

# Preface

The Business Continuity and Recovery Plan is intended to be used in addition to your Emergency Preparedness and Response Plan. Some key differences between these plans are:

## **Business Continuity and Recovery Plan**

This plan is for use once life and safety are secure in response to a disaster. This plan identifies key resources and needs to ensure that business may continue, perhaps in a limited capacity, or how your business will fully recover should the disaster be catastrophic.

This plan includes information such as:

- Critical assets
- Critical operations
- Key suppliers and contractors
- Alternate business location

## **Emergency Preparedness and Response Plan**

This plan identifies and prioritizes the key hazards that may affect business operations, and outlines preparedness and mitigation activities. This plan also includes operational procedures to respond effectively and efficiently to an incident. This goal of these procedure is to ensure life and safety are secure in response to a disaster.

This plan includes information such as:

- Preparedness
  - Hazard identification and assessment
  - Employee education and training
  - Drills and exercises timelines and plans for your business
  - First aid kits
  - Disaster supply kits
- Response
  - Evacuation procedures
  - Fire procedures
  - Shelter-in-place procedures
  - Staff notification
  - Information gathering procedures
  - Incident management



## Step 1: About Your Business

PRIMARY BUSINESS LOCATION		SECOND BUSINESS LOCATION	
BUSINESS NAME		BUSINESS NAME	
STREET ADDRESS		STREET ADDRESS	
CITY, STATE, ZIP CODE		CITY, STATE, ZIP CODE	
TELEPHONE NUMBER		TELEPHONE NUMBER	
PRIMARY POINT OF CONTACT		ALTERNATE POINT OF CONTACT	
PRIMARY EMERGENCY CONTACT		ALTERNATE EMERGENCY CONTACT	
TELEPHONE NUMBER		TELEPHONE NUMBER	
ALTERNATE TELEPHONE NUMBER		ALTERNATE TELEPHONE NUMBER	
E-MAIL ADDRESS		E-MAIL ADDRESS	
EMERGENCY CONTACT INFORMATION - DIAL 911 IN AN EMERGENCY			
NON-EMERGENCY POLICE		ELECTRICITY PROVIDER	
NON-EMERGENCY FIRE		GAS PROVIDER	
INSURANCE PROVIDER		WATER PROVIDER	
OTHER (E.G., EQUIPMENT MANUFACTURER)		OTHER (E.G., PROPERTY MANAGEMENT)	
OTHER (E.G., HAZMAT SPILL CLEAN-UP)		OTHER (E.G., PROPERTY SECURITY)	
OTHER (E.G., IT SUPPORT CONTRACTOR)		OTHER (E.G., BANK AGENT)	
OTHER		OTHER	
OTHER		OTHER	

## Step 2: Business Continuity and Recovery Planning Team

The following people will participate in business continuity and recovery planning.

NAME	POSITION	EMAIL

### Coordination with Others

The following people from neighboring businesses and our building management will participate on our emergency planning team.

NAME	BUSINESS	EMAIL

### Meeting Schedule

The emergency planning team will meet on a regular basis.

DATE	LOCATION	TOPIC

### Step 3: Potential Hazards

This information should be included in your Emergency Preparedness and Response Plan, however reiterating key potential hazards in your Business Continuity and Recovery Plan will help you focus on the types of incidents from which you may need to recover. Make sure to look inside and outside your business as well as the surrounding community. Ask yourself questions like: How do I get in and out of the area? How do my staff, suppliers, and customers get in and out of the area? What should I be concerned with that could interrupt my business?

The following natural and man-made disasters could impact our business.

[illegible]

For more advanced hazard assessment, see the Appendix: Risk Assessment Matrix.



## Step 4: Critical Assets

If these items are taken away, it would drastically affect your business or cause a major disruption to business.

<b>PEOPLE</b> (employees, customers, vendors, suppliers, visitors, etc.)	
<b>BUILDING</b> (physical structure, storage unit, warehouse, main office, store front, capital lease, etc.)	
<b>EQUIPMENT</b> (computers, software, servers/network, specialty/manufacturing tools, copiers, furniture, etc.)	
<b>DATA</b> (documents, payroll, files, records, server back-up tapes, etc.)	
<b>INVENTORY/PRODUCT</b> (stock, supplies, new materials, etc, etc.)	
<b>OPERATIONS</b> (any disruption to ops, accounts receivable/payable, payroll, manufacturing, mail room, etc.)	

## Step 5: Critical Operations

Identify operations that are critical for business survival. Does your business provide services crucial to the incident response? How will you continue to perform these functions in a disaster situation? What operations are necessary to fulfill legal and financial obligations? Which are necessary to maintain cash flow and reputation?

**PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT:** If a disaster causes negligible or marginal impact on operations, these procedures will help to restart the operation in the same location.

**PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT:** If a disaster causes critical or catastrophic impact on operations, these procedures will help to restore the operation in the same location, an alternate location, or a new location.

<b>OPERATION:</b>	
STAFF IN CHARGE (POSITION)	STAFF IN CHARGE (NAME)
KEY SUPPLIES/EQUIPMENT	KEY SUPPLIERS/CONTRACTORS
PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT	
PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT	

<b>OPERATION:</b>	
STAFF IN CHARGE (POSITION)	STAFF IN CHARGE (NAME)
KEY SUPPLIES/EQUIPMENT	KEY SUPPLIERS/CONTRACTORS
PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT	
PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT	

## Step 5: Critical Operations (continued)

PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT: If a disaster causes negligible or marginal impact on operations, these procedures will help to restart the operation in the same location.

PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT: If a disaster causes critical or catastrophic impact on operations, these procedures will help to restore the operation in the same location, an alternate location, or a new location.

<b>OPERATION:</b>	
STAFF IN CHARGE (POSITION)	STAFF IN CHARGE (NAME)
KEY SUPPLIES/EQUIPMENT	KEY SUPPLIERS/CONTRACTORS
PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT	
PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT	

<b>OPERATION:</b>	
STAFF IN CHARGE (POSITION)	STAFF IN CHARGE (NAME)
KEY SUPPLIES/EQUIPMENT	KEY SUPPLIERS/CONTRACTORS
PROCEDURES TO RESTART OPERATION AFTER MINIMAL DISASTER IMPACT	
PROCEDURES TO COMPLETELY RESTORE OPERATION AFTER SIGNIFICANT DISASTER IMPACT	



## Step 6: Key Suppliers and Contractors

The following is a list of suppliers and contractors that are critical to maintaining business.

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	DOES THIS BUSINESS HAVE A CONTINUITY PLAN?
MATERIAL/SERVICE PROVIDED		
If this company experiences a disaster, we will obtain materials/services from the following:		

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	DOES THIS BUSINESS HAVE A CONTINUITY PLAN?
MATERIAL/SERVICE PROVIDED		
If this company experiences a disaster, we will obtain materials/services from the following:		

## Step 6: Key Suppliers and Contractors (continued)

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	DOES THIS BUSINESS HAVE A CONTINUITY PLAN?
MATERIAL/SERVICE PROVIDED		
If this company experiences a disaster, we will obtain materials/services from the following:		

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	DOES THIS BUSINESS HAVE A CONTINUITY PLAN?
MATERIAL/SERVICE PROVIDED		
If this company experiences a disaster, we will obtain materials/services from the following:		

## Step 7: Computer Inventory Form

Use this form to:

- Log your computer hardware serial and model numbers. Attach a copy of your vendor documentation to this document.
- Record the name of the company from which you purchased or leased this equipment and the contact name to notify for your computer repairs.

Make additional copies as needed. *Keep one copy of this list in a secure place on your premises and another in an off-site location.*

### HARDWARE INVENTORY

HARDWARE (CPU, MONITOR, PRINTER, KEYBOARD, MOUSE, PLUS DESCRIPTION)	MODEL PURCHASED	SERIAL NUMBER	DATE PURCHASED	COMPANY PURCHASED OR LEASED FROM	COST

### SOFTWARE INVENTORY

NAME OF SOFTWARE	VERSION	SERIAL / KEY NUMBER	DISC OR DOWNLOAD	DATE PURCHASED	COST

## Step 8: Information Technology Security

Data security and back up should be an ongoing process, however it is crucial after a disaster. If you use a contractor for your IT support, they should be including in your business continuity and recovery planning. Identify the records that are essential to perform your critical functions. Vital records may include employee data, payroll, financial and insurance records, customer data, legal and lease documents. Are any impossible to re-create or are copies stored offsite?

### DATA SECURITY AND BACK-UP

LEAD STAFF OR CONTRACTOR	EMERGENCY CONTACT TELEPHONE
EMAIL	ALTERNATE CONTACT TELEPHONE
BACK-UP RECORDS ARE STORED ONSITE HERE	BACK-UP RECORDS ARE STORED OFFSITE HERE
IF OUR ACCOUNTING AND PAYROLL RECORDS ARE DESTROYED, WE WILL PROVIDE FOR CONTINUITY IN THE FOLLOWING WAYS:	

### IT ASSET SECURITY

LEAD STAFF OR CONTRACTOR	EMERGENCY CONTACT TELEPHONE
EMAIL	ALTERNATE CONTACT TELEPHONE
KEY COMPUTER HARDWARE	TO PROTECT OUR COMPUTER HARDWARE, WE WILL:
KEY COMPUTER SOFTWARE	TO PROTECT OUR COMPUTER SOFTWARE, WE WILL:
IF OUR COMPUTERS ARE DESTROYED, WE WILL USE BACK-UP COMPUTERS AT THE FOLLOWING LOCATIONS:	



## Step 9: Alternate/Temporary Business Location

Determine if it is possible to set up an alternate or temporary business location if your primary site is unavailable. Would this site become your new primary business site? Do you have multiple locations in which you can condense work operations? How much work can be done virtually? Does your business park have options for relocation in the same park? What pre-agreements would you need?

ALTERNATE BUSINESS LOCATION		SECOND ALTERNATE BUSINESS LOCATION	
STREET ADDRESS		STREET ADDRESS	
CITY, STATE, ZIP CODE		CITY, STATE, ZIP CODE	
TELEPHONE NUMBER		TELEPHONE NUMBER	
IS THERE A PRE-AGREEMENT IN PLACE?		IS THERE A PRE-AGREEMENT IN PLACE?	
POINT OF CONTACT		POINT OF CONTACT	
CONTACT NAME		CONTACT NAME	
TELEPHONE NUMBER	ALTERNATE NUMBER	TELEPHONE NUMBER	ALTERNATE NUMBER
E-MAIL ADDRESS		E-MAIL ADDRESS	
SITE ASSESSMENT		SITE ASSESSMENT	
NUMBER AND TYPE OF STAFF TO WORK HERE		NUMBER AND TYPE OF STAFF TO WORK HERE	
SUPPLIES ALREADY IN PLACE		SUPPLIES ALREADY IN PLACE	
SUPPLIES THAT WOULD BE NEEDED		SUPPLIES THAT WOULD BE NEEDED	
TIME TO SET UP OPERATIONS		TIME TO SET UP OPERATIONS	
LENGTH OF TIME TO STAY IN THIS SITE		LENGTH OF TIME TO STAY IN THIS SITE	
POSSIBLE HAZARDS IN THE AREA		POSSIBLE HAZARDS IN THE AREA	
NOTES:		NOTES:	

## Step 10: Staff Notification

Staff should be regularly updated on business operational status including whether they should report to work, what work conditions are like, alternate work sites and plans, etc.

NOTIFICATION				
STAFF WILL BE NOTIFIED BY:		STAFF MEMBER RESPONSIBLE FOR NOTIFICATION		
<input type="checkbox"/> PHONE TREE <input type="checkbox"/> AUTOMATIC NOTIFICATION SYSTEM <input type="checkbox"/> EMAIL BLAST <input type="checkbox"/> OTHER:		<table border="1"> <tr> <td>TELEPHONE NUMBER</td> <td>EMAIL</td> </tr> </table>	TELEPHONE NUMBER	EMAIL
TELEPHONE NUMBER	EMAIL			

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

## Step 10: Staff Notification (continued)

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	

STAFF NAME:			
STREET ADDRESS		EMERGENCY CONTACT NAME	
CITY, STATE, ZIP CODE		RELATIONSHIP TO EMPLOYEE	
TELEPHONE NUMBER	ALTERNATE NUMBER	CONTACT TELEPHONE	ALTERNATE TELEPHONE
EMAIL		CONTACT EMAIL	



## Step 11: Key Business Contact Notification

Customers, vendors, and other key business contacts should be regularly updated on business operational status such open hours, orders in progress, etc. This may be done via your website, posting signs at your business, or contacting them individually.

NOTIFICATION	
KEY BUSINESS CONTACTS WILL BE NOTIFIED BY:	STAFF MEMBER RESPONSIBLE FOR NOTIFICATION
<input type="checkbox"/> WEBSITE <input type="checkbox"/> AUTOMATIC NOTIFICATION SYSTEM <input type="checkbox"/> EMAIL BLAST <input type="checkbox"/> SIGNAGE <input type="checkbox"/> OTHER:	TELEPHONE NUMBER
	EMAIL

BUSINESS NAME:		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

BUSINESS NAME:		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

BUSINESS NAME:		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS



## Step 11: Key Business Contact Notification (continued)

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

<b>BUSINESS NAME:</b>		
STREET ADDRESS		CONTACT NAME
CITY, STATE, ZIP CODE		CONTACT TELEPHONE NUMBER
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMAIL
EMERGENCY TELEPHONE	WEBSITE	RELATIONSHIP TO OUR BUSINESS

## Step 12: Continuity of Management Plan

You can assume that not every key person will be readily available or physically at the facility after an emergency. Ensure that recovery decisions can be made without undue delay. If relevant, consult your legal department regarding laws and corporate bylaws governing continuity of management.

Establish procedures for:

- Assuring the chain of command
- Maintaining lines of succession for key personnel

### POLICY STATEMENT REGARDING CONTINUITY OF MANAGEMENT

LEADER NAME:

STREET ADDRESS

SUCCESSOR NAME

CITY, STATE, ZIP CODE

SUCCESSOR TELEPHONE NUMBER

TELEPHONE NUMBER

EMERGENCY TELEPHONE

SUCCESSOR EMAIL

EMAIL

RELATIONSHIP TO LEADER

LEADER NAME:

STREET ADDRESS

SUCCESSOR NAME

CITY, STATE, ZIP CODE

SUCCESSOR TELEPHONE NUMBER

TELEPHONE NUMBER

EMERGENCY TELEPHONE

SUCCESSOR EMAIL

EMAIL

RELATIONSHIP TO LEADER

LEADER NAME:

STREET ADDRESS

SUCCESSOR NAME

CITY, STATE, ZIP CODE

SUCCESSOR TELEPHONE NUMBER

TELEPHONE NUMBER

EMERGENCY TELEPHONE

SUCCESSOR EMAIL

EMAIL

RELATIONSHIP TO LEADER

## Step 13: Insurance Coverage Discussion Form

Use this form to discuss your insurance coverage with your agent. Having adequate coverage now will help you recover more rapidly from a catastrophe.

<b>INSURANCE AGENT:</b>				
STREET ADDRESS			CONTACT NAME	
CITY, STATE, ZIP CODE			CONTACT TELEPHONE NUMBER	
TELEPHONE NUMBER	FAX NUMBER	CONTACT EMERGENCY TELEPHONE		
EMERGENCY TELEPHONE	WEBSITE	CONTACT EMAIL		
<b>INSURANCE POLICY INFORMATION</b>				
TYPE OF INSURANCE	POLICY NUMBER	DEDUCTIBLES	POLICY LIMITS	COVERAGE (GENERAL DESCRIPTION)
<b>DISASTER RELATED INSURANCE QUESTIONS</b>				
Do you need Flood Insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No		What perils or causes of loss does my policy cover?		
Do you need Earthquake Insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No		How will my property be valued?		
Do you need Business Income and Extra Expense Insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No		Does my policy cover the cost of required upgrades to code? <input type="checkbox"/> Yes <input type="checkbox"/> No		
How much insurance am I required to carry to avoid becoming a co-insurer?		What does my policy require me to do in the event of a loss?		
What types of records and documentation will my insurance company want to see?		Am I covered for lost income in the event of business interruption because of a loss? Do I have enough coverage? For how long is coverage provided? How long is my coverage for lost income if my business is closed by order of a civil authority?		
How will my emergency management program affect my rates?				
To what extent am I covered for loss due to interruption of power? Is coverage provided for both on- and off-premises power interruption?		To what extent am I covered for reduced income due to customers' not all immediately coming back once the business reopens?		
NOTES				



# Appendix

## Risk Assessment Matrix

Using your list of potential hazards and critical assets, you are now ready to begin to prioritize things and assess where your business is vulnerable to disruption. For each of the six categories, you will decide the level of impact each of the hazards will have on your business.

Before completing your Risk Assessment Matrix you need to understand the difference between the levels of impact. Below the levels are discussed and listed in order of escalation.

- **Negligible** – limited to no business disruptions or property damage
- **Marginal** – a hindrance that may affect business operations without shutting down, you have no minor damage, it may be an occurrence in the surrounding neighborhood
- **Critical** – temporary disruptions of business or major damage to the facility, impacts are to the community
- **Catastrophic** – a disaster that affects entire regional community causing business disruptions and forces closure of building(s). This is an event of large proportions. It can include complete destruction, multiple injuries or deaths, and a regional event which means limited or no outside resources available for prolonged periods of time.

The table on the following page will help you to determine and prioritize your business risks. General types of events are listed on the left side. There are additional spaces provided to customize for your business needs.

Begin with the first listed disaster event, earthquake. Circle the number in each asset area to score how the hazard would likely impact your business. Complete the other rows then total your numbers for both columns and rows.

As the last step, prioritize which areas should be addressed first, based on highest vulnerability, and then assign each column with your priority number 1-6.

From: *7 Steps to an Earthquake Resilient Business*, Earthquake Country Alliance, [www.earthquakecountry.info/roots/](http://www.earthquakecountry.info/roots/)





