

Risk Control Insights

A Travelers Risk Control Publication

Guiding the way toward helping you reduce risk, prevent loss and save lives



Business Continuity Sample Plan

Attached is a sample plan outline that Travelers has developed to help you build your own Business Continuity Plan.

This document is designed to provide guidance to a wide variety of operations and facilities. It is important to recognize that there are numerous factors that must be addressed as a result of the unique characteristics that distinguish one organization from another and even one facility from another within the same organization.

As a result, it is strongly suggested that this document serve only as a template for beginning your written Business Continuity Plan. It should be custom designed by you and your Agency to reflect your unique operations, geographic location, and any special people needs.

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Business Continuity Plan
for
***(Insert Name and Location
of Your Agency)***

*SAMPLE BUSINESS CONTINUITY AND
DISASTER MANAGEMENT PLAN*

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Form a Team

Establishing the Right Planning Team

Begin the plan development by identifying the members of the planning team.

Name	Area Represented	Telephone #

Planning Team Mission and Authority

The agency is committed to:

- Protecting our employees from injury and loss of income due to a disaster.
- Protection of Agency property and resources.
- The Agency's ability to remain in business if faced with a disaster.

This planning team is responsible for identifying potential threats to our business, and to the safety and well-being of our employees. Once the threat is identified, the team must develop strategies that will minimize the impact the disaster may have on our employees and our business.

- Establish a work schedule and planning deadlines. Timelines can be modified as priorities become more clearly defined.
- The planning team should develop an initial budget for such things as research, printing, seminars, consulting services and other expenses that may be necessary during the plan development process.

Mission Statement

The mission of **AGENCY NAME** Business Continuity Planning Team is to establish and support an on-going contingency planning process to evaluate the impact of significant events that may adversely affect the Agency, its customers, assets, or employees. The team's focus is to develop and maintain a plan designed to ensure that the organization can restore its mission critical functions, and meet its responsibilities to its customers and other stakeholders in a timely manner.

Property protection is a primary goal in our business continuity efforts. Therefore, the mitigation strategies in this guide are intended to reduce the extent of possible loss of functionality in terms of property, equipment and infrastructure that can result in business interruption.

To ensure that our facilities and offices have appropriate plans and procedures in place, which are response-ready in the event of a disaster, we will make a threat/readiness assessment of our facilities, our operations, and personnel. In response to this assessment, we shall prioritize our readiness needs and develop and implement a set of procedures intended to strengthen our readiness capabilities when responding to an event that threatens an interruption in business activity. The plans will be fully tested and periodically reviewed and updated as needed.

The Business Continuity Plan will strive to coordinate crisis response and management across the organization in a uniform manner. The plan will set forth guidelines that incorporate best practices for critical business units throughout the organization. The plan's main functions include:

- Critical Function Assessment – identifies time sensitive, mission critical processes' and recovery time objectives.
- Threat Assessment – identifies vulnerabilities to natural and man-made threats.
- Business Impact Analysis – assesses the overall business impacts and identifies areas that require priority attention.
- Business Continuity Plans – provides business continuity and disaster recovery plans to support the business needs. Plans include crisis management, employee and customer communications, mitigation strategies, alternate site requirements, recovery management, and site-specific checklists.
- Testing – All aspects of the plans should be periodically tested and updated as needed.
- Employee Training and Awareness – This includes promoting awareness, drilling evacuation procedures, and identifying employees' roles in a man-made or natural event.

(President)

(Date)

(Disaster Management Chairperson)

(Date)

Establishing the Right Planning Team

	Estimated Completion Date	Estimated Budget	People Responsible
Threat Assessment			
Identify Critical Functions			
Business Impact Analysis			
Prevention/Mitigation			
Write the Plan			
Implement and Maintain the Plan			

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STEP 1: THREAT ASSESSMENT WORKSHEET

Type of Event	Probability	Impact				Readiness		Total
		Human Impact	Property Impact	Business Impact	Infrastructure Impact	Internal Resources	External Resources	
	High 5↔1 Low	High Impact	5↔1	Low Impact		Weak Strong Resources Resources	5↔1	

The lower the score, the better.

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STEP 2: IDENTIFY CRITICAL FUNCTIONS

List the functions that are necessary to stay in business:	What is the critical timeframe? (choose one)			What is the impact on revenue? (choose one)			How would length of interruption affect function?
	< 72 hrs	3 days-1 month	1 month +	Low	Moderate	High	

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STEP 3: BUSINESS IMPACT ANALYSIS

Type of event: _____ Threat Assessment Worksheet Score: _____

(Refer to the Critical Functions worksheet for needed information)

Critical Functions by Time Priority	Rank High-Medium-Low	Alternative Means In Place to Prevent/Mitigate the Event (Briefly Describe)	Additional Actions to be Taken to Prevent/Mitigate the Event (Yes or No)	Prevention/Mitigation Action Step Sheets (List Action Step Sheet Name/No.)
Vital (< 72 Hours)				

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Critical Functions by Time Priority	Rank High-Medium-Low	Alternative Means In Place to Prevent/Mitigate the Event (Briefly Describe)	Additional Actions to be Taken to Prevent/Mitigate the Event (Yes or No)	Prevention/Mitigation Action Step Sheets (List Action Step Sheet Name/No.)
Essential (3 days-1 month)				

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Critical Functions by Time Priority	Rank High-Medium-Low	Alternative Means In Place to Prevent/Mitigate the Event (Briefly Describe)	Additional Actions to be Taken to Prevent/Mitigate the Event (Yes or No)	Prevention/Mitigation Action Step Sheets (List Action Step Sheet Name/No.)
Secondary (1 month +)				

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STEP 4: PREVENTION / MITIGATION

Sheet Name/No. _____

Prevention / Mitigation Measure: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

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Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

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STEP 4: PREVENTION / MITIGATION

Sheet Name/No. _____

Prevention / Mitigation Measure: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Task: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

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Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

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STEP 4: PREVENTION / MITIGATION

Sheet Name/No. _____

Prevention / Mitigation Measure: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Action: _____

Person Responsible: _____

Date Due: _____ Date Completed: _____ Initials: _____

Emergency Operations Team Responsibilities

Emergency Operations Committee Chairperson's Responsibilities:

The Committee Chairperson is responsible for the proper implementation of this Emergency Operations Plan as it relates to helping to safeguard all employees, visitors and “mission critical” operations on the floors/areas he or she oversees.

The Emergency Operations Chairperson for this facility is

(Name)

(Telephone)

The Emergency Operations Committee Chairperson (or his/her designee) assumes the following responsibilities:

- Participates in any building management meetings concerning Emergency Preparedness and response to disasters, including emergency notification and communication.
- Obtains and thoroughly reviews the building management’s emergency preparedness plan.
- Meets with the Management Committee to discuss the Emergency Operations Plans, including conducting a risk assessment review using the guidance provided in this document, and completing this plan document. Building management’s emergency preparedness plan in combination with this completed plan document constitutes the emergency plan for this facility.
- Ensures that all employees on the floor or area are familiar with the Agency’s and facility’s Emergency Preparedness and Response Plan and that all members of the Emergency Operations Team understand their roles.
- Ensures that there is communication of emergency warnings, watches, and alerts to staff.
- Determines when the Response Mode and/or Evacuation in face of an emergency should be activated and initiates the internal alert. Likewise, determines when preparedness has been completed and when recovery should begin.
- Receives status reports from department heads or other designated personnel.
- Designates an alternate(s) concerning the above responsibilities.

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Sample Plan

Emergency Operations Team Responsibilities

Members of the Emergency Response Team are:

Name	Area Represented	Telephone #
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

The Team members are responsible for the implementation of the Agency's Emergency Operations Plan, including:

Pre-emergency Planning:

- Oversees proper implementation of the Written Plan with respect to items that are at high risk, such as windows, doors, loose hazardous waste cans, and tanks (see checklists for additional detail).
- Oversees evacuation plan during drills, and conducting critiques of each drill with the appropriate individuals (e.g., chairperson and other team members)
- Ensures that employees new to the floor or area are familiar with all the exits, emergency phone numbers, Emergency Evacuation Instruction sheet location and instructions.
- Advises the Emergency Management Committee chairperson of evacuation concerns.

During Preparedness and Evacuation:

- Oversees response mode/preparedness activities.
- Oversees the evacuation of assigned area(s), alerting people, coordinating evacuation, ensures that the disabled are attended to, and oversees the assembling of personnel in the predetermined gathering points as posted in the Emergency Evacuation Instructions.
- Conducts an area search to ensure all personnel are evacuated.
- Reports noteworthy conditions related to the emergency to appropriate emergency response team members.
- Receives "all-clear" notification and conveying to employees.

The Corporate Plan

Should enable you to:

- _____ Identify the person in charge of resumption operations, an alternate leader, and the members of the control group.
- _____ Name the teams and their leaders (with alternates) who will take charge of Employee Relations, Safety and Salvage (including central services), and Information Services and Supply.
- _____ Receive damage reports and document them with photographs. Damage should be considered as structural, non-structural, electrical, mechanical, etc.
- _____ Secure the site and the recovery headquarters to ensure the safety of personnel.
- _____ Retrieve and safeguard vital records.
- _____ Protect the site and equipment against further damage.
- _____ Secure vital information against unauthorized access.
- _____ Communicate essential information to employees and report the situation to senior management.
- _____ Obtain workplace for recovering critical functions.
- _____ Obtain office equipment and supplies.
- _____ Obtain forms and documents.
- _____ Restore essential internal and external communications.
- _____ Deal with public relations and with employee relations.
- _____ Secure safety and health services.
- _____ Begin salvage operations at the site.

Division Plans

Should enable you to:

- _____ List the critical business functions carried out by each division.
- _____ Determine the effect of the loss of each function on the organization as a whole, on the division, on customers, and on vendors.
- _____ Determine at what point an outage becomes critical for each business function.
- _____ Assign priorities to the recovery of the functions and decide how quickly each function has to be resumed after an emergency.
- _____ Determine the personnel and alternates who will perform the critical functions.
- _____ List all resumption personnel and the time frames in which they will be needed. The call list should include job titles, names, addresses, and telephone numbers.
- _____ Notify personnel who are not immediately required for the recovery effort to stay at home until they are recalled.
- _____ Document the procedures currently in use for the critical functions, and describe alternative procedures that would be put into effect after an emergency.
- _____ Determine space needs (e.g., the number of standard workstations and when they are required.)
- _____ Identify office equipment needs.
- _____ Identify space needed for special equipment, and specify non-standard utility requirements.
- _____ Identify needs for proximity of personnel and functions.
- _____ Identify forms and documents that cannot be replaced on an interim basis by plain paper.
- _____ Secure confidential and negotiable documents at the recovery location.
- _____ Identify any special supplies that would be required (e.g., fax paper, rubber stamps, etc.)
- _____ List the business contacts that must be restored and the time frame for doing so.
- _____ List all vital information and the procedures necessary for recalling it after an emergency.
- _____ Safeguard at the recovery site vital information that has been retrieved.
- _____ Safeguard at the recovery site information that is generated during the recovery period.
- _____ Notify customers and vendors of the event and explain when and how orders and deliveries are to be made.

1. Direction and Control

Should enable you to:

- ___ Indicate who is in charge of each emergency or disaster situation.
- ___ Locate the Emergency Operations Center (EOC) and the on-the-scene command posts and identify the personnel assigned to the EOC during an emergency.
- ___ Establish an alternative Emergency Operations Center in case the primary EOC is unable to function.
- ___ Determine the criteria for ordering an evacuation of the facility.
- ___ Identify the individual responsible for issuing evacuation orders and explain how these orders will be announced.
- ___ Establish lines of succession to ensure continuous leadership, authority, and responsibility in key positions.
- ___ Provide logistical support (food, water, lighting, fuel, etc.) for the emergency operations teams.
- ___ Staff and activate the emergency teams in a timely manner.
- ___ Assign operational and administrative support for emergency response activities.
- ___ Summarize the emergency functions, direction and control relationships, and communications systems in a clear and concise manner.
- ___ Follow procedures to protect essential personnel, equipment, and records during an emergency.
- ___ Assign staff to monitor and report the effects of the emergency.

2. Communications

Should enable you to:

- ___ Describe the methods of communication between the EOC and the response teams, and between the EOC and other Agency locations, adjacent businesses, and local government emergency services (fire, police, medical, etc.).
- ___ Detail the communication requirements for emergency response organizations and warning systems.
- ___ Use two-way radio communications between the EOC and the response teams.
- ___ Ensure that the response team members and their alternates know where to obtain communications equipment and how to operate it.
- ___ Recall the communications staff on short notice using lists that contain the name and telephone number(s) of each person.
- ___ Obtain additional telephone services during an emergency.
- ___ Refer to key telephone numbers of emergency assistance organizations.

3. Alerting and Warning

Should enable you to:

- ___ Act on warnings received from the Weather Service and local government.
- ___ Warn employees of an emergency, including special attention to the hearing-impaired or non-English speaking.
- ___ Describe the warning systems that will be used to alert employees of danger (e.g., alarms, paging systems, smoke detectors, and word-of-mouth).
- ___ Use an alternative warning system to backup the primary system.
- ___ Define the responsibilities of departments and personnel, and describe warning-activation procedures.
- ___ Warn local government and nearby establishments of on-site emergencies that might spread outside your facility.
- ___ Request emergency assistance from local government (fire, police, medical, etc.).
- ___ Alert key officials on a 24-hour basis using call-down procedures.
- ___ Test the warning system on a routine basis to ensure that it is functioning properly.

4. Facility Shutdown

Should enable you to:

- ___ Determine under what conditions a shutdown must be considered or must occur.
- ___ Identify who will make the decision to shut down equipment, utilities, or the whole facility.
- ___ Specify who is responsible for carrying out a shutdown. Assign specific roles for shutting off equipment and utilities, and for checking automatic shutoffs. Assign backup roles for each type of shutoff. Require reports of shutdown completion to the EOC.
- ___ Establish a prearranged order or signal to initiate shutdown procedures.
- ___ Follow a comprehensive procedure for an emergency shutdown.
- ___ Use diagrams that show all turn-off control locations.
- ___ Post shutdown instructions on or near the control panels, valves, switches, and operating mechanisms of each piece of equipment.
- ___ Train personnel to implement the emergency shutdown procedures.
- ___ Designate personnel to close doors and windows, tie down or move equipment and supplies to shelter areas, and barricade doors and windows.
- ___ Assign personnel to stand by with fire fighting hoses and equipment to extinguish fires.
- ___ Identify and protect valuable tools, instruments, machinery, materials, and information.
- ___ Protect equipment and material stored outside.
- ___ Test shutdown procedures.

5. Evacuation

Should enable you to:

- _____ Describe the conditions under which an evacuation should be ordered.
- _____ Develop evacuation procedures that avoid other hazards (e.g., fallen high-voltage wires).
- _____ Coordinate site and area evacuations with local government.
- _____ Identify the individual responsible for ordering an evacuation, and establish lines of succession for carrying out evacuation functions.
- _____ Decide under what conditions it would be safe to complete a shutdown before ordering a general evacuation.
- _____ Describe the alerting and communication systems for signaling an impending or immediate evacuation.
- _____ Follow procedures that use search and rescue teams to evacuate personnel when alarms are inoperative.
- _____ Indicate evacuation routes on maps.
- _____ Mark evacuation routes throughout the Agency so that each employee has two escape options.
- _____ Provide adequate lighting for evacuation in stairwells and corridors during a power outage.
- _____ Train all personnel to follow the evacuation routes, routines, and check-in procedures for both neighborhood and site evacuations.
- _____ Assist handicapped employees during an evacuation.
- _____ Ensure that hearing impaired or non-English speakers understand warning signals and know where and how to evacuate the workplace.
- _____ Identify public or Agency-provided re-assembly areas that will shelter evacuees from adverse weather conditions, hazardous materials, etc.
- _____ Assign responsibility to emergency staff for ensuring that all personnel have been evacuated.
- _____ Conduct a roll call to ensure that all employees have been evacuated.
- _____ Identify missing persons.
- _____ Report the status of the facility and any missing persons to Agency and civil authorities following an evacuation.

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5. Evacuation - Continued

- _____ Remove vital records from the site.
- _____ Identify critical equipment to be evacuated and explain how and by whom it will be moved.
- _____ Test evacuation procedures for all facilities.
- _____ Maintain and update the evacuation plan on a regular basis.

6. Shelter

Should enable you to:

- _____ Identify existing shelter space on Agency property or off-site.
- _____ Inform employees of shelter locations.
- _____ Provide directions for moving to shelter in an orderly manner.
- _____ Assign corridor, floor, and building wardens to assist the movement of employees to shelter.
- _____ Decide when evacuees can leave the shelters.

7. Emergency Services

Should enable you to:

- _____ Maintain current notification lists or call trees for each emergency response team.
- _____ Advise employees of the risks associated with handling hazardous materials and of the best methods of protection.
- _____ Obtain the appropriate equipment, instruments, antidotes, and protective clothing for emergency response teams to perform their tasks.
- _____ Ensure that the emergency response teams know when and how to use emergency equipment.
- _____ Establish procedures for the emergency response team members to check for contamination and dispose of contaminated clothing.
- _____ Develop, for each emergency response team, operating procedures that describe how it will accomplish its assigned tasks and how it will deal with hazards.
- _____ Report casualties, damage assessment, and evacuation status to the EOC.
- _____ Direct and coordinate the actions of the emergency response teams during emergency operations.
- _____ Use security services to:
 - Control traffic
 - Protect critical resources
 - Protect property in damaged areas
- _____ Deploy fire/rescue teams in the event of an emergency.
- _____ Store fire-control equipment where it will be accessible despite the effects of hazards.
- _____ Ensure that team members know how to operate rescue equipment and are alert to dangers during emergency operations.
- _____ Set up emergency stations for screening casualties, administering first aid, making identification and casualty records, and arranging for transportation to medical facilities.
- _____ Obtain emergency medical support.
- _____ Provide adequate emergency medical supplies.
- _____ Maintain a resource list that identifies the source, location, and availability of earth-moving equipment, dump trucks, fuel, etc., to support emergency and recovery operations.
- _____ Maintain an adequate water supply after a facility shutdown for drinking, fire fighting, and sanitation.

8. Emergency Information

Should enable you to:

- _____ Assign responsibility for ensuring that all employees understand the warning signals, receive instructions on what to do in an emergency, and know how to reach their disaster stations or shelters.
- _____ Prepare written emergency guidance materials and distribute them to employees. Care should be taken to provide for the visually handicapped and non-English speaking.
- _____ Post safety tips, locations of fire exits, evacuation routes, etc., on bulletin boards and other prominent areas of the building.
- _____ Include emergency activities on the agenda of any regularly held supervisory staff meetings.
- _____ Brief all new employees on the emergency plan and the roles they will be expected to assume.
- _____ Schedule general safety training for all employees and specific training for all response teams.
- _____ Designate an information office to act as the official point of contact during an emergency and a spokesperson for all contact with the media.
- _____ Develop procedures for authenticating and verifying all information received, and for controlling rumors.

9. Supporting Materials

Should include:

- _____ Building floor plans, site plans of buildings and grounds, street maps, and other plans or maps that would be useful during an emergency.
- _____ Charts that show the names, titles, addresses, and telephone numbers of key personnel in the emergency organization.
- _____ Call-up lists of key personnel and their alternates for activating the plan.
- _____ Lists of mutual aid agreements with other companies, including the names and telephone numbers of contacts.

10. Administration and Logistics

Should contain:

- _____ Written concurrence from all agency departments assigned emergency responsibilities.
- _____ Approval and support from the chief executive of the Agency.
- _____ The approval date.
- _____ The name of the office (or individual) that is responsible for maintaining and updating the plan, and for ensuring that changes to the plan are published and distributed.
- _____ An index or table of contents that organizes the emergency information by topic.
- _____ Provision for testing the plan by drills and exercises, and for identifying deficiencies.
- _____ A list of the basic emergency resources available, by source and quantity (e.g., lighting, first-aid and medical supplies, fire fighting equipment, etc.).
- _____ Provision for training response staff to carry out emergency functions.
- _____ Provision for conducting a review after an emergency to determine whether revisions are necessary to improve response operations.

4.0 Recovery Functions

Use the Business Impact Analysis worksheet on page 9 as a guide for completing this section.

List the functions in order of priority; add comments about the functions, and the time frame in which each must be resumed.

Function	Comments	Time frame
1. _____ _____	_____ _____	_____ _____
2. _____ _____	_____ _____	_____ _____
3. _____ _____	_____ _____	_____ _____
4. _____ _____	_____ _____	_____ _____
5. _____ _____	_____ _____	_____ _____
6. _____ _____	_____ _____	_____ _____
7. _____ _____	_____ _____	_____ _____
8. _____ _____	_____ _____	_____ _____
9. _____ _____	_____ _____	_____ _____
10. _____ _____	_____ _____	_____ _____

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4.1 Resumption Strategy

Use this worksheet to develop a strategy for resuming critical functions. Use multiple sheets as required.

Priority number: _____

Function: _____

Strategy for resuming this function:

Priority number: _____

Function: _____

Strategy for resuming this function:

Priority number: _____

Function: _____

Strategy for resuming this function:

4.2 Resources – Critical Personnel

Use this worksheet to identify critical personnel. List the personnel by function, job title, and the number of people required.

1. Immediate Disaster Response (first 72 hours):

Function	Job Title	Number Required
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

2. Initial Recovery Period (3 days to 6 weeks):

Function	Job Title	Number Required
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. Extended Recovery Period (6 weeks to 18 months):

Function	Job Title	Number Required
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

4.3 Resources – Workspace

Use this worksheet to document the amount of workspace required to restore operations. When completed, forward a copy to the Control Group.

	<u>Immediate 72 hrs</u>	<u>Initial 3days-1mo</u>	<u>Extended 1mo-18mo</u>
1. Number of people 7 a.m. - 5 p.m.	_____	_____	_____
Other hours	_____	_____	_____
2. Number of workstations	_____	_____	_____
3. Describe unusual requirements that cannot be met with standard office furniture:	_____		

4. Describe critical space requirements for special equipment:	_____		
	_____sq/ft	_____sq/ft	_____sq/ft

	_____sq/ft	_____sq/ft	_____sq/ft
5. Describe special environmental requirements without which the operation could not function (e.g., air conditioning):	_____		

6. Describe special location requirements (e.g., the need to locate one function adjacent to another, or to locate people within a department adjacent to others):	_____		

4.4 Resources – Office/Communication Equipment

Use this worksheet to list the office and communication equipment needed to restore operations. When completed, send a copy to the Control Group.

	Immediate 72 hrs (Quantity)	Initial 3days-1mo (Quantity)	Extended 1mo-18mo (Quantity)
1. Telephones			
Standard	_____	_____	_____
Cell	_____	_____	_____
2. Laptops			
Standard	_____	_____	_____
Special	_____	_____	_____
3. PCs			
Standard	_____	_____	_____
Special	_____	_____	_____
4. Printers / Faxes			
Make and Model	_____	_____	_____
	_____	_____	_____
5. PDAs			
Make and Model	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
6. Scanners			
Make and Model	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
7. CD/DVD Read/Write			
Make and Model	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
8. Software			
Program Name	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

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4.5 Resources – Forms and Documents

List only those forms and negotiable documents that cannot be replaced by plain paper on a temporary basis.

NOTE: Protect negotiable documents at the recovery site against theft and also against a secondary disaster.

Description	Immediate 72 hrs (Quantity)	Initial 3days-1mo (Quantity)	Extended 1mo-18mo (Quantity)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

4.6 Resources – Special Supplies

All normal office supplies should be relatively readily available after a disaster. List any specialized items that will be needed (e.g., rubber stamps).

Description	Immediate 72 hrs (Quantity)	Initial 3days-1mo (Quantity)	Extended 1mo-18mo (Quantity)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

4.7 Resources – Communications

Following a disaster, normal communication channels may not exist. Some divisions may have to resume immediate contact with specific persons or organizations (internal and/or external). List these contacts, the regular means of communication, and the time frame in which the communication must be resumed.

Contact	Method	Time frame
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

4.8 Resources – Vital Information

After an emergency, business resumption will require retrieval of information that has been identified in advance as "vital" and safeguarded at an off-site location. Use this form to identify vital information, to explain how to retrieve it, and to develop a strategy for ensuring that this information is always **current**.

1. Identify vital information (use one form for each category of information, e.g., accounts payable, accounts receivable, general ledger).

a. Information description/document name:

b. Information media: (paper, CD, DVD, electronic, other)

c. Retrieval equipment: (PC, PDA, software, mainframe, other)

2. Explain when and how to retrieve this vital information.

a. How soon is this information required? _____

b. Where is this information stored? _____

c. How is it identified at the storage location? _____

d. Who are the contact persons at the storage location?

Name:	Telephone Number:
_____	_____
_____	_____
_____	_____

e. Who is authorized to retrieve the vital information?

Primary person: _____

Backup person: _____

3. Describe your plan for updating vital information.

Insert Your Agency Logo Here

Sample Plan

4.9 Employee Notification

Use this form to list the coordinators who will notify employees of disaster recovery plans and tell them when/where they are to report for work. Also list the employees who are to be contacted.

Division Coordinator:

Work Phone

Home Phone

Backup Coordinators:

Employees:

Insert Your Agency Logo Here

Sample Plan

4.10 Vendor Notification

Use this form to list vendors that should be notified following an emergency. Advise them of the recovery locations and changes in scheduled deliveries, etc.

Vendor Company	Contact Person	Phone
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Insert Your Agency Logo Here

Sample Plan

4.11 Customer Notification

Use this form to list customers that should be notified of a disaster. Advise about the recovery efforts/locations and changes in scheduled deliveries, etc.

Customer Company	Contact Person	Phone
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5.0 Implementing and Maintaining the Plan

To ensure that this resumption plan will be effective in a disaster situation, periodic review and testing should be performed. There are many types of tests that can be conducted to ensure that the plan is current and accurate. The following is a summary of various test types and their recommended frequency.

Test Type	Steps	Frequency *
Desk Check	<ol style="list-style-type: none"> 1. Validate names, phone numbers, addresses, etc. 2. Try contacting representatives to ensure that they are aware of the resumption plan. 3. Evaluate process changes and ensure that they are reflected in the plan. 4. Assemble recovery teams and review/update the action plans. 	90 days or whenever a change occurs.
Resource Inspection	<ol style="list-style-type: none"> 5. Go to off-site storage and validate the inventories. 6. Contact/inspect alternate supplier agreements. 7. Contact vendors to ensure that equipment and materials replacement agreements are in place. 	Six months.
Component Test	<ol style="list-style-type: none"> 8. Identify a complete set of plan steps and execute them according to the plan. 9. Schedule the drill along with local emergency response drills. 	One year.
Full Plan Test	<ol style="list-style-type: none"> 10. Execute each step of the plan. 11. Schedule the drill along with local emergency response drills. 	Two years.

*Frequency of drills can be established by corporate guidelines and/or other regulatory requirements.

All drills should conclude with an assessment of the drill activity and final updates to the plan. Once all updates have been made, fresh copies of the plan should be distributed.