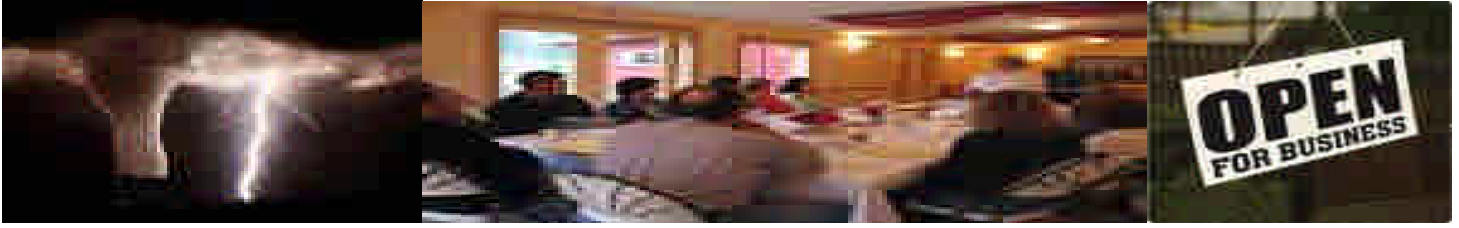


# Rollins 360™ DRP/Business Continuity Planning



The following material is intended as guidance for developing your Disaster Recovery & Business Continuity Plan. It includes the basic components of a Plan and outlines the steps in developing and implementing the Plan. Of course, every business' or organization's risk profile is different, as are the critical functions needed to resume operations after an event, so every Disaster Recovery & Business Continuity Plan is unique.

Critical factors for success lie in the ability to accurately review your capabilities and identify potential hazards. Once your true exposures are known, develop the plan accordingly. However, remember that a Disaster Recovery & Business Continuity Plan is not a static document – be sure to continue to train personnel and revise your plan as [BUSINESS NAME] continues to grow, expand and experience new and increased exposures.

We hope you find this guide helpful and encourage you to contact us if you have any questions.

## *DISCLAIMER*

The materials presented herein are for general reference only. Federal, state or local laws or individual circumstances may require the addition of policies, amendment of individual policies, and/or the entire Plan to meet specific situations. These materials are intended to be used only as guides and should not be used, adopted, or modified without the advice of legal counsel. These materials are presented, therefore, with the understanding that the Company is not engaged in rendering legal, accounting, or other professional service. If legal advice or other expert assistance is required, the services of a competent professional should be sought.



<b><u>PLAN COMPONENTS</u></b> .....	<b>3</b>
<b>PREFACE</b> .....	<b>3</b>
<b>EMERGENCY MANAGEMENT ELEMENTS</b> .....	<b>3</b>
<b>EMERGENCY RESPONSE PROCEDURES</b> .....	<b>3</b>
<b>SUPPORT DOCUMENTS</b> .....	<b>4</b>
<b><u>THE DEVELOPMENT PROCESS</u></b> .....	<b>5</b>
<b>ESTABLISH A PLANNING TEAM</b> .....	<b>5</b>
<b>IDENTIFY CHALLENGES AND PRIORITIZE ACTIVITIES</b> .....	<b>7</b>
<b>ESTABLISH AN AGGRESSIVE TIMELINE WITH SPECIFIC GOALS</b> .....	<b>7</b>
<b>WRITE THE PLAN</b> .....	<b>7</b>
<b>ESTABLISH A TRAINING SCHEDULE–</b> .....	<b>7</b>
<b>COORDINATE WITH OUTSIDE ORGANIZATIONS</b> .....	<b>7</b>
<b>MAINTAIN CONTACT WITH OTHER CORPORATE OFFICES</b> .....	<b>7</b>
<b>REVIEW, CONDUCT TRAINING AND REVISE</b> .....	<b>8</b>
<b>SEEK FINAL APPROVAL</b> .....	<b>8</b>
<b>DISTRIBUTE THE PLAN</b> .....	<b>8</b>
<b><u>WRITING YOUR BUSINESS CONTINUITY PLAN</u></b> .....	<b>9</b>
<b>ANALYZE CAPABILITIES AND HAZARDS</b> .....	<b>9</b>
<b>CONDUCT A VULNERABILITY ANALYSIS</b> .....	<b>11</b>
<b>VULNERABILITY ANALYSIS CHART</b> .....	<b>15</b>
<b>WRITE THE PLAN</b> .....	<b>19</b>
<b><u>IMPLEMENT THE PLAN</u></b> .....	<b>21</b>
<b>INTEGRATE THE PLAN INTO COMPANY OPERATIONS</b> .....	<b>21</b>
<b>CONDUCT TRAINING, DRILLS AND EXERCISES</b> .....	<b>21</b>
<b>TRAINING DRILLS AND EXERCISES TIMELINE</b> .....	<b>23</b>
<b>EVALUATE AND MODIFY THE PLAN</b> .....	<b>24</b>
<b><u>BUSINESS CONTINGENCY PLAN</u></b> .....	<b>26</b>



## **PLAN COMPONENTS**

### ***Preface***

The preface gives a brief overview of: the purpose and objectives of the plan. It can also briefly describe the facility's emergency management policy; authorities and responsibilities of key personnel; the types of emergencies that could occur; and where response operations will be managed.

### ***Emergency Management Elements***

This section of the plan briefly describes your approach to the core elements of emergency management, which are:

- Direction and control
- Communications
- Life safety
- Property protection
- Community outreach
- Recovery and restoration
- Administration and logistics.

These elements are the foundation for the emergency procedures that your facility will follow to protect personnel and equipment, and resume operations.

### ***Emergency Response Procedures***

The procedures spell out how the facility will respond to emergencies. Whenever possible, develop them as a series of checklists that can be quickly accessed by senior management, department heads, response personnel and employees.

Determine what actions would be necessary to:

- Assess the situation;
- Protect employees, customers, visitors, equipment, vital records and other assets, particularly during the first three days; and
- Get the business back up and running.

Specific procedures might be needed for any number of situations such as bomb threats or tornadoes, and for such functions as:

- Warning employees and customers
- Communicating with personnel and community responders
- Conducting an evacuation and accounting for all persons in the facility
- Managing response activities
- Activating and operating an emergency operations center
- Fighting fires
- Shutting down operations
- Protecting vital records
- Restoring operations



### **Support Documents**

Documents that could be needed in an emergency include:

- Emergency call lists — lists (wallet size if possible) of all persons on and off site who would be involved in responding to an emergency, their responsibilities and their 24-hour telephone numbers
- Building and site maps that indicate:
  - Utility shutoffs
  - Water hydrants
  - Water main valves
  - Water lines
  - Gas main valves
  - Gas lines
  - Electrical cutoffs
  - Electrical substations
  - Storm drains
  - Sewer lines
  - Location of each building (include name of building, street name and number)
  - Floor plans
  - Alarm and enunciators
  - Fire extinguishers
  - Fire suppression systems
  - Exits
  - Stairways
  - Designated escape routes
  - Restricted areas
  - Hazardous materials (including cleaning supplies and chemicals)
  - High-value items
- Resource lists — Lists of major resources (equipment, supplies, services) that could be needed in an emergency; mutual aid agreements with other companies and government agencies.



## **THE DEVELOPMENT PROCESS**

### ***Establish a Planning Team***

There must be an individual or group in charge of developing the emergency management plan. The following are guidelines for making the appointment.

#### Form the Team.

The size of the planning team will depend on the facility's operations, requirements, and resources. Usually involving a group of people is best because:

- It encourages participation and gets more people invested in the process.
- It increases the amount of time and energy participants are able to give.
- It enhances the visibility and stature of the planning process.
- It provides for a broad perspective on the issues.

Determine who can be an active member and who can serve in an advisory capacity. In most cases, one or two people will be doing the bulk of the work. At the very least, you should obtain input from all functional areas. Remember:

- Upper management
- Line management
- Labor
- Human resources
- Engineering and maintenance
- Safety, health, and environmental affairs
- Public information officer
- Security
- Community relations
- Sales and marketing
- Legal
- Finance and purchasing

Have participants appointed in writing by upper management. Their job descriptions could also reflect this assignment.

#### Establish Authority.

Demonstrate management's commitment and promote an atmosphere of cooperation by "authorizing" the planning group to take the steps necessary to develop a plan. The chief executive or the plant manager should lead the group. Establish a line of authority between group members and the group leader that is clear, but not so rigid as to prevent the free flow of ideas.

#### Issue a Mission Statement.

Have the chief executive or plant manager issue a mission statement to demonstrate the company's commitment to emergency management. The statement should:

- Define the purpose of the plan and indicate that it will involve the entire organization, and
- Define the authority and structure of the planning group.



## BUSINESS CONTINGENCY PLANNING TEAM

The following individuals are designated plan coordinators for their respective departments and are responsible for the execution of this plan in a qualified disaster.

Name	Title	Phone	E-mail
	Plan Coordinator		
	Sr. Management		
	Line Management		
	Human Resources		
	Safety Director		
	Security		
	Community Relations		
	Sales/Marketing		
	Finance		
	Legal		
	Insurance		
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### **Identify challenges and prioritize activities**

Determine specific goals and milestones. Make a list of tasks to be performed, by whom and when. Determine how you will address problem areas and resource shortfalls.

### **Establish an aggressive timeline with specific goals**

Provide enough time for completion of work, but not so much as to allow assignments to linger. Establish a schedule for:

- a. First draft
- b. Review
- c. Second draft
- d. Conduct tabletop exercise (see step 7)
- e. Final draft
- f. Printing
- g. Distribution

### **Write the Plan**

Assign each member of the planning group a section to write. Determine the most appropriate format for each section. Refer to the following section, *Writing Your Business Continuity Plan*, for more information.

### **Establish a training schedule-**

Have one person or department responsible for developing a training schedule for your facility.

### **Coordinate with outside organizations**

Meet periodically with local government agencies and community organizations. Inform appropriate government agencies that you are creating an emergency management plan. While their official approval may not be required, they will likely have valuable insights and information to offer.

Determine State and local requirements for reporting emergencies, and incorporate them into your procedures.

Determine protocols for turning control of a response over to outside agencies. Some details that may need to be worked out are:

- a. Which gate or entrance will responding units use?
- b. Where and to whom will they report?
- c. How will they be identified?
- d. How will facility personnel communicate with outside responders?
- e. Who will be in charge of response activities?

Determine what kind of identification authorities will require to allow your key personnel into your facility during an emergency.

### **Maintain contact with other corporate offices**

Communicate with other offices and divisions in your company to learn:

- a. Their emergency notification requirements
- b. The conditions where mutual assistance would be necessary
- c. How offices will support each other in an emergency



- d. Names, telephone numbers and pager numbers of key personnel

Incorporate this information into your procedures.

**Review, conduct training and revise**

Distribute the first draft to group members for review. Revise as needed. For a second review, conduct a tabletop exercise with management and personnel who have a key emergency management responsibility. In a conference room setting, describe an emergency scenario and have participants discuss their responsibilities and how they would react to the situation. Based on this discussion, identify areas of confusion and overlap, and modify the plan accordingly.

**Seek final approval**

Arrange a briefing for the chief executive officer and senior management and obtain written approval.

**Distribute the plan**

Place the final plan in three-ring binders and number all copies and pages. Each individual who receives a copy should be required to sign for it and be responsible for posting subsequent changes.

Determine which sections of the plan would be appropriate to show to government agencies (some sections may refer to corporate secrets or include private listings of names, telephone numbers or radio frequencies). Distribute the final plan to:

- a. Chief executive and senior managers
- b. Key members of the company's emergency response organization
- c. Company headquarters
- d. Community emergency response agencies (appropriate sections)

Have key personnel keep a copy of the plan in their homes. Inform employees about the plan and training schedule.

Consolidate emergency plans for better coordination. Stand-alone plans such as Spill Prevention Control and Countermeasures, fire protection plan or safety and health plan, should be incorporated into one comprehensive plan.





## **WRITING YOUR BUSINESS CONTINUITY PLAN**

### ***Analyze Capabilities and Hazards***

This step entails gathering information about current capabilities and possible hazards and emergencies, and then conducting a vulnerability analysis to determine the facility's capabilities for handling emergencies.

#### **Where Do You Stand Right Now?**

Review internal plans and policies. Documents to look for include:

- Evacuation plan
- Fire protection plan
- Safety and health program
- Environmental policies
- Security procedures
- Insurance programs
- Finance and purchasing procedures
- Plant closing policy
- Employee manuals
- Hazardous materials plan
- Process safety assessment
- Risk management plan
- Capital improvement program
- Mutual aid agreements

**Meet with Outside Groups** - Meet with government agencies, community organizations, and utilities. Ask about potential emergencies and about plans and available resources for responding to them. Sources of information include:

- Community emergency management office
- Mayor or community administrator's office
- Local Emergency Planning Committee (LEPC)
- Fire department
- Police department
- Emergency medical services organizations
- American Red Cross
- National Weather Service
- Public works department
- Planning commission
- Telephone companies
- Electric utilities
- Neighboring businesses

**Identify Codes and Regulations** - Identify applicable federal, state, and local regulations such as:

- Occupational safety and health regulations
- Environmental regulations
- Fire codes
- Seismic safety codes
- Transportation regulations
- Zoning regulations
- Corporate policies.



Identify Critical Products, Services, and Operations - You'll need this information to assess the impact of potential emergencies and to determine the need for backup systems. Areas to review include:

- Company products and services, and the facilities and equipment needed to produce them.
- Products and services provided by suppliers, especially sole source vendors.
- Lifeline services such as electrical power, water, sewer, gas, telecommunications and transportation.
- Operations, equipment and personnel vital to the continued functioning of the facility.

Identify Internal Resources and Capabilities - Resources and capabilities that could be needed in an emergency include:

- Personnel - fire brigade, hazardous materials response team, emergency medical services, security, emergency management group, evacuation team and public information officer.
- Equipment - fire protection and suppression equipment, communications equipment, first aid supplies, emergency supplies, warning systems, emergency power equipment and decontamination equipment.
- Facilities - emergency operating center, media briefing area, shelter areas, first-aid stations and sanitation facilities.
- Organizational capabilities - training, evacuation plan and employee support system.
- Backup systems arrangements with other facilities to provide for the following:
  - Payroll
  - Communications
  - Production
  - Customer services
  - Shipping and receiving
  - Information systems support
  - Emergency power
  - Recovery support

Identify External Resources - There are many external resources that could be needed in an emergency. In some cases, formal agreements may be necessary to define the facility's relationship with the following:

- Local emergency management office
- Fire department
- Hazardous materials response organization
- Emergency medical services
- Hospitals
- Local and state police
- Community service organizations
- Utilities
- Contractors
- Suppliers of emergency equipment
- Insurance carriers



### **Conduct a Vulnerability Analysis**

The next step is to assess the vulnerability of your facility, the probability and potential impact of each emergency. Use the Vulnerability Analysis Chart to guide the process, which entails assigning probabilities, estimating impact, and assessing resources using a numerical system. The lower the score, the better.

#### List Potential Emergencies –

In the first column of the chart, list all emergencies that could affect your facility, including those identified by your local emergency management office. Consider both:

- Emergencies that could occur within your facility, and
- Emergencies that could occur in your community.

Below are some other factors to consider:

- Historical - What types of emergencies have occurred in the community, at this facility, and at other facilities in the area?
  - Fires
  - Severe weather
  - Hazardous material spills
  - Transportation accidents
  - Earthquakes
  - Hurricanes
  - Tornadoes
  - Terrorism
  - Utility outages
- Geographic - What can happen as a result of the facility's location? Keep the following in mind:
  - Proximity to flood plains, seismic faults and dams
  - Proximity to companies that produce, store, use, or transport hazardous materials
  - Proximity to major transportation routes and airports
  - Proximity to nuclear power plants
- Technological - What could result from a process or system failure? Possibilities include:
  - Fire, explosion, hazardous materials incident
  - Safety system failure
  - Telecommunications failure
  - Computer system failure
  - Power failure
  - Heating/cooling system failure
  - Emergency notification system failure
- Human Error - What emergencies can be caused by employee error? Are employees trained to work safely? Do they know what to do in an emergency? Human error is the single largest cause of workplace emergencies and can result from:
  - Poor training
  - Poor maintenance
  - Carelessness
  - Misconduct
  - Substance abuse
  - Fatigue



- Physical - What types of emergencies could result from the design or construction of the facility? Does the physical facility enhance safety? Consider the following:
  - The physical construction of the facility
  - Hazardous processes or byproducts
  - Facilities for storing combustibles
  - Layout of equipment
  - Lighting
  - Evacuation routes and exits
  - Proximity of shelter areas
- Regulatory - What emergencies or hazards are you regulated to deal with? Analyze each potential emergency from beginning to end. Consider what could happen as a result of:
  - Prohibited access to the facility
  - Loss of electric power
  - Communication lines down
  - Ruptured gas mains
  - Water damage
  - Smoke damage
  - Structural damage
  - Air or water contamination
  - Explosion
  - Building collapse
  - Trapped persons
- Chemical release

Estimate Probability –

In the Probability column, rate the likelihood of each emergency's occurring. This is a subjective consideration, but useful nonetheless. Use a simple scale of 1 to 5 with 1 as the lowest probability and 5 as the highest.

Assess the Potential Human Impact –

Analyze the potential human impact of each emergency, e.g., the possibility of death or injury. Assign a rating in the Human Impact column of the Vulnerability Analysis Chart. Use a 1 to 5 scale with 1 as the lowest impact and 5 as the highest.

Assess the Potential Property Impact –

Consider the potential property for losses and damages. Again, assign a rating in the Property Impact column, 1 being the lowest impact and 5 being the highest. Consider the following:

- Cost to replace
- Cost to set up temporary replacement
- Cost to repair

Assess the Potential Business Impact –

Consider the potential loss of market share. Assign a rating in the Business Impact column. Again, 1 is the lowest impact and 5 is the highest. Assess the impact of:

- Business interruption
- Employees unable to report to work
- Customers unable to reach facility
- Company in violation of contractual agreements



- Imposition of fines and penalties or legal costs
- Interruption of critical supplies
- Interruption of product distribution

Assess Internal and External Resources –

Next, assess your resources and ability to respond. Assign a score to your Internal Resources and External Resources. The lower the score, the better. To help you do this, consider each potential emergency from beginning to end and each resource that would be needed to respond. For each emergency ask these questions:

- Do we have the needed resources and capabilities to respond?
- Will external resources be able to respond to us for this emergency as quickly as we may need them, or will they have other priority areas to serve?

If the answers are yes, move on to the next assessment. If the answers are no, identify what can be done to correct the problem. For example, you may need to:

- Develop additional emergency procedures
- Conduct additional training
- Acquire additional equipment
- Establish mutual aid agreements
- Establish agreements with specialized contractors

Review the Results –

Totals will automatically be ranked for each emergency – the lower the score, the better. While this is a subjective rating, the comparisons will help determine planning and resource priorities, the subject of the pages to follow.



TYPE OF EMERGENCY	Probability	Human Impact	Property Impact	Business Impact	Internal Resources	External Resources	Total
							0
							0
							0
							0
							0
							0
							0
							0
							0
							0



						Overall Results	0
--	--	--	--	--	--	-----------------	---

*The lower the score the better*

V  
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## nerability Analysis Chart



## **Write the Plan**

You are now ready to develop an emergency management plan.

Remember, in an emergency, all personnel should know:

- What is my role?
- Where should I go?

Some facilities are required to develop:

- Emergency escape procedures and routes
- Procedures for employees who perform or shut down critical operations before an evacuation
- Procedures to account for all employees, visitors, and contractors after an evacuation is completed
- Rescue and medical duties for assigned employees
- Procedures for reporting emergencies
- Names of persons or departments to be contacted for information regarding the plan

The draft plan at the end of this guide is intended only as a starting point and framework. It may contain material that does not apply to your organization's exposures, and it may lack key components dictated by your specific needs.

## Tips on Writing

- Assume the reader knows nothing: When you begin to prepare instructions for processes you know inside and out, you will need to consciously take a step back and approach the material from a new angle. Start at square one by assuming the audience will have zero knowledge of the subject matter.
- Brainstorm, then outline: Before writing the text, use a whiteboard or large piece of paper to capture all the info and action items that need to be addressed – then create a high-level outline to organize the process into logical steps. This will help you make sure your process makes sense, that each section of the manual is consistently structured, and that you haven't left something out.
- Make it easy to understand: Break instructions into short, simple steps. Lists are a great way to outline steps for doing something because they can help people move item by item in the way you intend. It's also a good idea to use a table of contents and make your document searchable, if possible, to further support your step-by-step approach.
- Although many people will likely contribute to the writing process, strive for consistency of style. For example, use "If" to denote something that may or may not occur; "when" to denote something that should occur. For example: "If the dial moves into the red zone, stop" and "When the dial moves into the red zone, stop."
- While many parts of the Plan will require step-by-step process, some areas will not have to follow a particular set of steps. In those sections, it still helps to find a logical organization for your information. Sometimes it makes sense to go from general to specific. In other instances, stack a series of specifics to build to the big picture. If you are using this building block approach, give your readers a vision of what they are building before you give them the first specific.
- Be brief: It's tempting to want to explain everything in fine detail since it's material you know so well, but stick with only what the recipient needs to know. Focus on using only as many words as necessary to get your point across.





- Use visual aids: Checklists, charts and diagrams are a great way to organize information and make it easier to update. Keep the formatting of these supporting materials consistent and to the point to avoid overwhelming the reader.
- Give it a test drive: Or better yet, have someone else who has never seen the material before run through the instructions. Take their feedback and use it to fine tune your manual. follow the instructions yourself as you wrote them. Then have someone from your target group follow them. If your subject is not physical, have another specialist in your field check what you've written.



## **IMPLEMENT THE PLAN**

Implementation means more than simply exercising the plan during an emergency. It means acting on recommendations made during the vulnerability analysis, integrating the plan into company operations, training employees and evaluating the plan.

### ***Integrate the Plan into Company Operations***

Emergency planning must become part of the corporate culture.

Look for opportunities to build awareness, educate and train personnel, and test procedures. Involve all levels of management, all departments, and the community in the planning process. Make emergency management part of what personnel do on a day-to-day basis.

Test how completely the plan has been integrated by asking:

- How well does senior management support the responsibilities outlined in the plan?
- Have emergency planning concepts been fully incorporated into the facility's accounting, personnel, and financial procedures?
- How can the facility's processes for evaluating employees and defining job classifications better address emergency management responsibilities?
- Are there opportunities for distributing emergency preparedness information through corporate newsletters, employee manuals, or employee mailings?
- What kinds of safety posters or other visible reminders would be helpful?
- Do personnel know what they should do in the event of an emergency?
- How can all levels of the organization be involved in evaluating and updating the plan?

### ***Conduct Training, Drills and Exercises***

Everyone who works at or visits the facility requires some form of training. This could include periodic employee discussion sessions to review procedures, technical training in equipment use for emergency responders, evacuation drills or full-scale exercises. Below are basic considerations for developing a training plan.

#### Planning Considerations.

Assign responsibility for developing a training plan. Consider the training and information needs for employees, contractors, visitors, managers, and those with an emergency response role identified in the plan.

Determine for a 12-month period:

- Who will be trained?
- Who will do the training?
- What training activities will be used?
- When and where will each session take place?
- How will the session be evaluated and documented?

Use the Training Drills and Exercises Chart to schedule training activities or create one of your own.

Consider how to involve community responders in training activities.



Conduct reviews after each training activity. Involve both personnel and community responders in the evaluation process.

#### Training Activities.

Training can take many forms such as:

- Orientation and Education Sessions. These are regularly scheduled discussion sessions to provide information, answer questions, and identify needs and concerns.
- Tabletop Exercise. Members of the emergency management group meet in a conference room setting to discuss their responsibilities and how they would react to emergency scenarios. This is a cost-effective and efficient way to identify areas of overlap and confusion before conducting more demanding training activities.
- Walk-through Drill. The emergency management group and response teams actually perform their emergency response functions. This activity generally involves more people and is more thorough than a tabletop exercise.
- Functional Drills. These drills test specific functions such as medical response, emergency notifications, warning and communications procedures, and equipment, though not necessarily at the same time. Personnel are asked to evaluate the systems and identify problem areas.
- Evacuation Drill. Personnel walk the evacuation route to a designated area where procedures for accounting for all personnel are tested. Participants are asked to make notes as they go along of what might become a hazard during an emergency, e.g., stairways cluttered with debris, smoke in the hallways. Plans are modified accordingly.
- Full-scale Exercise. A real-life emergency situation is simulated as closely as possible. This exercise involves company emergency response personnel, employees, management, and community response organizations.

#### Employee Training.

General training for all employees should address the following:

- Individual roles and responsibilities
- Information about threats, hazards and protective actions
- Notification, warning and communications procedures
- Means for locating family members in an emergency
- Emergency response procedures
- Evacuation, shelter and accountability procedures
- Location and use of common emergency equipment
- Emergency shutdown procedures

The scenarios developed during the vulnerability analysis can serve as the basis for training events.

OSHA training requirements are a minimum standard for many facilities that have a fire brigade, hazardous materials team, rescue team or emergency medical response team.



# Training Drills and Exercises Timeline

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
Management Orientation - Review												
Employee Orientation												
Contractor Orientation												
Community - Media Orientation												
Management Tabletop Exercise												
Response Team Tabletop Exercise												
Walk-Through Drill												
Functional Drills												
Evacuation Drill												
Full-Scale Exercise												

Source: Federal Emergency Management Agency (FEMA)



### **Evaluate and Modify the Plan.**

Conduct a formal audit of the entire plan at least once a year. Among the issues to consider are:

- How can you involve all levels of management in evaluating and updating the plan?
- Are the problem areas and resource shortfalls identified in the vulnerability analysis being sufficiently addressed?
- Does the plan reflect lessons learned from drills and actual events?
- Do members of the emergency management group and emergency response team understand their respective responsibilities? Have new members been trained?
- Does the plan reflect changes in the physical layout of the facility? Does it reflect new facility processes?
- Are photographs and other records of facility assets up-to-date?
- Is the facility attaining its training objectives?
- Have the hazards in the facility changed?
- Are the names, titles, and telephone numbers in the plan current?
- Are steps being taken to incorporate emergency management into other facility processes?
- Have community agencies and organizations been briefed on the plan? Are they involved in evaluating the plan?

In addition to a yearly audit, evaluate and modify the plan at these times:

- After each training drill or exercise
- After each emergency
- When personnel or their responsibilities change
- When the layout or design of the facility changes
- When policies or procedures change

Remember to brief personnel on changes to the plan and conduct a formal audit of the entire plan at least once a year.



Evaluating and Modifying the Business Contingency Plan

[BUSINESS NAME] conducts a formal audit of its entire plan at least once a year on *[insert date here]*. The issues to consider when reviewing our current plan include:

	YES	NO
Are the problem areas and resource shortfalls identified in the vulnerability analysis being sufficiently addressed?		
Does the plan reflect lessons learned from drills and actual events?		
Do members of the emergency management group and emergency response team understand their respective responsibilities? Have new members been trained?		
Does the plan reflect changes in the physical layout of the facility? Does it reflect new facility processes?		
Are photographs and other records of facility assets up to date?		
Is the facility attaining its training objectives?		
Have the hazards in the facility changed?		
Are the names, titles and telephone numbers in the plan current?		
Are steps being taken to incorporate emergency management into other facility processes?		
Have community agencies and organizations been briefed on the plan? Are they involved in evaluating the plan?		

In addition to a yearly audit, [BUSINESS NAME] will evaluate and modify the plan at these times:

- After each training drill or exercise
- After each emergency
- When personnel or their responsibilities change
- When the layout or design of the facility changes
- When policies or procedures change
- Remember to brief personnel on changes to the plan





COMPANY/ORGANIZATION NAME

DRAFT

# BUSINESS CONTINGENCY PLAN

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EFFECTIVE DATE: January 1, 2011



## PREFACE

The purpose of this plan is to define the recovery process developed to restore [BUSINESS NAME]'s critical business functions. The plan components detail [BUSINESS NAME]'s procedures for responding to an emergency situation, which affects [BUSINESS NAME]'s ability to deliver core services to our customers or our ability to meet investors, legal or regulatory requirements.

### Objectives of the Plan

- Facilitate timely recovery of core business functions
- Protect the well being of our employees, their families and customers
- Minimize loss of revenue/customers
- Maintain public image and reputation
- Minimize loss of data
- Minimize the critical decisions to be made in a time of crisis

The following Business Contingency Plan and all related procedures are approved by the president and senior management of [BUSINESS NAME] effective the date signed below.

\_\_\_\_\_  
Name – Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name – Title

\_\_\_\_\_  
Date





## **DIRECTION & CONTROL: PLAN ACTIVATION**

### **Emergency Alert**

In the event that a situation or disaster occurs at [BUSINESS NAME], the Business Contingency Planning Team is responsible for contacting the Management Team and assessing the emergency situation.

An Alert will be sent to all Department Heads. Status updates will be provided by the Business Contingency Planning Team to the Department Heads for dissemination of pertinent information.

### **Damage Assessment**

During the damage assessment phase, the Business Contingency Planning Team will identify specifically who and what has been affected by the disaster. The Business Contingency Planning Team will evaluate the event that has occurred and determine what Department Heads will be required to respond to the situation. The decision to activate the disaster recovery plan for the affected areas may be made at this point or after notification and review with the Business Contingency Planning Team.

As part of the damage assessment process, the risk assessment to the business will be evaluated. Considerations of engaging temporary facilities, equipment and vendors will be reviewed and a determination to enact recovery procedures will be determined by the Business Contingency Planning Team and Department Heads.

If after assessment it is determined that activation of the recovery plan is required, notification to the Executive Team will be made. An authorized individual will immediately notify the affected site that the disaster has been DECLARED.



## BUSINESS CONTINGENCY PLANNING TEAM

The following individuals are designated plan coordinators for their respective departments and are responsible for the creation, and periodic review and updating/amending of this plan, as well as ensuring that all personnel are trained appropriately.

Name	Title	Phone	E-mail
	Plan Coordinator		
	Sr. Management		
	Line Management		
	Human Resources		
	Safety Director		
	Security		
	Community Relations		
	Sales/Marketing		
	Finance		
	Legal		
	Insurance		
Erica Martinson	Director of Risk Management Services, The Rollins Agency, Inc.	P 914-406-8313	emartinson@rollinsinsurance.com





## BUSINESS RECOVERY TEAM

The following individuals are designated as the leaders for their respective departments during the period after the immediate concerns of life safety, property protection have been completed, and are responsible for coordinating and overseeing the process of resuming operations and returning the organization to full operation.

Name	Title	Phone	E-mail
	Plan Coordinator		
	Sr. Management		
	Line Management		
	Human Resources		
	Safety Director		
	Security		
	Community Relations		
	Sales/Marketing		
	Finance		
	Legal		
	Insurance		
Erica Martinson	Director of Risk Management Services, The Rollins Agency, Inc.	P 914-406-8313	emartinson@rollinsinsurance.com



## Disaster Declarations Procedures

The following individuals, in the order shown, are authorized to declare a disaster for [BUSINESS NAME]:

*List the individual's name, title and emergency contact phone number. (May include members of the Business Continuity Planning, Emergency Response and/or Recovery Team, and/or other key personnel.)*

Name and Title

Phone

- *Insert name/title here*
- *Insert name/title here*
- *Insert name/title here*
- *Insert name/title here*
- *Insert name/title here*

To declare a disaster, execute the following procedures (*outline procedures on how to declare a disaster below*):



## Disaster Procedures Checklist

<b>Action</b>	<b>By whom</b>	<b>Comments</b>	<b>Check when done</b>
1. Receive Communication on emergency situation	Bus Cont Planning Team Leader	log time	
2. Contact [BUSINESS NAME] Business Contingency Planning Team and Department Team Leader	Bus Cont Planning Team Leader	log time	
3. Contact temporary facilities site and alert them that disaster may be declared.	Bus Cont Planning Team Leader		
4. Assess Damage	Bus Cont Planning Team & Dept Heads	Network Equipment Building Employees	
5. Estimate Length of Outage	Bus Cont Planning Team & Dept Heads	Length of outage < 1 Hour > 1 Hour - , < 2 hours > 2 hours, <12 hours >12 hours, < 24 hours >24 hours, <48 hours >48 hours Unknown	
6. Estimate Business Risk	Bus Cont Planning Team & Dept Heads		
7. Make Decision. If no declaration then contact the temporary facilities site and inform them alert is over If decision is to declare, proceed to step 8.	Bus Cont Planning Team & Dept Heads		
8. Declare Disaster, notify Executive Team immediately and declare disaster at site operations	Business Contingency Planning Team	Log time	
9. Notify Emergency Response Team Leader identified in Emergency Notification List	Mgmt Team LEADER	Log time	
10. Activate Command Center	Business Contingency Planning Team	Log time	
11. Report to Command Center	Business Contingency Planning Team	Log time	





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City:  
State and Zip:



## Notification Scripts

This procedure is to be used by all [BUSINESS NAME] Company employees when contacting other employees at home to notify them of the occurrence of a disaster.

The purpose of this procedure is to standardize the information given to employees regarding a disaster and to prevent disclosure of information regarding the disaster to anyone outside of [BUSINESS NAME].

Individuals making notification phone calls as a result of a disaster should also be aware of the fact that it is possible that the employee was at the site of the disaster when it occurred. Using this script will prevent unnecessary panic for the family members of the employee.

### **Contacting Via Direct Phone Contact**

Hello, may I speak with \_\_\_\_\_ please?

#### **If employee is not home, state the following:**

When he/she returns, would you ask them to please contact me immediately at the following number \_\_\_\_\_.

#### **If employee is at home, explain the following:**

Give the employee a brief description of the situation that has occurred and what it has impacted and estimate of the length of outage, if known.

Tell the employee where to report and when and how long they should expect to stay.

Remind them to bring any recovery procedures with them.

If travel arrangements have been made for the employee, inform them of what they are.

If travel arrangements are to be made by the employee, inform them of where and when they are expected and verify they have the information to make the arrangements.

If employee is to remain at home, inform them that they are to remain on-call and prepared to report to work.

Remind the employee that they are not to speak to anyone regarding the situation.



## Contacting Employees via E-mail

To all employees of [BUSINESS NAME],

Please be advised we have experienced a disruption of our critical core business functions. *(Provide general details as to what happened, what it has impacted and the estimated length of downtime.)*

We have taken the appropriate steps in planning for such events, and have activated our recovery plan procedures.

Please contact your Supervisor at *(insert telephone number)* for further instructions as to where to report. Be prepared to bring along your recovery procedures.

Be aware the local news media might try to contact you regarding details of this event. Please do not speak directly to the news media regarding this event. It is our policy to refer any inquiries to our Media Communications contact *(insert name and telephone number)*.

Your attention to this matter is truly appreciated. Adherence to our recovery procedures are of the utmost importance for the protection of our most valued asset, our employees.

Sincerely,

*(sender's name)*



**[BUSINESS NAME]  
EMERGENCY CONTACTS SHEET**

<b>Insurance Agency:</b>
Key Contact: Mark Rollins, CEO – Laurie Dziubela, Account Mgr. – Erica Martinson, Director of Risk Mgmt Services – Lynne Colby, Claims Manager
Address: 800 Westchester Avenue, Suite N-311
City/State/Zip: Rye Brook NY
Phone #: 914-337-1833
After Hours #: Mark Rollins cell 914-588-4415

<b>Fire Dept:</b>
Key Contact
Address:
City/State/Zip:
Phone #:
After Hours #:

<b>Police Dept:</b>
Key Contact
Address:
City/State/Zip:
Phone #:
After Hours #:

<b>Hazmat:</b>
Key Contact
Address:
City/State/Zip:
Phone #:
After Hours #:

<b>OTHER:</b>
Key Contact
Address:
City/State/Zip:
Phone #:
After Hours #:

<b>OTHER:</b>
Key Contact
Address:



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City/State/Zip:
Phone #:
After Hours #:



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## RECOVERY & RESTORATION

### OFFSITE DATA STORAGE

Backup data facilities have been identified at the follow location:

Name of company:  
Main contact:  
Phone number:  
E-mail address:  
Street address:  
City:  
State and zip:

The identified location of the backup site will be accessible for a minimum period of six (6) weeks from initial date of occupancy after disaster declaration. It will be available for 24-hour access and retrieval and be protected by: security, fire suppression, water detectors, heating, air and ventilation.

[BUSINESS NAME] will have access to the backup site facility within [ x ] hours after notification and guaranteed occupancy shall be at least six (6) weeks.

This storage facility will be reviewed for effectiveness annually. Storage facilities for electronic documentation to be considered via [clientportal.rollinsinsurance.com](http://clientportal.rollinsinsurance.com) - provided to [BUSINESS NAME] by The Rollins Agency, Inc..

Offsite storage process will include, but is not limited to, the following. All documentation of importance to the operations of [BUSINESS NAME] will be stored via this backup site.

- Backup Tapes - Weekly tape backups of **ALL** your disk files. These include: mainframe, mid-range, servers and PCs ( **mandatory** and with at least two generations)
- System, program product, and in-house developed software manuals and guides
- Legal - Copies of contracts, leases, legal and critical correspondences
- Insurance - Policies, riders, and addendums
- Financial - General and private ledgers, year end financial statements, tax returns, bank records
- Recovery Plans - A complete set
- Assets - Complete fixed asset listings
- Referenced Items - Copies of any item referenced within your recovery team plans
- Floor plans
- Architectural drawings that should include mechanical plans
- Photos of facility and various work areas
- Other critical documents or data critical to the operation of your business



**VENDOR READINESS PLAN**

[BUSINESS NAME] relies on vendors to provide us certain equipment, supplies, materials, goods or services. Some of these vendors are considered more critical than others.

To minimize our potential exposure to a disruption by our vendor(s), there are several steps provided to take in advance:

1. [BUSINESS NAME] will avoid a single source (sole source) provider of any equipment, supplies, materials, goods or services. That is, [BUSINESS NAME] will always have at least two vendors that can provide each of our critical goods and services required to support our business.

Key vendors identified: (list key vendors and backup vendors)

Vendor	Main Contact	Phone	E-mail	Plan

[BUSINESS NAME] will request that the vendor complete the survey and return it to our attention within 30 days.

When the survey is returned, review the responses:

- A. If the vendor indicates that they have a plan,
  - i. Request a copy of the section that addresses their ability to recover the processes that delivers the equipment, supplies, materials, goods or services you use.
  - ii. If the vendor declines to provide you with a copy, request additional information.
  - iii. If the vendor does not provide the additional information, [BUSINESS NAME] will contact the appropriate backup vendor.



**RESUMING OPERATIONS**

The previously identified Department Heads will act as the Recovery Teams with the utmost attention of ensuring the safety of personnel and property.

The Recovery Team for the affected operations will assess any remaining hazards and maintain security at the incident scene.

The Recovery Team will conduct an employee briefing relaying pertinent details of what happened, what business operations were affected and the plan for recovery.

Additional notifications will be made to:

- Employees’ families about the status of personnel on the property
- Off-duty personnel about work status
- Insurance carriers about incident details
- Appropriate government agencies

An investigation will be conducted by the Recovery Team notating details of the incident scene via video recording and digital photography.

Damage related costs will be recorded to include charges for purchases and repair work. Protection of undamaged facility operations will be approached by the following procedures:

<b>Procedures</b>	<b>Responsible Party</b>	<b>Complete (Y/N)</b>	<b>Comments</b>
Close up buildings			
Remove smoke, water and debris			
Protect equipment from moisture			
Restore sprinkler system			
Secure the property			
Restore power			
Conduct investigation			
Notify government			
Separate damaged from undamaged goods			
Store damaged goods			
Record inventory of damaged goods			
Restore equipment and property			
Assess value of damaged property			





Assess impact of business interruption			
Report findings to Department Head			
Maintain contact with clients/vendors			



## TEMPORARY FACILITIES

An offsite business operations center has been predetermined where members of the various business contingency teams and other [BUSINESS NAME] personnel will assemble immediately after they receive notification.

Access to this facility is controlled by the members of the Business Contingency Planning Team.

The offsite business operations center is located at:

Building name:

Street address:

City:

State and zip:

Phone:

Directions to the facility:

This offsite business operations center contains:

- Phones/facsimile and circuits
- Internet capabilities
- PCs for documentation, letters and cc:Mail
- Work area space
- Portable generator
- Normal business type supplies
- Emergency supplies, including bottled water
- Basic set of tools
- Coordination with hot and cold sites for Information Systems
- Telephone forwarding mechanisms

The identified location of the temporary facilities will be accessible for an extended period of time. [BUSINESS NAME] will have access to the facility when it is determined that normal business operations will be non-functional for an extended period of time. The facility must be made available within twenty-four (24) hours after [BUSINESS NAME] provides written or verbal notice to vendor of intent to occupy the facility, and guaranteed occupancy shall be at least twelve (12) months.





Hazardous Material Handling

Hazardous materials are substances that are flammable or combustible, explosive, toxic, noxious, corrosive, oxidizable, an irritant 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.

Identify and label all hazardous materials stored, handled, produced and disposed of by your facility. Follow government regulations that apply to your facility. Material safety data sheets (MSDS) for all hazardous materials at your location will be stored on the Rollins 360 Client Portal.

**Hazardous Material Handling Plan**

Below procedures confirm procedures to notify management and emergency response organizations of an incident.

(insert notification procedures)

Establish procedures to warn employees of an incident.

(insert procedures to warn employees)

Establish evacuation procedures.

(insert emergency evacuation plan)

List government agencies required to be notified of a hazardous materials spill

(insert government agency phone numbers and contact names)

[BUSINESS NAME] has identified the below vendors for hazardous material containment and clean up. Vendor effectiveness will be reviewed annually.

Company	Main Contact	Phone	E-mail	Notes





## INSURANCE

All business interruption coverage and disaster planning resources are coordinated through Erica Martinson from The Rollins Agency, Inc. at P 914-337-1833.

Active policies are noted:

Coverage	Carrier	Contact Name	Phone	Limits	Effective Dates



## SITE MAP DOCUMENTATION

Attach all appropriate information pertaining to building and site maps that indicate:

- Utility shutoffs
- Water hydrants
- Water main valves
- Water lines
- Gas main valves
- Gas lines
- Electrical cutoffs
- Electrical substations
- Storm drains
- Sewer lines
- Location of each building (include name of building, street name and number)
- Floor plans
- Alarm and enunciators
- Fire extinguishers
- Fire suppression systems
- Exits
- Stairways
- Designated escape routes
- Restricted areas
- Hazardous materials (including cleaning supplies and chemicals)
- High-value items

