

# Preparedness... Protect your business



Call **311**



# Table of Contents

Introduction.....	1
Phase One: Getting Started.....	3
Phase Two: Risk and Business Impact Analysis.....	5
Phase Three: Preparedness Strategies.....	9
Phase Four: Create and Implement.....	11
Phase Five: Testing and Ongoing Maintenance.....	14
References.....	20



## Introduction

This guide is intended to provide organizations with general information to assist in preparing business continuity and disaster recovery plans. In the event of an emergency which causes a business interruption to occur, the organization would be able to resume operations as quickly as possible. Much of the information contained in this document is geared towards mid-sized organizations (50 – 300 employees), although the phases and principles identified can be applied to businesses of any size.

There is no single approach to developing an emergency plan and every organization's structure and operations are unique. It is important to note that no plan will be able to provide all the answers nor will it ensure that every conceivable situation is addressed.

### **Through Continuity Planning you should be able to answer three questions:**

1. What could go wrong? (The Risk Assessment)
2. If something went wrong, how would it affect business?  
(The Business Impact Analysis)
3. How would the essential services of the business continue or be resumed?  
(The Continuity of Operations Plan)

## Why have a plan?

Having systems and processes in place before an emergency event occurs is critical to your organization's long term health and viability.

Emergency events can occur in many forms. Some emergencies may be infrequent, such as natural disasters like flooding, hurricanes or earthquakes, while others can be more common and may strike at any time such as power outages, computer viruses and network disruptions. Getting your organization back to normal operations as quickly as possible will minimize service disruption and help preserve corporate reputation.

In general, many businesses are not well prepared for emergency events. There are a number of barriers to advance preparation such as a lack of management support and funding. Ensuring adequate funds are budgeted for emergency preparedness often requires a shift in priorities for an organization's financial planning initiatives as this proactive planning does not, at first, appear to be profitable or practical. Since the terrorist attacks of September 11, 2001, initiatives that support business continuity have been given a higher priority, as organizations have realized the benefits of advance preparation.

Regardless of the situation, a business continuity plan exists to safeguard the organization so it can continue offering its services as normally as possible.



## What is Business Continuity Planning?

Business Continuity Plans (BCPs) are user's manuals on how to safeguard an organization and lessen the impact of an emergency event. For a plan to be of any value, it must be developed and put in place prior to an emergency occurring. Simply stated, continuity planning is the process for ensuring that an organization is able to survive an event that causes significant disruption to normal business operations. Disaster recovery is the process that occurs during and after an emergency event to limit the scale of business interruption and assist in getting operations back to pre-emergency levels.

## Five Phase Approach

Five planning phases have been identified to assist in developing your plan. Every organization is different and these phases may need to be modified to reflect the specific needs of your BCP.

<b>Phase One:</b>	<b>Getting Started</b>
<b>Phase Two:</b>	<b>Risk &amp; Business Impact Analysis</b>
<b>Phase Three:</b>	<b>Preparedness Strategies</b>
<b>Phase Four:</b>	<b>Create and Implement</b>
<b>Phase Five:</b>	<b>Testing and Ongoing Maintenance</b>



## Phase One: Getting Started

Before getting started, a staff member should be appointed to oversee the development and implementation of the BCP. Not all the work will be completed by that person, but it is ideal if one person oversees the process from beginning to end. This individual will act as the BCP project manager and should, if possible, be assigned some dedicated time as part of their regular duties to complete the BCP. In addition to assigning a BCP project manager, it is also important that senior management has endorsed the idea of developing a BCP for your organization. Management support is essential for generating staff interest, credibility, visibility and buy-in.

### I. Preparation

1. What resources do you need (people and equipment)?
2. Are any existing plans in place?
3. What recent localized events (severe weather, fires, floods, major equipment failures, etc.) have or could have affected the organization?
4. Are there any laws or regulations that will affect your BCP?
5. Prepare a project overview document for senior management sign-off. This will give you the ability to communicate the need for a BCP to all staff and give credibility to the project objectives.
6. How much is this all going to cost? Be prepared to discuss project funding before launching into full scale development. Continuity planning is an ongoing expense and not simply a one-off item. A successful BCP will require some level of ongoing funding to maintain its relevance.
7. Will you (or any members of your working group) require training? Look into emergency preparedness training opportunities and make recommendations as part of your project plan.
8. Draft a project schedule – tasks, deadlines and resources required to accomplish your objectives need to be clearly articulated.
9. Include management representatives from each department or division. Their knowledge will be essential for developing the BCP.
10. Develop a policy statement to provide clear direction and to reaffirm the commitment of management. Some recommended components:
  - A description of the BCP
  - Why the BCP is being developed
  - Brief outline of the organization's critical services
  - General expectations of specific areas of the organization
  - An outline of future activities

### II. Management Launch Meeting

- Ensure you understand your organization's business objectives.
- Present a project statement outlining the goals and objectives.
- Review the project schedule, including planned milestones and a delivery date.
- Submit the names of proposed planning team members for approval / endorsement.
- Commit to providing regular updates as planning proceeds.

### III. Planning Team Launch

- Convene your approved planning team to go over the components of the project.
- Clearly define the team members' roles and why they were chosen.
- Discuss the overall schedule and define the project's scope and planning assumptions.

### V. Preparing for a Risk & Business Impact Analysis (BIA)

A Business Impact Analysis (BIA) is a management level examination of an organization's operations, aimed at identifying the impact of exposure to a sudden loss of critical business functions and resources due to an accident, disaster, emergency event or other threat.

The objective of a BIA is to assess your organization's key services and products and rank their order of priority by what is most essential for continuing business operations in the event of an emergency and for recovering from an emergency.

#### **The planning team should prepare a BIA questionnaire to gather information from the business operations to be surveyed:**

- What are the objectives of the business?
- How are the business objectives achieved?
- What are the products and services?
- What interdependencies are there (internal / external)?
- What are the time sensitivities on the products and services?
- What are the minimum resource requirements (e.g., personnel, equipment, infrastructure, records, facilities, specialty items) to sustain these products and services?
- What are the quantitative and qualitative impacts of not continuing these products and services?

**Note:** Quantitative losses can be identified in quantities, percentages, or factor of standard that can be described in monetary terms. Qualitative losses are intangible losses that have an operational impact but cannot be quantified in monetary terms or described in terms of financial impact.

- What are the financial impacts (to each business operation) that might occur from the inability to conduct operations for a prolonged period of time?
- What are the operational impacts (to each business operation) that might occur from the inability to conduct operations for a prolonged period of time?
- Are there seasonal impacts or other factors that might affect operations at different points during the year?
- What expenses (beyond normal budgets) might need to be incurred by continuing operations during and after a disruption?
- Currently, how prepared is the organization to resume business operations after an emergency?
- What are the technological and physical requirements for the resumption of operations and overall recovery?

- What is the demographic make-up of the employees? Are there special considerations related to staff that may need to be considered (possible high absenteeism, family considerations, etc.)?

Based on the scope of your project, identify appropriate staff within the organization who will receive and complete the questionnaire. The objective is to get a good picture of business operations but not poll the entire workforce.

## Phase Two: Risk and Business Impact Analysis

### I. Risk Analysis

#### a. Risk Defined

The process of assessing risk involves identifying the hazards that can cause the most significant damage or loss, the nature of damages and whether anything can be done to reduce the impacts of those hazards.

Risk can be defined as the probability or likelihood that a hazardous event will occur and the likely consequences (the probability of hazard 'x' destroying 'y').

One method is to use a numerical rating to assess each of the potential hazards that affect your organization. By assigning numerical values to various hazards such as a 1 to 5 scale (1 being the lowest probability and 5 the highest probability) the assessment of each threat can be quantified. When considering risks, the specifics of an emergency event are only important from the perspective of helping to determine the potential severity and extent of the disruption. Your BCP will focus on how the organization will cope with that disruption.

It is not necessary to undertake a formal, in-depth risk assessment process but it is important to try and understand the types of potential threats and the degree of risk your organization may face.

#### The objectives are to:

- Identify risks to the organization;
- Identify the requirements for resuming or continuing services;
- Identify the general impact each risk may have on your organization;
- Estimate the costs for establishing effective controls to reduce risk;
- Establish priorities for addressing identified risks.

#### b. Risk Identification

An emergency may result from an existing danger or it may be a threat of an impending situation abnormally affecting property or the health, safety and welfare of the community. Possible risks and emergencies include:

- **Natural Events** - severe weather, floods, etc.
- **Human-Caused Events & Accidental Hazards** - incidents intended to do harm to public safety and security, civil disorder, bomb threats, etc.

- **Technological & Infrastructure Disruptions** - incidents involving hazardous materials, utility and power failures, transportation accidents, etc.
- **Nuclear** - Although construction and operation of nuclear power plants are closely monitored and regulated, an accident, though unlikely, is possible.

Other hazards may exist are specific to your organization and you should attempt to identify all potential hazards that might affect your business.

## c. Risk Evaluation

As mentioned above, if a 1 to 5 scale is applied to your risk assessment, each hazard will be rated as low (1 to 2), medium (3) or high (4 to 5).

### Probability

**How probable is this risk? What is the relative frequency with which an event is likely to occur in sufficient proximity to your organization?**

Probability can be measured with the following frequency scale:

- **Low** – likelihood of occurrence - once every 5 years or more
- **Medium** – likelihood of occurrence: between 3 to 5 years
- **High** – likelihood of occurrence: one or more instances within 3 years

### Safety

**In addition to probability the threat to life needs to be gauged in terms of the likely impact on individuals and groups:**

- **Low impact** – Hazard unlikely to kill or injure
- **Medium** – Hazard likely to cause injury or possibly death
- **High** – Hazard likely to cause many injuries and some fatalities

### Resources

**The threat to material resources includes the potential for property loss and damage and any contractual or other legal obligations that must be met.**

- **Low** – minimal or no damage to a few resources
- **Medium** – Moderate damage to most resources
- **High** – Most or all resources are seriously damaged or destroyed

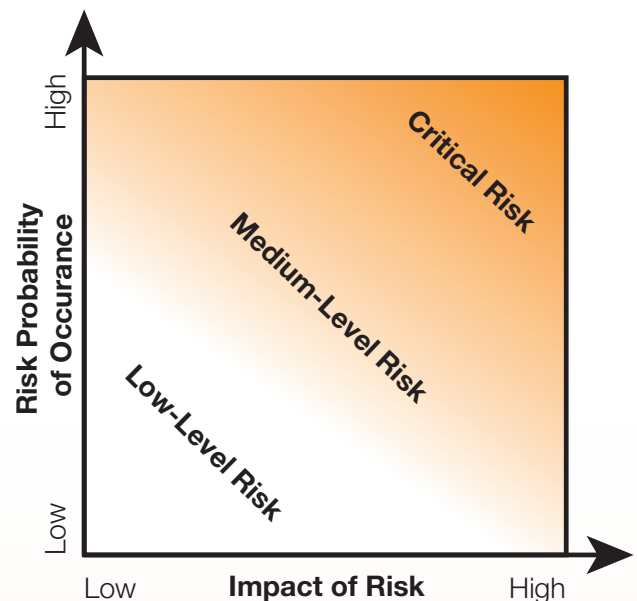
### Services

Your business services will experience effects from both external (eg. transportation, suppliers) and internal sources (eg. personnel safety, computer virus). You should consider the effects that the hazard may have on your operations, excluding the impact on resources or safety.

**Both external and internal effects can be measured as follows:**

- **Low** – Negligible - short delays to service es
- **Medium** – Moderate disruption – service loss for several days
- **High** – Major disruption – isolation from critical inputs or outputs for days or weeks

**Figure 1: The Risk Impact/Probability Chart**





## 2. Business Impact Analysis

Arguably, the BIA is the most important part in the development of your BCP. Without having a clear and accurate picture of the nature of your business, it is difficult to properly identify key business issues and make a case for resources to be assigned.

### The BIA will identify:

- Critical business operations and services;
- Functional roles and responsibilities of internal/external agencies, organizations, departments and positions;
- Lines of authority;
- Potential financial and operational impacts resulting from an emergency event;
- Timelines in which critical operations, processes and services must resume;
- Resources (estimated) that will be needed to successfully restart operations and services – and for overall business recovery;
- Logistics support.

It is important to note that as part of your BIA, the physical elements of the organization should not be overlooked. Examining facilities for structural vulnerability and the physical requirements for business continuity are key components of the BCP.

### a. Data Gathering

- Distribute, gather and begin compiling the BIA questionnaires.
- Conduct interviews to further evaluate all major business operations. If a particular service, business operation or service is not be available for a period of time, staff must be able to identify processes for ensuring that the most critical, time-dependent operations continue.

### b. Determine Key Services

**With data in hand, what are your key services and products? If your organization has a well-developed mission statement, this may already assist in identifying the core operation of your business.**

- What are your organization's functions and services – what do you do? (in detail)
- What staff members are responsible for what functions?
- Which functions/services are most critical, and which are less so?
- Who are your clients?
- In the event of an interruption, how would your clients be affected? For example, if your organization provides product delivery to clients at their home(s), how would you maintain service should your facilities be inaccessible?
- Where do you serve them?
- How do you serve them?
- What are your staff requirements to meet minimum service delivery?
- What equipment is required? (trucks, computers, machinery, etc.)

## c. Dependencies

Any disruption to your business will affect at least one, and likely multiple, supporting business divisions (i.e. people, technology, facilities, equipment). It is important to recognize what internal and external dependencies of critical services or products exist. Internal dependencies include the availability of staff, equipment, facilities, computer applications, data, vehicles, and support services such as finance, human resources, security and information technology support. External dependencies include suppliers, external corporate assets such as equipment, facilities, computer applications, data, tools, vehicles, and any external support services such as facility management, utilities, communications, transportation, finance institutions, insurance providers, government services, legal services, and health and safety services.

## d. Prioritize

Once critical services, products and dependencies have been identified, they need to be prioritized based on the minimum levels required to maintain basic, satisfactory service levels, balanced against the maximum length of time your service can be affected before significant long-term organizational damage occurs.

### Factors In Prioritizing Services

Additional factors that may be considered in prioritizing services within a category may include (in no particular order):

- Immediate external obligations;
- Immediate internal obligations;
- Customer service obligations;
- Communication demands (including responsibilities of key personnel);
- Dependencies on other branches, departments, service providers etc;
- Contractual obligations and liabilities;
- Length of time each of the services remains disrupted;
- Access to essential information; and
- Minimum manpower required to accomplish the service (Who? How many? When? Where?).

Categorizing and prioritizing the services will ensure that an organization is well prepared to carry out the key components of the BCP.

## e. Impacts / Losses

The nature of a disruption to business operations will determine the impact it has on critical services and how long the organization can continue to function and how long clients will continue to accept the reduced / changed level of service. Some questions to ask include:

- What is the maximum amount of time that a service or product could be unavailable before severe impact is felt?





*Flooding at Union Station, June 11, 2012*

- What business processes and functions are directly related to revenue generation?
- If services or goods are not provided, how much would the organization lose and for what length of time?
- If clients cannot access certain services or products would they then go to another provider, resulting in further loss of revenue?
- When do extra expenses start to occur such as outsourcing work to other organizations to maintain client satisfaction?

**To determine the best contingencies, estimates need to be made around a number of possible impacts (including but not limited to):**

- approximate cost to the business of losing consumer and investor confidence;
- damage to corporate reputation (image or reputation is particularly important for public, non-profit or charitable institutions as they are often perceived or expect to have higher standards);
- loss of competitiveness;
- reduced market share;
- possible violation of laws and regulations.

### **Phase Three: Preparedness Strategies**

Using the BIA information, you will need to evaluate strategies that might be available to the organization and identify two or three that appear most realistic. Funding estimates need to accompany each strategy and business resumption timeframes will determine which components may need to be 'pre-positioned' (set-up in advance of an emergency). Based on identified needs and your evaluation of alternatives, you will need to draft recommendations as to which strategies should be funded and implemented.





*Damage from the explosion at Sunrise Propane, August 10, 2008*

**The range of continuity strategies you might consider as part of your strategy include:**

- Cross-training of staff – who to train and for what purpose.
- Renting or purchasing equipment / facilities.
- Borrowing equipment another organization.
- Retaining old equipment for back-up purposes when it is replaced.
- Establishing / maintaining manual processes in the event technology is compromised.
- Identifying alternative suppliers.
- Storing records, forms, computer data and other vital information off-site (possibly in more than one location).
- Succession planning.
- Off –site inventory (stockpile).
- Communication Protocols:
  - o Employees
  - o Customers
  - o Pre-scripted information
  - o Procedures to coordinate and disseminate information



## Phase Four: Create and Implement

During this phase, the information and analysis gathered to this point will be consolidated into a comprehensive BCP. Planning for the largest, corporate wide emergency may require specific plans for:

- Establishing / relocating to multiple physical locations over a large geographic area;
- A variety of different operations or functions at each location;
- Certain operations and processes may require multiple agency / external cooperation to succeed;
- Significant equipment and technology preparation ranging from desktop computers to inter-connected LANs to desks, chairs, office supplies etc.;
- External and internal telecommunications systems including voice, video, multimedia, etc. to ensure connectivity to staff and clients.

### Business Continuity Planning Teams

Depending on the size of your organization, a number of smaller teams may need to be formed, in addition to your larger team, to examine specific areas of the business.

- Each working group should have an appointed leader with the necessary authority to make and implement decisions for the resumption, recovery and restoration of the specific service(s) they are responsible for.
- Individuals and alternates need to be identified for positions in each operational area of the organization such as Administration, Facilities, Finance, Information Technology etc.
- In some cases it may be necessary to engage external personnel (suppliers, consultants etc.) to be a part of your BCP work so there are clear agreements put in place, in advance, that define the general expectations and support required from them in the event of an emergency.
- The primary purpose of these smaller teams is to provide protocols and procedures for each operational area of the business that will be rolled into the larger, overarching business continuity plan.

### Meetings

Developing a detailed BCP and maintaining ongoing planning processes requires a considerable commitment of time and BCP activities will likely be an additional responsibility for team members over and above their regular work activities. It is important that all members are aware of the priority that senior management has placed on this important undertaking. It is equally important that senior management is aware of, and understands what each team member is being asked to do (over and above their regular duties) and the time commitment required.

If possible, try to have a member of senior management present at meetings to both reaffirm management commitment and to understand the progress being made.

#### As part of all BCP team meetings, continue to:

- Provide an overview of progress related to BIA findings, business continuity strategies, the response, resumption, recovery and restoration processes identified as part of the overall plan;
- Provide a recap of meetings with senior management and any change in direction;
- Answer any questions relative to assigned work and discuss any suggestions related to changes in the project scope or preparedness strategies.

### Data Organization

Working with each operational BCP team and based on the BIA, define the resources required for the restoration of business operations following an interruption. Response, Resumption, Recovery and Restoration resources include:

#### Who?

- Staff, vendors, clients, services, contacts, representatives, etc.

#### Where?

- alternate office space, manufacturing facilities, off-site storage, control centres, etc.

#### What?

- supplies, equipment, vital records (business data, documentation, contracts etc.)

### The BCP should be prepared so it:

- Defines the specific steps to be taken in responding to a (declared) disaster;
- Identifies steps for notifying appropriate personnel to activate the plan;
- Initiates a timely resumption or recovery of services / operations at the identified alternate location(s).





**Commentary should also be included that provides specific details related to various functions identified in your pre-planning work, clearly outlining processes for (but not limited to):**

**Emergency Event – Plan Activation:**

- Recall of Essential Personnel
- Duties of non-essential Personnel
- Activation - Departmental/Division/Branch Specific Services
- Damage / Event Assessment Team
- Vital Records including:
  - Lists of vital business records / contacts
  - Location of all records, including back-ups

**Facility Relocation:**

- Process for relocation to alternate site(s)
- Process for staff transition to alternate work arrangement (alternate facility or work from home/other location)
- Process for return to primary location / resumption of services post-event

**Alternate Facility:**

- Detailed information regarding alternate location(s) – location, physical characteristics, etc.
- Processes for activating or installing required IT/networking capabilities
- Processes for initiating communications capabilities
- Security processes for facility and staff (access)
- Parking / transportation information
- Workspace allocation
- Vital records storage
- Coordination with other agencies

**Financial and Funding Models:**

- Continuation of cash flow, such as payroll operations (arrangements with financial institutions etc.)
- Invoice payment
- Revenue Collection

**Emergency Operations Centre (EOC):**

(this may or may not be a separate, dedicated site)

- Description of site
- Location
- Access
- Staffing
- Parking
- Communications
- Work space allocation
- Administrative facilities
- Support facilities

### **Communications / Public Information**

- Secure information line (phone) internet site for employees
- Public information number and/or website address for public
- Media releases and/or pre-developed crisis communications messages

### **Shipping / Postal Services**

- Contingencies for supplies shipping / product distribution
- Mail service to primary and alternate locations
- Courier services

### **Staff**

- Evacuation
- Staff accountability
- Provision of medical assistance
- Expectations during / after emergency event
- Critical incident stress management (if necessary)
- Emergency housing, feeding and medical services (if applicable to operations)
- Childcare (if applicable to operations)

### **Security**

- Existing security measures (normal operational levels)
- Enhanced measures (emergency event)
- Enhanced access requirements to primary or alternate sites
- Possible impacts of various scenarios (designated crime scene, facility collapse, loss of life etc.)

### **Debrief / Recovery Team**

- Post traumatic stress / staff counseling
- Recovery team roles
- Procedures (recovery and restoration)

## **Phase Five: Testing and Ongoing Maintenance**

### **Exercise Your BCP**

It is important that once you have developed a continuity plan it is tested and updated regularly. Unless staff within your organization are aware of and understand the strategies and processes, your BCP really isn't worth much to the health of the organization. Exercises need not be complicated and can be made more complex over time. Additionally, they could be announced or unannounced events.

Establish objectives for each exercise, including assignments for participants and some criteria for measurement. Documenting results will allow for an evaluation of the exercise against pre-stated measurement criteria and objectives with a goal of proposing plan enhancements / improvements.

Exercises will also assist in defining requirements for training. Training will vary in complexity from plan to plan and by the area of expertise (eg. technological, operational, administrative etc.). The complexity of the environment and the criticality of the functions will guide in the development of training to cover all phases of preparedness.

**Prior to implementing an exercise program, it is essential to have the following conditions established:**

- Your BCP has been created, reviewed and approved;
- The plan has been distributed and both your BCP team and participant training has been conducted;
- Other staff within your organization have received some BCP awareness training.

**Exercises allow the BCP Team to:**

- Practice decision making and decision approval prior to a real emergency occurring;
- Mitigate / reduce the chances for confusion during an actual event;
- Meet recovery time objectives more quickly and efficiently;
- Minimize costs resulting from the continuity process during an event;
- Encourage and enable a more cohesive working environment among all staff within the organization;
- Create awareness;
- Enhance skills required to react, develop, maintain and implement the program.

**Exercising your BCP is the only means of testing how the procedures identified in the plan will work and identifying those that will not. The results of exercising the plan will allow corrections to may be made (if necessary) and will ultimately ensure that members of your BCP team and all staff within the organization are both knowledgeable and confident in the plan.**

**Exercise Planning**

The process for developing an exercise must be logical, methodical and all-inclusive. The exercise design process generally includes a number of key planning steps and is logical and methodical:

**Identify the frequency and scope of the training**

1. Identify the aspect(s) of your BCP that need(s) to be exercised.
2. Set objectives for the exercise.
3. Set up an exercise planning team.
4. Identify goals, context, parameters, and participants for the exercise.
5. Develop your exercise:
  - a. Define the goal and objective for each activity
  - b. Create the exercise scenario
  - c. Create a 'master events' list (what are the primary events that will occur during the exercise (fire, flood, structural failure etc.)?)
  - d. Create a detailed event list (smaller events that occur as part of the larger event)
  - e. Anticipate the actions of participants (as a result of the events they are given)
  - f. Draft messages or input
6. Establish appropriate safety measures (scale will depend type/size of exercise).
7. Identify needed support and logistical requirements.



8. Develop an evaluation process for measuring the outcomes of your exercise.
9. Establish exercise control mechanisms (control staff, simulation staff, and observers).
10. Prepare exercise instructions for all participants.
11. Brief participants and observers on the conduct of the exercise.
12. Conduct the exercise.
13. Following the exercise, conduct both an informal ('hotwash') and formal debriefing.
14. Prepare a post-exercise report and recommendations.
15. Present the post-exercise report and provide recommendations.
16. Implement and track recommendations (as adopted by senior management).
17. Undertake additional training or exercises, as necessary (training and exercises should be ongoing and undertaken annually, at a minimum).
18. Maintain all training records.



## **Purpose**

The purpose of any exercise is to confirm that the processes outlined in your BCP will actually work. How effective an exercise is can be seen in the range of changes and enhancements made to your continuity strategies. The objective of exercising the BCP is to determine if the plan is capable of providing the desired level of support to your organization's most critical services. Exercises validate the effectiveness of your continuity plan procedures to deliver the required level of support specified by the scope and objectives of the plan.

It is important not to over-exercise, as the goal is to learn and discover vulnerabilities, not to generate failure and frustration. The best-planned and executed exercise may not achieve its objectives if participants believe they haven't achieved something positive.

## **Revisit and Refine the Plan Regularly**

### **Develop Plan Maintenance Procedures**

Maintenance procedures consist of two general categories: planned and unplanned.

#### **Planned Maintenance**

Planned maintenance takes place as the result of a scheduled review of the business continuity plan (at least once annually). The purpose of the review is to determine what changes, if any, are required. The review should address any events that have occurred since the last review that may have affected the organization's response, resumption, recovery or restoration capabilities.

#### **Unplanned Maintenance**

Certain maintenance requirements are unpredictable and cannot be scheduled. The majority of these unscheduled plan changes occur as the result of major changes to the organization, business operations, processes, functions, hardware configurations, (voice/data) networks, etc.

There may be a tendency for a company to become complacent or lose interest in BC planning because it doesn't directly impact/contribute to the company's bottom line. It is essential that you integrate BC planning into the business and seek continual improvement. Business success is also contingent on the protection of the business just as it is on profitability or competitiveness.

## Appendix 1:

### Business Continuity Planning Checklist

<input checked="" type="checkbox"/> <b>Steps &amp; Items</b> (modify, delete or add as needed)	<b>Duration</b> (days or hours)	<b>Start</b> (date)	<b>Finish</b> (date)
<b>Phase One: Getting Started</b>			
<input type="checkbox"/> Prepare for meeting with Senior Management			
<input type="checkbox"/> Review required resources			
<input type="checkbox"/> Review any existing plans, policies & procedures			
<input type="checkbox"/> Research local events with negative effect			
<input type="checkbox"/> Prepare for budgetary discussion			
<input type="checkbox"/> Draft project overview / project schedule			
<input type="checkbox"/> Research necessary training opportunities			
<input type="checkbox"/> Conduct Kickoff Meeting with Management			
<input type="checkbox"/> Form the Project Team – delineate roles			
<input type="checkbox"/> Management Team Meeting			
<input type="checkbox"/> Project Team Meeting			
<input type="checkbox"/> Finalize the Detailed Project Schedule			
<input type="checkbox"/> Prepare Business Impact Analysis questionnaire			
<input type="checkbox"/> Select BIA questionnaire recipients			
<input type="checkbox"/> Distribute BIA Questionnaire to Recipients			
<b>Phase Two: Risk and Business Impact Analysis</b>			
<input type="checkbox"/> Identify potential risks			
<input type="checkbox"/> Evaluate risks (rank by probability)			
<input type="checkbox"/> Gather & review BIA analysis data			





## Steps & Items

(modify, delete or add as needed)

## Duration

(days or hours)

## Start

(date)

## Finish

(date)

- ☐ Determine key services
- ☐ Identify key dependencies
- ☐ Prioritize services
- ☐ Identify potential impacts / losses

### Phase Three: Preparedness Strategies

- ☐ Define & cost continuity strategies
- ☐ Recommend strategies to management
- ☐ Strategies Approved

### Phase Four: Create and Implement

- ☐ Define the BCP teams
- ☐ Schedule team meetings
- ☐ Organize plan data
- ☐ Identify response steps
- ☐ Activation procedures
- ☐ Service resumption / recovery procedures
- ☐ Emergency response
- ☐ Functional details (event response, facility relocation, alternate facilities, etc.)

### Phase Five: Testing and Ongoing Maintenance

- ☐ Establish a Plan Exercise Program
- ☐ Prepare and run exercises
- ☐ Review and refine plan regularly

## References:

1. **Alberta Emergency Management Agency**  
Alberta Municipal Affairs and Housing
2. **Berkley Lab**  
Lawrence Berkeley National Laboratory  
University of California, Berkley
3. **Business Continuity Planning for Australian Business**  
Australian National Security Office, Government of Australia
4. **The Business Continuity Institute (BCI)**  
London, United Kingdom
5. **Business Emergency Planning Guide**  
Wellington City Council Emergency Management Office  
Wellington, New Zealand
6. **Canadian Centre for Occupational Health and Safety**  
Hamilton, Ontario
7. **Centre for the Protection of National Infrastructure**  
Home Office, London, United Kingdom
8. **County of Essex**  
Business Partners Disaster Preparedness and Business Continuity Guide  
Essex, Ontario
9. **Guide to Business Continuity Planning**  
Office of Critical Infrastructure Protection and Emergency Preparedness  
Government of Canada
10. **Oregon Employment Department, Community Planning Workshop/ Oregon Natural Hazards Workgroup**, 2001 Jackson County Business Preparedness Survey.
11. **Ready Business, Federal Emergency Management Agency (FEMA)**  
Washington, D.C.
12. **UK Resiliency - Business Continuity**  
Cabinet Office, London, United Kingdom
13. **University of Delaware Disaster Research Center. "Businesses and Disasters: Empirical Patterns and Unanswered Questions,"** Natural Hazards Review 1 (2000)
14. **University of Delaware Disaster Research Center. "Determinants of Business Preparedness,"** International Journal of Mass Emergencies and Disaster (1997)

The City of Toronto's Office of Emergency Management complies with the province's accessibility standards legislation and can provide information to those individuals with disabilities. Call us at 416-392-4554 to learn more about how we can help you.



**For additional information:**

**[toronto.ca/oem](http://toronto.ca/oem) | [oem@toronto.ca](mailto:oem@toronto.ca) | 416-392-4554**



**TORONTO** Economic Development

**[toronto.ca/business](http://toronto.ca/business)**





 **Toronto**



Call **3-1-1**