# Background

This document outlines the people, processes and places that are an integral part of business continuity. The purpose of the document is to provide information for coordination and decision-making in the event of a major disruption to the business. This document should be circulated to all Heads of Department and other individuals whose areas of activity are covered by the detail of this document.

The objective of this document is for every individual to be prepared to act in the event of a disaster in a timely, effective and appropriate manner.

# Roles & Responsibilities

The following table represents who is Responsible (doer), Accountable (buck stops here), Consulted (input), Informed (kept in the loop).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Product Manager** | **Customer Service** | **Developer** | **Manager** |
| **Document Maintenance** | R | C | C | A |
| **Quarterly Review** | A | C | R | I |
| **Yearly Review** | A | C | R | I |
| **Internal Communication** | I | RA | I | C |

Substitute roles with named individuals or job titles.

# Failure Points & Recovery Strategies

## Complete Systems Failure

What happens if all IT systems go offline?

## Loss of Building

What happens if the building goes up in smoke?

## Workforce Disruption

What happens in the event of any industrial dispute or inability to work affecting 50% of the workforce?

## Commercial Change

What happens if key customer accounts or critical suppliers or lost?

## Regulatory Closure

What happens if regulatory changes come into affect?

## Force Majeure

How do we react to Acts of God (e.g. war, hurricane, earthquake)?

# Disaster Management Team

The Disaster Management Team (DMT) provides tactical direction enabling the overall response and recovery effort during major disruptive events.  The team has distinct roles, however not all roles may be required for all events.  The DMT Leader and DMT Coordinator will jointly identify which roles are most applicable to the event at hand.

| Role and Responsibilities | Primary Members | Alternate Members |
| --- | --- | --- |
| **CMT Leader** Provide leadership to the Crisis Management Team; assess input from department leaders and evaluate cascading or operational impacts; serve as the ultimate decision-making authority on behalf of the organization. | [Insert] | [Insert] |
| **CMT Coordinator** Coordinate with the affected departments to understand their operational impacts and existing response efforts; assist the CMT Leader in ensuring all CMT tasks in the Procedures section are completed, including identifying tasks that should be repeated periodically as necessary and reminding the CMT Leader of pressing tasks. | [Insert] | [Insert] |
| **Crisis Communications Leader** Coordinate with [insert department name] for guidance on approved messaging and focus points for each stakeholder. Distribute crisis communications messaging as directed by management. | [Insert] | [Insert] |
| **Finance and IT Representative(s)** Address resource requests from the CMT and departments. Advise the CMT on potential significant financial losses resulting from business activity and /or IT failure. | [Insert] | [Insert] |
| **Human Resources Representative** Accumulate and report personnel accountability results following a disruptive event. Represent the organization at local hospitals where employees are taken by local authorities, coordinating assistance with hospital staff, family members, and the Crisis Communications Leader. As needed, assist with the sourcing of personnel (temporary or permanent) from other sites, businesses, or third-parties. Ensure compliance with OSHA reporting. | [Insert] | [Insert] |
| **Facilities Representative** Provide on-site situational assessment to the CMT and manage the interface with local first responders. Lead the assessment, cleanup, and repair effort at affected site(s). Provide resources during the response to maintain security and protect property. | [Insert] | [Insert] |
| **Legal Representative** Advise the CMT regarding legal implications of crisis decision-making, as well as the crisis's effect on contractual/regulatory matters and current litigation. | [Insert] | [Insert] |
| **Administrative Representative** Provide administrative support to the CMT throughout the event; assist in screening all communications into the CMT; acquire/set up CMT logistical resources, arrange travel for team members; and retrieve and maintain team member log books for performance evaluation and historical purposes. | [Insert] | [Insert] |

# Team Location

The Crisis Management Team will operate from an appropriate alternate location (e.g., Crisis Command Center), depending on the type of business interruption.  The following table summarizes the three primary locations, and the information necessary to enable a virtual meeting location.

| Priority | Location |
| --- | --- |
| **Primary** | [Insert - Onsite] |
| **Secondary** | [Insert - Offsite] |
| **Tertiary** | [Insert - Third-party] |
| **Virtual** | [Insert] |

# Assessment

Immediately following activation of this plan, the following tasks enable incident assessment and evaluation.

| # | Title | Role |
| --- | --- | --- |
| 1 | NOTIFICATION OF DISRUPTIVE EVENT Receive notification of a potential/actual disruptive event via reports from team members and/or self-realization; assess need to activate the Crisis Management Plan. | [Insert] |
| 2 | PERFORM ACCOUNTABILITY Ensure employee safety and well-being; coordinate with Human Resources as needed. | [Insert] |
| 3 | LIAISE WITH THIRD PARTIES Based on the nature of the disruption, assign the CMT Leader to liaise with necessary third-parties (including building management) and/or local authorities to manage the continued safety and well-being of employees and facilities. | [Insert] |
| 4 | REVIEW TRIGGERS AND ESCALATION CRITERIA Review the Triggers and Escalation Criteria in this plan to assess potential/actual impact to the organization. | [Insert] |
| 5 | ACTIVATE THE CRISIS MANAGEMENT TEAM If needed, select an alternate location (e.g., Crisis Command Center); coordinate with IT and Facilities to ensure that all necessary supplies and resources are available at that location.  Enable virtual meeting capabilities by opening the crisis communication bridge.  Contact remaining CMT members (and/or alternates, if necessary); convene team at crisis command center.  Schedule and conduct recurring CMT meetings, maintaining a log of decisions/actions/issues. | [Insert] |
| 6 | PERFORM SITUATION ASSESSMENT Perform an initial situation assessment; discuss, capture and communicate key information to management, members of the CMT and departments.  Once the facility is declared safe to enter by local authorities, conduct a damage assessment of the facility, capturing findings for management and members of the CMT. | [Insert] |
| 7 | REVIEW BUSINESS PRIORITIES Review business priorities and the potential/actual impact incurred by the disruption; coordinate with department managers on the need to activate alternate procedures/manual workarounds/alternate locations. | [Insert] |
| 8 | DETERMINE NEED FOR SHIFT SCHEDULING Determine shift schedules (if applicable) and assign appropriate personnel to specific tasks/responsibilities. | [Insert] |
| 9 | INITIATE HUMAN RESOURCES RESPONSE Based on the nature of the disruption, coordinate with Human Resources to assign an organization representative to hospitals and/or other third-party locations. | [Insert] |
| 10 | EXECUTE CRISIS COMMUNICATIONS Lead the execution of the external (and media/public, as needed) crisis communications. | [Insert] |

# Loss of Facility

If a facility is damaged, inaccessible, or unavailable for use for any reason (including inclement weather situations), support the recovery of appropriate, in-scope activities based on approved recovery requirements.

| # | Title | Role |
| --- | --- | --- |
| 1 | ASSESS POSSIBLE IMPACTS Review results of completed situation and damage assessment reports.  Determine impact of disruption and estimate duration of the disruption; adjust business priorities. | [Insert] |
| 2 | COMMUNICATE WITH DEPARTMENTS Communicate adjusted priorities with department managers and initiate status reporting as needed.  If the situation requires that employees work from home or alternate locations, communicate key work from home guidelines and expectations to employees. | [Insert] |
| 3 | EVALUATE PERSONNEL HEALTH/SAFETY Based on the current situation status, continue to evaluate the safety and well-being of personnel; coordinate with Human Resources to identify improvement strategies as needed. | [Insert] |
| 4 | BEGIN ALTERNATE PROCEDURES Coordinate alternate procedures and manual workarounds with department managers; approve workplace relocation as needed. | [Insert] |
| 5 | CONDUCT RECURRING CMT MEETINGS Conduct recurring CMT meetings as appropriate to continue managing recovery activities and proactively address changes to business and recovery priorities. | [Insert] |
| 6 | CONTINUE TO MONITOR RECOVERY ACTIVITIES Review the status and activities of departments; approve process/procedure changes as necessary to enable operations.  Review and/or approve alternate workspace requests, return-to-work requests, or permanent relocation requests. | [Insert] |
| 7 | EXECUTE CRISIS COMMUNICATIONS Continue to execute internal crisis communications in order to inform employees of recovery priorities and changes to operating procedures and/or locations.  Continue to execute external and public (as necessary) crisis communications. | [Insert] |

# Loss of People

If absenteeism occurs, which may result from no-notice (immediate) loss or a large-scale public health incident such as a pandemic, this strategy describes the tasks to support the staffing of the most essential departments and activities throughout the course of the incident.

| # | Title | Role |
| --- | --- | --- |
| 1 | ASSESS LOSS OF PERSONNEL Collaborate with departments to determine cause of personnel loss.  Identify impacted personnel and assess what assistance, if any, can be provided to them and/or their families.  Confirm the impact of the loss of personnel by reviewing analysis authored by Human Resources; identify if a similar loss is being experienced at other organization locations.  If the event is caused by a public health threat, perform outreach to local and national health departments to understand threat and estimate its potential impact on organization personnel and operations. | [Insert] |
| 2 | REVIEW BUSINESS PRIORITIES Review business priorities to determine on which departments and business activities should be prioritized and what resources are available to sustain critical operations. | [Insert] |
| 3 | ASSESS POSSIBLE/PROBABLE BUSINESS IMPACTS Determine how existing and potential personnel shortages (either temporary or permanent) may impact the organization’s ability to meet deadlines and operational goals.  Consider supplementing critical activities with personnel from less critical activities, obtaining resources from other sources (former employees, retirees, staffing firms, competitors, etc.) | [Insert] |
| 4 | SUPPORT RECOVERY FROM A PUBLIC HEALTH EVENT If the event is caused by a public health threat, evaluate what preparedness/protective measures are available for personnel.  Monitor the effectiveness of protective measures, alternate operations, and prioritized service delivery; adjust priorities and resources as necessary to protect the concerns of all interested stakeholders. | [Insert] |
| 5 | EVALUATE THE CURRENT SITUATION Evaluate emerging resource needs; approve spend as required. | [Insert] |
| 6 | SUPPORT STAFFING NEEDS Support the staffing of high priority business activities in order to continue the delivery of critical products/services; if necessary, consider shifting personnel from other locations (if applicable) to support the most critical activities.  Consider temporary or permanent recruiting efforts. | [Insert] |
| 7 | CONTINUE TO MONITOR RECOVERY ACTIVITIES Confirm and track department response and recovery activities; recommend adjustments to recovery priorities if appropriate and necessary.  Monitor shifts in event characteristics, product/service demand, personnel needs, etc., to determine when alternate methods can be shifted back to normal operations.  Conduct recurring CMT meetings as appropriate; request ongoing status updates from departments. | [Insert] |
| 8 | PROVIDE CRISIS COUNSELING Source and provide crisis counseling or other approved grievance benefits to personnel and families affected by the disruptive event, if warranted. | [Insert] |
| 9 | EXECUTE CRISIS COMMUNICATIONS Continue to execute internal crisis communications in order to inform employees of recovery priorities and changes to operating procedures and/or locations.  Continue to execute external and public (as necessary) crisis communications. | [Insert] |

# Loss of Technology

If there is an interruption to one or more critical IT applications or technologies, this strategy will describe response activities and / or alternate methods of operation (including manual workarounds).

| # | Title | Role |
| --- | --- | --- |
| 1 | ASSESS POSSIBLE IMPACTS Estimate technology downtime and conduct a situation assessment.  Evaluate how the technology or communications loss may lead to business impacts for activities dependent on technology availability. | [Insert] |
| 2 | EVALUATE ALTERNATE PROCEDURES Collaborate with departments to determine need for identifying and / or activating alternate procedures. | [Insert] |
| 3 | REVIEW RECOVERY OBJECTIVES AND PLANNED ASSUMPTIONS Work with IT personnel to assess available recovery strategy options and determine the most appropriate response, given the situation and anticipated downtime. | [Insert] |
| 4 | EVALUATE NEED FOR DISASTER DECLARATION Evaluate need for a disaster declaration to enable the initiation of selected recovery strategies (if applicable). | [Insert] |
| 5 | SUPPORT TECHNOLOGY RECOVERY Ensure personnel are capable and trained on recovering the technology and are available to participate in the validation of technology capabilities following recovery.  Request frequent status updates from the IT representative leading/overseeing the recovery effort, including if there is any potential that a recovery objective will not be met. | [Insert] |
| 6 | CONTINUE TO EVALUATE BUSINESS IMPACT Continue to evaluate business impact caused by the technology or communications outage, reaching out to the affected departments.  Confirm and track business process response and recovery activities, recommending adjustments to recovery priorities if appropriate and necessary. | [Insert] |
| 7 | ACTIVATE ALTERNATE PROCEDURES Activate alternate procedures, as possible, to maintain operations and continue the delivery of critical products/services. | [Insert] |
| 8 | CONTINUE CRISIS MANAGEMENT ACTIVITIES Conduct recurring CMT meetings as appropriate; request ongoing status updates from departments. | [Insert] |
| 9 | SUPPORT RESTORATION Support the restoration of affected technology at the primary data center, approving spend as necessary.  Ensure that departments receive the end user support they require in order to fully restore operations and return to normal. | [Insert] |
| 10 | EXECUTE CRISIS COMMUNICATIONS Continue to execute internal crisis communications in order to inform employees of recovery priorities and changes to operating procedures and/or locations.  Continue to execute external and public (as necessary) crisis communications. | [Insert] |

# Loss of Key Supplier

If there is an incident affecting one or more vendors’ ability to support critical operations, this strategy describes the response activities needed to support continuity of operations.

| # | Title | Role |
| --- | --- | --- |
| 1 | ASSESS POSSIBLE BUSINESS IMPACTS AND ESTIMATE DOWNTIME Estimate downtime potential and resulting business impact caused by vendor or supplier loss; determine need for alternate procedures. | [Insert] |
| 2 | REVIEW BUSINESS PRIORITIES Assist departments with assessing whether safety stock, prioritizing available resources, and/or alternate resources can sustain business operations throughout the vendor outage. If prioritization of available resources is necessary, determine which customers get priority based on contractual obligations and penalties, criticality of product use by the customer, impact if not delivered within agreed upon timeframes, etc. | [Insert] |
| 3 | CONTINUE TO REVALUATE BUSINESS IMPACT AND DOWNTIME Continue to evaluate the business impact caused by the loss of vendor product or service, implementing necessary alternate procedures to sustain critical operations. | [Insert] |
| 4 | EVALUATE AND ALTERNATE OPTIONS If methods listed above cannot sustain operations throughout the anticipated loss timeframe, assist departments in identifying if an alternate vendor is able to provide the same or similar services. | [Insert] |
| 5 | CONTINUE CRISIS MANAGEMENT Evaluate the status of recovery efforts and communicate updates as necessary.  Approve spend and vendor transition as necessary.  Conduct recurring CMT meetings as appropriate; request ongoing status updates from departments. | [Insert] |
| 6 | EXECUTE CRISIS COMMUNICATIONS Continue to execute internal crisis communications in order to inform employees of recovery priorities and changes to operating procedures and/or locations.  Continue to execute external and public (as necessary) crisis communications. | [Insert] |

# Ongoing Operations

Use the tasks described in this phase to initiate full operations and begin to return to normal.

| # | Title | Role |
| --- | --- | --- |
| 1 | DEFINE AND SUPPORT ONGOING OPERATIONS Analyze the ongoing situation to determine when “return to normal” procedures should be implemented.  Provide guidance and support to the affected departments as appropriate. | [Insert] |
| 2 | EXECUTE COMMUNICATIONS MESSAGING Execute internal and external messaging to update key stakeholders on the status of recovery and return to normal operations. | [Insert] |
| 3 | INITIATE FULL OPERATIONS Define and support the procedures for returning to full/normal operations. | [Insert] |
| 4 | DEACTIVATE RESPONSE AND RECOVERY ACTIVITIES Close alternate locations or designated crisis command center(s) and route communication to normal locations.  Prepare for full restoration at normal location. | [Insert] |
| 5 | DOCUMENT LESSONS LEARNED Collaborate with affected departments to conduct a performance evaluation to contribute to lessons learned, understand opportunities for improvement in both the response process and request feedback from participants on additional steps to strengthen the response and recovery effort. | [Insert] |

# Supporting Documents

The following additional materials may be needed by plan users.

| **File Name** | **Description** | **File Location** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |

# Appendix A: Contact Information

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name | **Job Title** | **Work Email** | **Work Phone** | **Home Phone** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

# Appendix B: CMT Meeting Agenda

| ​**Event Name:** |  |
| --- | --- |
| **Date/Time:** |  |
| **Meeting Participants:** |  |

1. Review situation assessment or status update
   1. Discuss facts
   2. Discuss assumptions
   3. Review previous decisions and actions (as applicable)
2. Discuss realized or anticipated impacts
3. Discuss and reach consensus regarding the organization’s response and recovery strategy
4. Discuss and provide input to the business continuity and ITDR Teams regarding organizational response and recovery priorities
5. Review crisis communications efforts to date; identify upcoming, required communications to key stakeholders

# Feedback

The following commentary was accepted and noted. Such commentary may have surfaced through meetings, water cooler conversations, emails, formal reviews, phone conversations.

|  |  |  |  |
| --- | --- | --- | --- |
| **WHO** | **WHEN** | **HOW** | **COMMENT** |
| Someone | 12 May | Email | Some comment duly noted. |
|  |  |  |  |
|  |  |  |  |