventilation and air conditioning systems before energizing and pressurizing them. Clean, examine and test safety devices and controls on all equipment.
- Identify current building code requirements including demolition and clean-up ordinances, fire protection and Americans with Disabilities Act requirements. Determine construction minimum standards for such things as earthquake, windstorm or flood protection and obtain necessary permits.

Establish priorities at the designated restoration site by identifying critical business applications and processes needed to stay in business. You cannot resume business without this step. Document all damage including estimates or prices for repair/replacement and outline what is needed to resume operations.

- Implement security procedures at the damaged facility to protect undamaged property. Ensure that access to the facility is controlled and protection systems have been reactivated.



- 
- The operational integrity of safety devices and controls requires testing before the equipment can be returned to working order.
  - Replace all filters on equipment. Dust, debris and chemicals may clog ventilation systems.
  - Use qualified professionals for the inspection of elevators and life safety systems to ensure they are functional.
  - Have the fire and smoke alarms in the building cleaned and tested. Ensure that systems wired into other systems are still compatible and work properly.

## **The human element**

It is important to prepare employees for unanticipated events during an emergency situation. Some suggestions:

- When a disaster happens, everyone involved feels a great deal of anxiety. If possible during restoration, schedule regular meetings with employees to communicate progress.
- Consider providing employee assistance services or engaging a crisis management firm to help employees deal with stress. Realize that everyone handles the emotional issues differently.
- Employees may be assigned different tasks, which may be difficult for them to perform. Provide appropriate training, including the proper selection and use of personal protective equipment such as eyewear, gloves and dust masks/respirators for people who are cleaning and restoring operations.
- When necessary, use the work done in the planning stages to refocus everyone's activities so they support the overall corporate objectives.

If you are looking for more information about disaster planning, we recommend that you review the FEMA website. And, if you would like to talk about disaster readiness for your business, contact your local Chubb loss control representative.

## **The Chubb tradition**

Chubb has been serving the insurance needs of its customers for nearly 120 years. We have grown from a New York-based marine underwriter to a global insurer of both personal and commercial customers with more than \$25 billion in assets and offices worldwide. Other companies have tried to replicate Chubb's reputation for service and expertise, but we remain the carrier of choice for discerning commercial customers. Backed by our hallmark claims philosophy of handling all claims fairly, expediently and with empathy, Chubb offers an innovative approach to commercial insurance needs.



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## Authors Box

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## Appendix

**Department of the Treasury Bureau of Alcohol, Tobacco and Firearms Bomb  
Threat Checklist**

**Emergency Management Guide for Business & Industry**





**Department of the Treasury  
Bureau of Alcohol, Tobacco & Firearms  
BOMB THREAT CHECKLIST**



1. When is the bomb going to explode?
2. Where is the bomb right now?
3. What does the bomb look like?
4. What kind of bomb is it?
5. What will cause the bomb to explode?
6. Did you place the bomb?
7. Why?
8. What is address?
9. What is your name?

**EXACT WORDING OF BOMB THREAT:**

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Sex of caller: \_\_\_\_\_ Race: \_\_\_\_\_  
 Age: \_\_\_\_\_ Length of call: \_\_\_\_\_  
 Telephone number at which call is received: \_\_\_\_\_  
 Time call received: \_\_\_\_\_  
 Date call received: \_\_\_\_\_

**CALLER'S VOICE**

- |                                   |                                   |
|-----------------------------------|-----------------------------------|
| <input type="checkbox"/> Calm     | <input type="checkbox"/> Nasal    |
| <input type="checkbox"/> Soft     | <input type="checkbox"/> Angry    |
| <input type="checkbox"/> Stutter  | <input type="checkbox"/> Loud     |
| <input type="checkbox"/> Excited  | <input type="checkbox"/> Lisp     |
| <input type="checkbox"/> Laughter | <input type="checkbox"/> Slow     |
| <input type="checkbox"/> Rasp     | <input type="checkbox"/> Crying   |
| <input type="checkbox"/> Rapid    | <input type="checkbox"/> Deep     |
| <input type="checkbox"/> Normal   | <input type="checkbox"/> Distinct |

- |   |  |
|---|--|
| <input type="checkbox"/> Slurred  | <input type="checkbox"/> Whispered       |
| <input type="checkbox"/> Ragged   | <input type="checkbox"/> Clearing Throat |
| <input type="checkbox"/> Deep Breathing   | <input type="checkbox"/> Cracking Voice  |
| <input type="checkbox"/> Disguised  | <input type="checkbox"/> Accent          |
| <input type="checkbox"/> Familiar ( <i>If voice is familiar, who did it sound like?</i> ) _____ |  |

**BACKGROUND SOUNDS:**

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Street noises | <input type="checkbox"/> Factory machinery                     |
| <input type="checkbox"/> Voices                   | <input type="checkbox"/> Crockery                              |
| <input type="checkbox"/> Animal noises            | <input type="checkbox"/> Clear                                 |
| <input type="checkbox"/> PA System                | <input type="checkbox"/> Static                                |
| <input type="checkbox"/> Music                    | <input type="checkbox"/> House noises                          |
| <input type="checkbox"/> Long distance            | <input type="checkbox"/> Local                                 |
| <input type="checkbox"/> Motor                    | <input type="checkbox"/> Office machinery                      |
| <input type="checkbox"/> Booth                    | <input type="checkbox"/> Other ( <i>Please specify</i> ) _____ |

**BOMB THREAT LANGUAGE:**

- |  |   |
|--|---|
| <input type="checkbox"/> Well spoken (education) | <input type="checkbox"/> Incoherent                   |
| <input type="checkbox"/> Foul                    | <input type="checkbox"/> Message read by threat maker |
| <input type="checkbox"/> Taped                   | <input type="checkbox"/> Irrational                   |

**REMARKS:**

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**Your name:** \_\_\_\_\_

**Your position:** \_\_\_\_\_

**Your telephone number:** \_\_\_\_\_

**Date checklist completed:** \_\_\_\_\_



# W B I S E

## EMERGENCY MANAGEMENT GUIDE FOR **BUSINESS & INDUSTRY**

A STEP-BY-STEP APPROACH  
TO EMERGENCY PLANNING,  
RESPONSE AND RECOVERY  
FOR COMPANIES OF ALL SIZES



*Sponsored by a Public-Partnership with  
the Federal Emergency Management Agency*