



[SAMPLE CO]

BUSINESS CONTINGENCY PLAN

EFFECTIVE DATE: [effective_date]

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.

Provided by: Your Broker

PREFACE

The purpose of this plan is to define the recovery process developed to restore [SAMPLE CO]'s critical business functions. The plan components detail [SAMPLE CO]'s procedures for responding to an emergency situation, which affects [SAMPLE CO]'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 [SAMPLE CO] effective the date signed below.

Name – Title

Date

Name – Title

Date

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RECOVERY STRATEGIES

Recovery strategies identified for [SAMPLE CO]'s equipment and services:

- Business functions will be recovered in priority sequence based upon the classification of the function as agreed with business senior management and implemented jointly.
- Communications concerning the recovery status will be coordinated through the Business Contingency Planning Team so that those executing the recovery will not be interrupted repeatedly for status.
- Purchase and acquisition of equipment and supplies needed for the recovery effort will be coordinated through company Department Heads.
- The contingency planning infrastructure will provide for coordination of travel arrangements, food and accommodations for individuals supporting the recovery effort.
- Non-critical [SAMPLE CO] functions, such as Development and Test environments, will be cleared without backup as necessary to support the recovery efforts.
- [SAMPLE CO] personnel from other sites may be called in to support the recovery efforts.

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	Email
	Plan Coordinator		
	Sr. Management		
	Line Management		
	Human Resources		
	Safety Director		
	Security		
	Community Relations		
	Sales/Marketing		
	Finance		
	Legal		
[bc_fname] [bc_lname]	[b_commonname]	[b_phone]	[bc_email]
	Insurance		

OFFSITE DATA STORAGE

Backup data facilities have been identified at the follow location:

Name of company:
Main contact:
Phone number:
Email 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.

[SAMPLE CO] 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 MyWavePortal® - provided to [SAMPLE CO] by [b_officialname].

Offsite storage process will include, but is not limited to, the following. All documentation of importance to the operations of [SAMPLE CO] 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

[SAMPLE CO] 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. [SAMPLE CO] will avoid a single source (sole source) provider of any equipment, supplies, materials, goods or services. That is, [SAMPLE CO] 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	Email	Plan

[SAMPLE CO] 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, [SAMPLE CO] will contact the appropriate backup vendor.

TEMPORARY FACILITIES

An offsite business operations center has been predetermined where members of the various business contingency teams and other [SAMPLE CO] 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. [SAMPLE CO] 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 [SAMPLE CO] provides written or verbal notice to vendor of intent to occupy the facility, and guaranteed occupancy shall be at least twelve (12) months.

PROPERTY PROTECTION

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 MyWave®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)

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

Company	Main Contact	Phone	Email	Notes

INSURANCE

All business interruption coverage and disaster planning resources are coordinated through [bc_fname] [bc_lname] from [b_officialname] at [b_phone].

Active policies are noted:

Coverage	Carrier	Contact Name	Phone	Limits	Effective Dates

An exposure analysis will be conducted annually through [bc_fname] [bc_lname] from [b_officialname] at [b_phone]. A formal assessment will be completed to determine appropriate coverage levels and review additional risk management strategies to mitigate exposures.

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

All pertinent documentation will be stored via MyWave®Portal provided by [b_officialname]. Your agency contact, [bc_fname] [bc_lname], can be reached at [b_phone].

PLAN ACTIVATION

Emergency Alert

In the event that a situation or disaster occurs at [SAMPLE CO], 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.

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:

- Employee's 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:

Procedures	Responsible Party	Complete (Y/N)	Comments
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			

TRAINING

All employees will review disaster preparation and emergency action plan procedures with their Department Heads.

New employees will be introduced to our emergency action plans via employee orientation.

Mock disaster training will be conducted annually and will involve local police and fire authorities.

Quarterly training will approach a walk through to functional drills to an evacuation drill leading to full-scale mock disaster training.

- *Walk-Through Drill* -- The Business Contingency Planning Team, Department Heads and Recovery Teams will perform their emergency response functions.
- *Functional Drills* -- These drills will test specific functions such as medical response, emergency notifications, warning and communications procedures and equipment, though not necessarily at the same time. Facility shutdown procedures will be tested, reviewed and modified as needed. 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 to be modified accordingly.
- *Full-Scale Exercise* -- A real-life emergency situation is simulated as closely as possible. This exercise involves company emergency response personnel, employees and management, and community response organizations.

Appendix A

Vulnerability Analysis Chart