

Disaster Recovery Business Toolkit



Prepared by iParameters
for Georgia Mountains
Regional Commission



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EXECUTIVE SUMMARY

The Georgia Mountains Regional Commission (GMRC) is a public sector, non-profit planning, and development agency that services a 12-county region in northeastern Georgia¹. The counties included in the GMRC are Banks, Dawson, Franklin, Habersham, Hall, Hart, Lumpkin, Rabun, Stephens, Towns, Union and White¹. To better service the residents and businesses in our region, the GMRC created a post-pandemic tool kit.

The purpose of this toolkit is to provide businesses an easily accessible, informational reference guide to help mitigate and successfully navigate different types of emergencies. This includes financial and economic recovery resources, business continuity plans, and post-disaster recovery plans for the most relevant natural disasters that occur in the Georgia Mountains Region.

With the growing economy of the Georgia Mountains Region, it is vital that businesses have the knowledge and capability to maintain safety throughout various events. The COVID-19 pandemic has highlighted a need for GMRC to aid businesses in the creation of suggested standardized practices for businesses to follow.

ASSESSMENT

BACKGROUND

The Georgia Mountains Region is a vibrant area of Georgia and is home to thousands of businesses and over a dozen different industries. The region is made up of 12 different counties, and 49 local governments.¹ The types of industries within the region vary from food service to warehousing with the largest being retail trade. The industries in the region include:

- Retail Trade
- Educational Services
- Health Care and Social Assistance
- Arts, Entertainment, and Recreation
- Accommodation and Food Services
- Other Services, Except Public Administration (equipment repair, religious services, death and pet care services)
- Mining, Quarrying, Oil and Gas Extraction
- Construction
- Manufacturing
- Wholesale Trade
- Transportation and Warehousing
- Administration and Waste Services
- Agriculture, Forestry, Fishing, and Hunting
- Utilities
- Information
- Finance and Insurance
- Real Estate and Rental and Leasing
- Professional, Scientific, and Technical Services
- Management of Companies and Enterprises

During the COVID-19 pandemic, industries within the region saw varying impacts and businesses had to adjust their operations in order to ensure that they would still remain open. In order for businesses to prepare for the next pandemic, it is important for industries to understand and apply the lessons learned from the COVID-19 pandemic.

ASSESSMENT

INDUSTRY SUSCEPTIBILITY ANALYSIS

The COVID-19 Pandemic had a significant impact on businesses across the country. Businesses had to lay-off employees and reduce hours and there were even government-mandated closures of businesses. When businesses were able to stay open, they had issues with the changes in demand for certain products and supply chain issues with those products that were in high demand.

In order to determine what kind of impacts industries saw during the COVID-19 pandemic, we turned to the U.S. Bureau of Labor Statistics.² They conducted a nationwide survey of businesses impacted during the pandemic.² They collected data on what impacts businesses across the U.S. saw in their their operations and employment since the onset of coronavirus pandemic through September 2020 and highlighted seven negative impacts.² The seven impacts were:

- Decrease in Demand for Products or Services,
- Pausing or Termination of Employment,
- Shortage of Supplies or Inputs,
- Reduction of Employees' Hours,
- Government-Mandated Closure,
- Difficulty Moving or Shipping Goods,
- Reduction of Employees' Salaries or Wages.²

The businesses which were classified using the North American Industry Classification saw the various impacts at different severity levels. When analyzing the impacts of COVID-19 within the industries, it is important to understand what industries may have been more impacted than others by the pandemic.

Data was taken from the U.S. Bureau of Labor Statistics' survey to determine which industries reported what types of impacts during the COVID-19 pandemic. An analysis called "k-means clustering" which grouped the industries into three groups based on similarities in survey responses from nationwide businesses was conducted. The three groups are called "High Impacted Businesses," "Medium Impacted Businesses," and "Low Impacted Businesses." The groupings of these industries can be seen on the following page in Figure 1.

ASSESSMENT

Grouping of Industries Based on Reported COVID-19 Impacts

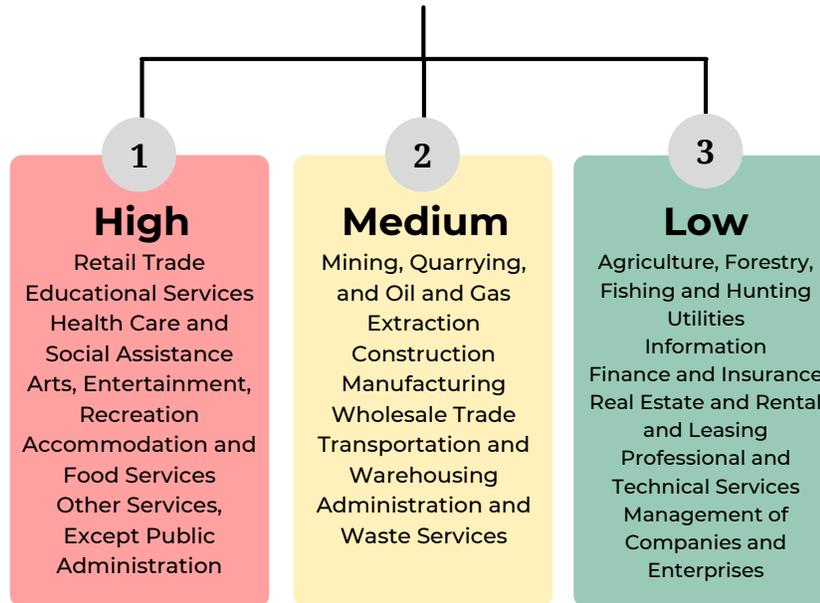


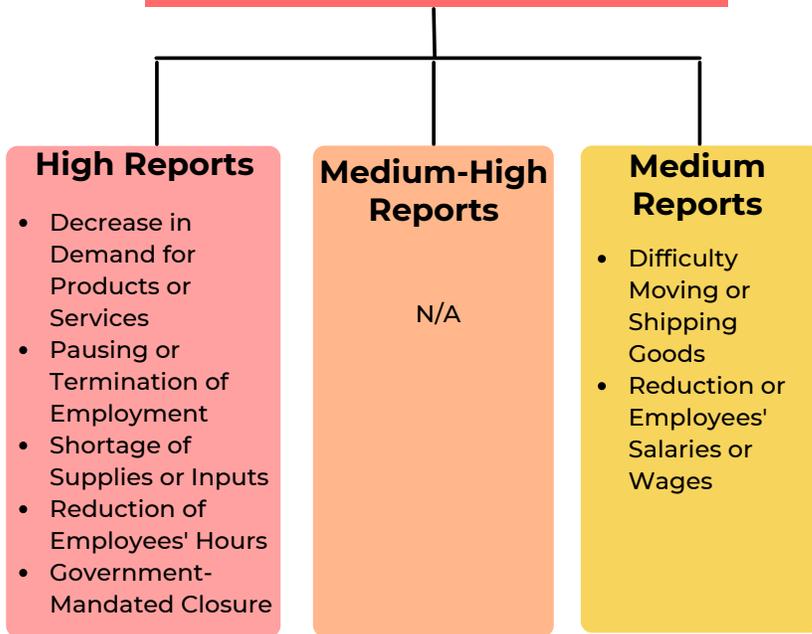
Figure 1: Industry Grouping Based on COVID-19 Impacts

After receiving the output of the three groups, it is important to understand how these industries became grouped together. The first group which is designated as the "High Impacted Businesses" or simply labeled "High" in the above figure had a higher percentage of businesses within the various industries report larger number of impacts than those in the other two categories. The businesses in the other two categories reported similar issues but at a decreased rate. Figure 2 on the following page, outlines these impacts and at what rate they were reported within the survey.

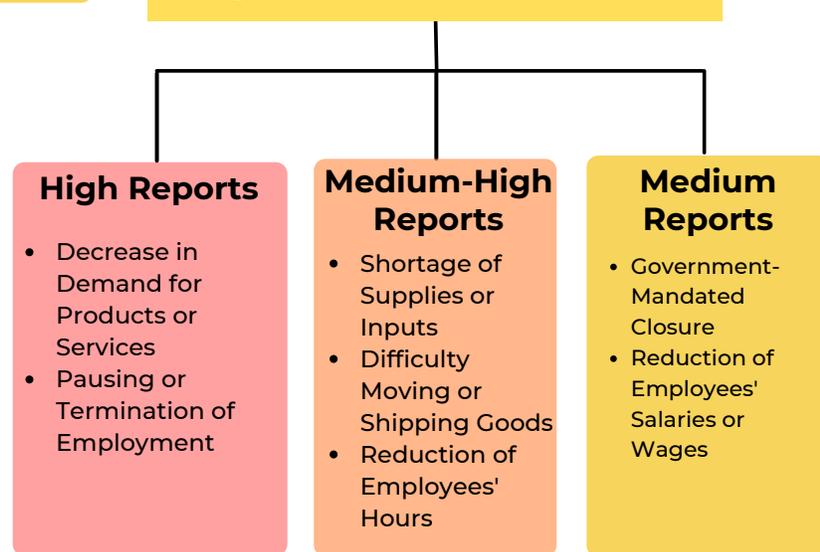
When it comes to the "Medium Impacted Businesses" or "Medium" in the above figure, these businesses saw higher reports of decrease in demand for products or services as well as pausing or termination of employment. The difference between this group and the "Low Impacted Businesses" or "Low" was these industries reported larger number of businesses having difficulty moving or shipping goods and reduction of employees' hours. While the "Low Impacted Businesses" reported these impacts as well, it was at a lower rate.

Pandemic Effects on Businesses

Effects on High Impacted Businesses



Effects on Medium Impacted Businesses



Effects on Low Impacted Businesses

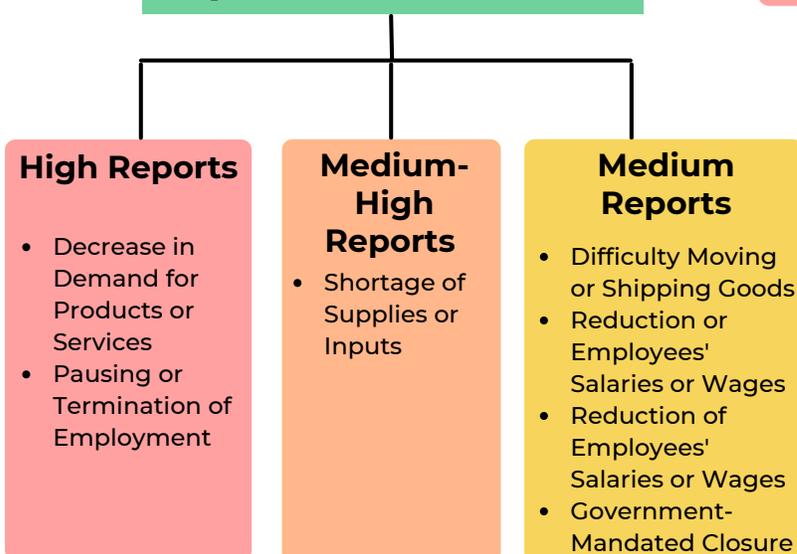


Figure 2: Reported Pandemic Effects on Businesses

ASSESSMENT

It is also important to understand how these businesses function in their day-to-day operations in order to determine why they may have reported these impacts at varying rates. The businesses that are in the high impacted categories are those businesses that require a large amount of face to face contact with clients and coworkers in order to conduct business. These are the businesses with higher amounts of foot traffic into and out of the buildings. The businesses that tend to have reports of less impacts are those that do not require a large amount of person to person contact or where the contact can be decreased through various mitigation measures. The lowest impacted businesses are those that require little to no person to person contact and if there is contact then it can be mitigated against with various pandemic protocols.

With the next pandemic, businesses should be prepared for the concerns that arose during the COVID-19 pandemic. In this toolkit, we will provide businesses with various tools they can use in preparation and response to the next pandemic and natural disaster.



PANDEMIC PREPAREDNESS

The COVID-19 pandemic was unprecedented and caused unforeseen problems for businesses. Some businesses were required to reduce hours, lay off employees and even close for extended periods of time due to governmental mandates. There are several things that businesses can do to prepare for the next pandemic.

SLOWING THE SPREAD

Slowing the spread in any pandemic is critical to keeping businesses open. It allows customers to feel safer and it keeps them and your employees healthy. It is important to make sure your staff is educated on various COVID protocols around the business. Be sure to educate them on proper mask wearing, hand washing and wearing gloves.

There are several flyers from the Centers for Disease Control that can be placed around the business to educate your employees or customers on what they can do to slow the spread in the pandemic. While the flyers below are specific to COVID-19, it is important for businesses to be aware that these practices can be used in future pandemics.

- [Slowing the Spread](#)
- [When to Wear Gloves](#)
- [Washing Hands](#)
- [Wearing a Mask](#)
- [Washing Hands Flyer for Bathroom](#)
- [Other Flyers from CDC](#)



EMPLOYEE EDUCATION

It is also important to make sure your staff is educated on the protocols your businesses have when it comes to being sick. Be sure to educate them on when they should stay home and what options they have when it comes to sick leave and making sure their shifts are covered. Having a plan in place for sick employees is critical to maintaining a full healthy staff. There are several flyers from the Centers for Disease Control that can be placed around the business to educate your employees on what they need to know when they are sick. While the flyers below are specific to COVID-19, it is important for businesses to be aware that these practices can be used in future pandemics.

- [Sick Protocols](#)
- [Symptoms to stay home](#)
- [Symptoms of COVID](#)

SUPPLY CHAIN CONCERNS

Another disruption that COVID-19 created and is still on-going is the global supply chain issue. The disruption in the supply chain has caused a huge shortage in supplies. In order to prepare for this during the next pandemic, Forbes gives a list of things that businesses can do to offset the difficulties of supply chain issues.³

1. Make sure your business is investing in the right technology.

This technology can incorporate information from your customers, sales, products and suppliers. Inventory management software can help you monitor your business expenditures and you will know what is in your inventory.

2. Diversify where you are receiving your products.

Make sure you have several suppliers that you are purchasing products from. By only purchasing from one supplier, you are setting up your business to fail if your supplier fails.

3. Make sure you include risk management into your businesses supply chain management.

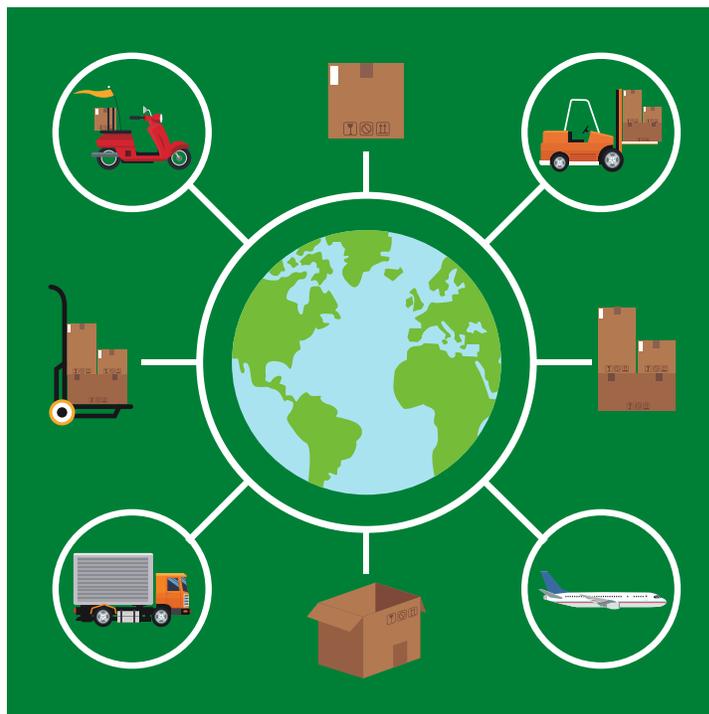
Develop a risk matrix for your supply chain that will help you determine what kind of disruptions may happen in your supply chain and how your business can prepare for these.

4. Consider investing in a procure-to-pay purchasing system

Businesses can often be tied to monitoring processes on paper but investing in software and online systems that automate purchasing can save your company time and effort.

5. Work on ways to speed up ways to turn your inventory into cash.

Having cash tied up in inventory does not help your business. Practicing cash conversion cycle can help you accelerate the cash flow into your business.



GOVERNMENT SUPPORT FOR BUSINESSES

During the COVID-19 Pandemic, many businesses turned to the state and federal government for support. Be sure that your business is aware of what is offered in your area. Many local governments have a Chamber of Commerce that have resources for businesses. The Georgia Chamber of Commerce has an entire page dedicated to the [COVID-19 Pandemic](#). While the current pages are dedicated to the current pandemic, it is important for your business to be aware of the resources these entities can provide during the next pandemic.

Many municipal and county governments also provided small business grants through federal funding. These grants were critical to keeping businesses open during the pandemic. Be sure that your business is following the news of your local county and municipality so you are aware of these opportunities.

IMPORTANT LINKS

[CDC COVID-19 Business Resources](#)

[CDC Cleaning and Disinfecting Resources](#)

[OSHA Guidance for Mitigating and Preventing Spread of COVID-19 in Workplace](#)

[Small Business Administration COVID-19 Relief](#)

CASE STUDY

CHATHAM COUNTY, GA

Chatham County is using their American Rescue Plan Act funds to assist small businesses who were impacted by COVID-19. Businesses can apply for grants worth up to \$25,000 from the County.

NATURAL DISASTER PREPAREDNESS

Businesses play a huge role in the recovery process following a natural disaster. They bring a sense of normalcy to a region in the aftermath of a disaster. It is important that local businesses reopen as quickly as possible to bring economic stability back to a shaken region. Every business should have a plan on how they are going to handle the next major disaster or pandemic.

UNDERSTANDING DISASTER ACTIVATIONS

When a natural disaster hits, the county and city Governments activate critical resources that are necessary to respond to and recover from the disaster. The counties and city governments have varying activation levels depending on the severity of the disaster and what resources need to be ready. Figure 3 outlines the varying activation levels according to the Federal Emergency Management Agency.⁴

At all times governments are at a level 3 activation which means they are at normal operations.⁴ Level 2 activation means that the government is partially activated due to monitor a risk and/or to support a new incident. Some of the staff have reported to the emergency operations center and are working the incident.⁴ Level 1 activation means that there is a full activation and all emergency operations personnel are at the emergency operations facility because there is a major event or incident.⁴

When it comes to these activation levels, businesses should be aware of what they need to do in these situations. During a level 3 activation, this should be business as usual.⁴ For a level 2 activation, businesses should figure out what the hazard or threat is and if this would impact business.⁴ For a level 1 activation, businesses need to be fully prepared for whatever the hazard is the government is responding to and adjust their operations accordingly.⁴

FEMA ACTIVATION LEVELS



Figure 3: FEMA Activation Levels

NATURAL DISASTER PREPAREDNESS

It is important for businesses to know and understand these activations and stay in constant contact with their government via social media pages. These pages will alert businesses of what threats/disasters the local governments are preparing for and how businesses can prepare for them.⁵

1: HAZARD IDENTIFICATION⁵

The first step to creating a plan for your business is to understand what hazards are going to impact your area. The Georgia Emergency Management and Homeland Security Agency (GEMA) states that, Georgia regularly faces many types of natural disasters including:

- Hurricanes,
- Tornadoes,
- Severe storms,
- Wildfires,
- Floods
- Man-made disasters (such as terrorist attacks and transportation accidents involving hazardous materials)
- Disease threats (such as pandemic outbreaks)



2: CREATE A PLAN⁵

The second step is to create a plan to ensure that you can stay in business post-natural disaster. To do this, you need to follow certain steps:

- Identify critical operations of your business
- Determine what is necessary to keep your business running (staff, materials, procedures, etc).
- Create a list of important people you may need to contact and how you are going to communicate with them
- Coordinate with your vendors, suppliers and others you depend on to do your business
- Make sure you have copies of important records that you may need to rebuild. Put them in portable, fireproof, and waterproof container. Also, create a second set and keep it off site.⁵

Case Study: Three Brothers Bakery

Three Brothers Bakery in Texas was hit by Hurricane Harvey in 2017. The business had a plan and knew where they could get financial help to reopen. They were able to reopen a location that took five feet of water in under 20 days.

NATURAL DISASTERS

3: EDUCATE YOUR EMPLOYEES⁵

A critical role for planning also includes your employees. Make sure your employees know what to do before, during, and after a disaster. Here are some important steps you can take with your employees so they know what to do:

- Meet with your employees during the planning process. This will help you shape your plan and consider physical disabilities, and how they can access your facilities safely.
- When the plan is finalized, practice the plan. Conduct planned drills with your employees to ensure they are ready for all hazards.
- Provide educational materials for your employees so they are always aware of what is available to them and what they can do during various hazards.

4: PROTECT YOUR INVESTMENT⁵

Your business is a huge investment and it must be protected during a disaster. It is important that you review your insurance policy to make sure you have the proper coverage for the hazards in your area. You may also want to consider expanding your insurance depending on your flood zone and other hazards you may not have considered previously. You also will want to review any essential equipment and departments for your business. You will also need to consider all of your data and information systems are prepared for the next disaster. Ensure that all information is backed up prior to a disaster and will be available post-disaster.



NATURAL DISASTERS

5: RESPONSE PLAN⁵

It is important that you and your employees know how to respond when a natural disaster occurs. Make sure that your business will receive notices of emergencies in times of a disaster. Check your local emergency management department to determine if they have an alert system. If you need to evacuate, ensure that you have an Evacuation Plan. You will also need to make sure there is a Communication Plan with your employees and there is a list of phone numbers of important entities that are available to them in case of an emergency.

You will also want to make sure that there is an emergency supply kit on-site and available to your employees. Make sure that there is a plan to stock these items and keep them in working order. There should be enough supplies for 72 hours without power.

IMPORTANT LINKS FOR YOUR BUSINESS

Preparing for all hazards are critical to make sure your business reopens post-disaster. There are also disaster specific steps that businesses can take to prepare. We will cover those in the coming pages of this toolkit.

For additional information on how to prepare, please see the links below.

- [Ready.Gov Business Preparedness](#)
- [Ready.Gov Business Continuity Planning](#)
- [U.S. Small Business Administration Preparedness](#)
- [U.S. Chamber of Commerce Business Preparedness](#)
- [OSHA Small Business Preparedness Checklist](#)
- [George Department of Labor - Disaster Related Benefits](#)



NATURAL DISASTERS IN THE REGION

The region sees several different types of disaster on a yearly basis. Below are important information, links, and case studies for your business when it comes to these disasters.

Snow and Ice Storms:

According to the Georgia Emergency Management Agency (GEMA), most Georgians are likely to see some sort of severe winter weather in their lifetimes and it is important for everyone to prepare.

- [GEMA Winter Weather Information](#)
- [Small Business Administration Winter Preparation](#)
- [FEMA Winter Storm Preparation Playbook](#)
- [OSHA Winter Weather Information](#)

Tornadoes:

According to GEMA, Tornadoes are the state's number one weather related killer. It is important for your business to have a place for your employees to go to shelter in place when severe weather happens.

- [GEMA Tornadoes](#)
- [OSHA Tornado Checklist](#)
- [OSHA Tornado Resources](#)
- [Ready.gov Fillable Tornado Plan](#)
- [Debris Removal Information](#)
- [Ready.gov Tornado Toolkit](#)
- [FEMA Tornado Preparation Playbook](#)

Case Study

Joplin, MO Business

The Visiting Angels Senior Care Franchise Office was hit by a Tornado in Joplin Missouri in 2011. The owner of the business had one employee die in the tornado and several employees quit in the wake of the tornado. The owner had to wait six months for the insurance money to replace all his equipment and cars. It took about a year for the business to return to pre-disaster function.

NATURAL DISASTERS IN THE REGION

Flooding

Most Places in the United States are at some risk for flooding, so it is important that you understand your risk, develop preparedness and mitigation plans, and act.⁶ Doing so will not only increase the safety of employees and customers, but it will help you remain in business after disasters such as flooding.

- [GEMA Flooding](#)
- [Ready.gov Fillable Flooding Toolkit](#)
- [FEMA – Flooding Playbook](#)
- [SBA – Flooding Preparedness](#)



Wildfire

Due to the climate of the Georgia Mountains, it is important that businesses be prepared in case of a wildfire evacuation.

- [GEMA Wildfires](#)
- [OSHA – Wildfire Preparation](#)
- [SBA – Wildfire Preparedness PDF](#)
- [FEMA – Wildfire Playbook PDF](#)
- [Ready.gov Wildfire](#)



Cyberattack

Theft of digital information has become the most reported fraud, surpassing physical theft. However, businesses need a cybersecurity strategy to protect their business, their customers, and their data from growing cybersecurity threats.

- [Cybersecurity & Infrastructure Security Agency](#)
- [Ready.gov IT Disaster Recovery Plan](#)
- [Ready.gov Cyberattack information Sheet](#)
- [Federal Communications Commission Guide](#)



CASE STUDY

ATLANTA RANSOMWARE ATTACK

In 2018, the City of Atlanta was the victim of a ransomware attack and several services including police records, courts, and utilities were interrupted. The attacked asked for \$52,000 but the full damage cost the city more than \$17 M. It took the city months to recover from the attack.

CREATING A PLAN

Creating a plan to make sure that your business and your employees are fully prepared is critical to maintaining business continuity after a natural disaster. In the following document, you can fill out your information so that your business is prepared. It is important to keep this information up to date and educate your staff on what is contained in these documents.

DISASTER BUSINESS PLAN FOR:

CONTINUITY PLAN

Legally Registered Business Name:

D.B.A.

Local Address:

City, State, Zip:

Telephone Number / Website:

After Hours Emergency Number:

Corporate Headquarter Address:

City, State, Zip:

Point of Contact:

Telephone Number / Email:

After Hours Emergency Number:

Primary Contact Person (1): (will serve as the company spokesperson in an emergency):

Address:

City, State, Zip:

Phone Number / Email:

- Assumes command
- Assess the situation
- Activate emergency procedures
- Coordinates employee communications
- Other – Describe:

PLANNING TEAM AND CONTINUITY OF AUTHORITY

The following people will participate in emergency planning and crisis management.

- Team Leader: / Emergency Manager (Name /Title/Department)
- (Name /Title/Department)
- (Name /Title/Department)
- (Name /Title/Department)

A preferred chain of authority will consist of one primary and two alternates per position. If the Primary Emergency Manager is unable to manage the crisis, the person below will succeed in management:

Alternate Contact Person (2):

Address:

City, State, Zip:

Phone Number/Email:

- Assumes command
- Assess the situation
- Activate emergency procedures
- Coordinates employee communications
- Other/ Describe:

If Alternate Contact is unable to manage the crisis, the person below will succeed in management:

PLANNING TEAM AND CONTINUITY OF AUTHORITY

If Alternate Contact is unable to manage the crisis, the person below will succeed in management:

Alternate Contact Person (3):

Address:

City, State, Zip:

Phone Number/Email:

- Assumes command
- Assess the situation
- Activate emergency procedures
- Coordinates employee communications
- Other/ Describe:

If Alternate Contact is unable to manage the crisis, the person below will succeed in management:

Alternate Contact Person (4):

Address:

City, State, Zip:

Phone Number/Email:

- Assumes command
- Assess the situation
- Activate emergency procedures
- Coordinates employee communications
- Other/ Describe:

COMMUNICATIONS PLAN

Dial 9-1-1 in an Emergency for Local or Isolated Emergencies

Local Police:

Local Fire:

Local Ambulance Service:

Hospital (Insurance Preferred):

Hospital (closest):

Insurance Provider/Agent: (Policy Number, Headquarter Phone/Contact)

Telephone Company:

Gas/Heat Company:

Electric Company:

Water Company:

Building/Property Manager:

Building Security:

Georgia Division of Homeland Security: (404) 635-7000

Local SBA Small Business Administration Office:

Federal Emergency Management Regional Office (FEMA)

District IV

3003 Chamblee Tucker Road

Atlanta, GA 30341

Phone: (770) 220-5200

Media:

Newspaper

Radio:

Television:

COMMUNICATIONS PLAN

A communication plan should address the requirements for controlling and communicating information. Maintain an up-to-date list of phone numbers, computer and internet login codes and passwords, email addresses, employee phone numbers and other critical information in a secure, but easily accessible, location.

Messages for public release to the media can be prepared and scripted for clarity and uniformity in the information that is distributed. Careful consideration should be made to the person(s) assigned as the official media contact or Public Information Officer (PIO) for the organization.

Media Spokesperson / Public Information Officer:

Communication Priorities:

Internal Communications: Refer to Continuity of Authority Plan

1. _____
2. _____
3. _____

Inbound and/or Outbound Communication Priorities

Consider methods for inbound calls from: patients, customers, members, vendors and etc

Consider methods for outbound communications for: employee notifications, customer updates, status reports and etc.

COMMUNICATIONS PLAN

Communication Methods:

We will utilize these communication methods and provide any necessary training to key personnel.

- Traditional Telephone Landline (not dependant on electrical power for operation)

- Call Forwarding

Identify the method, equipment needed, individual assigned to perform this function and any other critical planning component.

- Cell phone
 - Call Forward to: _____
 - Number: _____
- Secondary Location
 - Call Forward to: _____
 - Number _____
- Off-site Backup System
 - Call Forward to: _____
 - Number _____
- Voice Mail
 - Message Script _____
- Fax Line
 - Number: _____

- Toll-Free
 - Number: _____

COMMUNICATIONS PLAN

- Internet Service:
 - Website for Emergency information: _____
 - Email / Instant Messaging : _____
- Two-Way Radio
 - Assigned to:
 - _____
 - _____
- Radio Frequency:
 - _____
 - _____
- Satellite Phone:
 - Assigned to:
 - _____
 - _____
 - Number(s)
 - _____
 - _____
- SMS/Text
- Pager
- Calling Tree

Use for employee notifications and as a communication tool to maintain contact with key vendors, suppliers and customers.

- Divide your employees into groups
 - by home location
 - work assignment or department

COMMUNICATIONS PLAN

INBOUND NAME/GROUP	CONTACT INFO	COMMUNICATION METHOD

IDENTIFYING YOUR RISKS AND HAZARDS

Considering factors from these areas, the following events could impact our business: Create a plan based on the probability of each risk/hazard.

- Historical / Geographic
- Technological / Cyber
- Human Error / Health / Disruption in leadership....
- Loss of key customer or vendor
- Physical
- Regulatory
- Natural
- Power/Gas/Water

BUSINESS INTERRUPTION	IMPACT ON OPERATIONS	POSSIBLE RESPONSES

INTERNAL RESOURCES & CAPABILITIES/EXTERNAL RESOURCES

These resources are available internally to assist with emergency planning, response and recovery.

Create a list of backup systems such as equipment, data, employee training (cross training), communications that can be identified as a resource for planning, response or recovery.

- Equipment:
- Facilities:
- Organizational:
 - Training
 - Evacuation Plan
 - Employee Support Systems
 - Other / Describe:

BUSINESS INTERRUPTION	IMPACT ON OPERATIONS	POSSIBLE RESPONSES

INTERNAL RESOURCES & CAPABILITIES/EXTERNAL RESOURCES

TYPE OF RESOURCE	LOCATION/DEPARTMENT	POINT OF CONTACT

INTERNAL RESOURCES & CAPABILITIES/EXTERNAL RESOURCES

Resources are available externally to assist with emergency planning, response and recovery: Identify the type of EXTERNAL resource and provide a contact list for planning

- SBA / Small Business Development Center
- Disaster Recovery Specialist
- Trade Associations
- First Responders – Fire, Law Enforcement
- Utilities
- Industry, business, financial, insurance
- Infrastructure / Communications
- Transportation
- Federal, State, regional and local governments
- Trade associations
- Media
- Academic community (universities)
- Community/faith-based organizations

ORGANIZATION/ TYPE	RESOURCE AVAILABLE	POINT OF CONTACT

VULNERABILITY ASSESSMENT

Complete the “Vulnerability Assessment” chart using a ranking system of 5 to 1. Total each column, the LOWER the score- the better.

1. Select a minimum of three risks/hazards to complete the assessment.
2. Estimate the probability based on historical and other known facts.
3. Assess the potential human impact by estimating the possibility of death or injury.
4. Assess the potential property impact considering the potential losses and damages
 - Cost to replace
 - Cost to set up temporary replacement
 - Cost to repair
5. Assess the potential business impact considering:
 - Business interruption
 - Employees unable to report to work
 - Customers unable to reach the facility
 - Company in violation of contractual agreements
 - Imposition of fines and penalties or legal costs
 - Interruption of critical supplies
 - Interruption of product distribution
6. Assess Internal and External Resources
 - Do we have the needed resources and capabilities to respond?
 - Will external resources be able to respond to us for this emergency as quickly as we may need them, or will they have other priority areas to serve
 - Total the Columns

Information gathered from the Vulnerability Assessment could be used to complete portions of the risk/hazard, internal and external resources and capabilities sections of the plan.

Type of Risk/Hazard	Probability	Human Impact	Property Impact	Business Impact	Internal Resources	External Resources	TOTAL	Probability X Total
	High Low 5 → ← 1	High Impact 5 → ← 1 Low Impact			Weak 5 → ← 1 Strong Resources		Weighted Measure for Planning	

INSURANCE REVIEW

Insurance Agent:

Address:

Phone

Cell:

Fax:

Email:

HEADQUARTERS CONTACT:

Address:

Phone

Cell:

Fax:

Email

Type of Insurance	Policy No.	Deductibles	Policy Limits	Coverage (General Description)

Insurance Policy Information

Do you need flood insurance?

Do you need Earthquake Insurance?

Do you have Business Income, Extra Expense or Interruption Insurance?

Consider Business Owners Protection or Key Person

Other:

Date Reviewed with Provider:

ESSENTIAL FUNCTIONS

- What are the most critical and time sensitive business functions?
 - Overall
 - By department / area
- How much down time can be tolerated for each identified business function?
- Which business functions are necessary to fulfill my legal and financial obligations and maintain cash flow?

- Which business functions are essential to maintain my market share and reputation, or to strategically adjust to changed circumstances?

Complete for EACH function in every department

Business Function: _____

Priority: HIGH MEDIUM LOW

Employee in Charge:

Timeframe or Deadline:

Money Lost or Fine Imposed if not done:

Who performs this function? List all that apply.

Employee (s):

Vendor (s):

Key Contacts:

- Make a list of all Essential Functions
- Conduct interviews with each function manager
- Identify loss potential of not performing the function
- Classify Functions
 - Mission Critical
 - Directly tied to profits
 - Crucial to the success of business continuity
 - Business Critical
 - Necessary to resume Mission Critical
 - Supports normal operations

ESSENTIAL FUNCTIONS

- Customer Critical
 - Product / service to meet customer expectation or perception
 - Provide updated information
- Assign KEY PERSONNEL responsible to recover each function
- Determine recovery timeframe to meet business or regulatory requirements per function

Who provides the input to those who perform the function? List all that apply.

Employee(s):

Vendor(s):

Key Contacts:

- Make a list of all Essential Functions
- Conduct interviews with each function manager
- Identify loss potential of not performing the function
- Classify Functions
 - Mission Critical
 - Directly tied to profits
 - Crucial to the success of business continuity
 - Business Critical
 - Necessary to resume Mission Critical
 - Supports normal operations
 - Customer Critical
 - Product / service to meet customer expectation or perception
 - Provide updated information
- Assign KEY PERSONNEL responsible to recover each function
- Determine recovery timeframe to meet business or regulatory requirements per function

ESSENTIAL FUNCTIONS

ESSENTIAL FUNCTION	LOSS POTENTIAL	FUNCTION CLASSIFICATION	RECOVERY PERSONNEL

Mission Essential Function	Critical Restoration Time	Minimum Staff Required	Business Critical Human, Equip & Supply Resources Available	Additional Resources Needed	Space Required at Alternate Facility	Name/Phone of KEY Response Person

Survey Questions

1. List your mission critical activities or functions in priority order
2. For each mission critical function identify the critical restoration time period (e.g., 24 hours, 3 days, 2 weeks, etc)
3. Identify the minimum of staff needed to operate (possibly at an alternate facility) for each mission critical function
4. Identify resources available for this function (possibly to be moved to an alternate facility)
5. Identify any additional resources needed for each mission critical function (partly to help determine space requirements at alternate facility)
6. If planning to use an alternate facility, specify amount of space required
7. Identify by name, position and telephone number the KEY person responsible for each function

Source: Tampa Bay Regional Planning Council (adapted by Ready Georgia))

ESSENTIAL FUNCTIONS

Voice/Data Communications

Type of Service:

- Telephone Fax Machine
 PC Data Communications
 Two-way Radio & Pager Cell Phone
 PBX w/ACD
 Other Explain:

(Private Branch Exchange w/Automatic Call Distribution)

Description and Model:

Status: Currently in use Will lease/buy for recovery location

Voice Communications Feature:

- Voice Mail Conversation Recorder Speaker
 Conference
 Other Explain:

Data Communications Features:

- Cable DSL Dial-UP T-1
 Other Explain:

Quantity:

Primary Supplier/Vendor:

Alternate Supplier/Vendor:

Recovery Install Location: Now identify "types" of training and / or drills that would benefit your employees and organization. Complete Training Drills and Exercises – annual planning calendar and distribute to KEY responders and employee

ESSENTIAL FUNCTIONS

Remote Access

Remote work plans provide one of the best solutions to maintaining productivity during emergencies. It is important to make sure remote access systems that are set up for everyday operations are also reliable in emergency situations as well.

- Contacts
 - Internal Contacts
 - Name & Contact Info:
 - Name & Contact Info:
 - External Contacts
 - Name & Contact Info:
 - Name & Contact Info:
- System
 - Type:
 - Location:
 - Bandwidth Capacity:
 - Expected bandwidth usage during/after large scale disaster:
 - Backup Power Capabilities:
 - Login Names/Passwords:

 - Instructions for Access:
- Personnel
 - Positions Prepared for Remote Access:
 - Percentage of workforce with home access:
 - Percentage of workforce with mobile access:
 - Management Trained for Remote Supervision:
 - Employee Tech Support Contact:
- Security
 - Remote Security Tools in Place:

 - Differences Between Regular and Remote Systems:

ESSENTIAL FUNCTIONS

Equipment/Machinery/Vehicles

Include tools and spare parts to operate equipment required to perform essential business functions.

Item:
Model:
Serial Number or Part Number:
Status: Currently in Use Will lease/buy for recovery location
Primary Vendor/Supplier:
Alternate Vendor/ Supplier:
Recovery location for installation or delivery:
Related business function:
Backup Available: Yes No
Order or lead-time for replacement:

Item:
Model:
Serial Number or Part Number:
Status: Currently in Use Lease/buy for recovery location
Primary Vendor/Supplier:
Alternate Vendor/ Supplier:
Recovery location for installation or delivery:
Related business function:
Backup Available: Yes No
Order or lead-time for replacement:

HUMAN RESOURCES - EMPLOYEE/OWNER CONTACT

Name:

Call Order or Key Person #

Position / Department:

Key Responsibilities:

Shift / Schedule:

Miles from Home:

Home Address:

City, State, Zip:

Cell Phone:

Home Phone:

Office Phone:

Fax/Other:

Home Email:

Office Email:

Emergency Contact:

Relationship:

Emergency Contact Phone:

Alt. Phone

OUT OF STATE EMERGENCY CONTACT

Emergency Contact:

Relationship:

Emergency Contact Phone:

Alt. Phone

Certifications/Training/Resources:

- First Aid / CPR
- Emergency Medical Technician (EMT)
- Military
- Other:
- Other Language(s)
- HAM Radio
- CERT
- 4x4 or off road vehicle

Special Needs – (Voluntary Disclosure):

HUMAN RESOURCES - EMPLOYEE/OWNER CONTACT

Employee Emergency Contact Information

The following is a list of co-workers and individual emergency contact information: Include an OUT OF STATE emergency contact number for each employee.

CO-WORKER	EMERGENCY CONTACT INFO	CO-WORKER	EMERGENCY CONTACT INFO

HUMAN RESOURCES - EMPLOYEE/OWNER CONTACT

Employee Support

Services to consider for employee support after an emergency:

- Cash advances
- Salary continuation
- Flexible work hours
- Reduced work hours
- Crisis counseling
- Care Packages
- Child Care
- Temporary Family Housing
- Employee Training

We will communicate our emergency plans with co-workers /employees:

- New Hire Orientations
- Train Evacuation, Assembly, Shelter, All Clear and Shutdown Managers
- Cross-train on equipment processes – introduce new equipment
- Provide employees with information to develop a family preparedness plan
- Establish an Emergency “call-in” number
- Test the “call down” tree network

In the event of a disaster we will communicate with employees in the following way.

(Prioritize all facility communications and determine which should be restored first in an Emergency):

- ___ Messenger ___ Dial-up Modems
- ___ Telephone/Cell Phone ___ Local Area Networks (LANS)
- ___ Two-way Radio ___ Hand Signals
- ___ FAX Machine ___ HAM Radio
- ___ Microwave / Satellite ___ Text Messaging

HUMAN RESOURCES -EMPLOYEE/OWNER CONTACT

Drills/Training/Exercise Schedule

20__	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct	Nov	Dec
Fire/Evacuation Drill												
Employee Orientation/Review												
Management Orientation/Review												
Department Tabletop Exercise												
Response Team Tabletop Exercise												
Emergency Call Down Procedures												
Walk-through Drill												
Functional Drill												

EVACUATION PLAN

- We have developed plans in collaboration with neighboring businesses and building owners to avoid confusion or gridlock.
- We have located copied and posted building and site maps.
- Exits and Evacuation routes are clearly marked.
- We will practice evacuation procedures _____times per year
- We have identified conditions which an evacuation is necessary
- Established procedures to account for non- employees/suppliers/customers/clients
- Building Evacuation Wardens have been identified and trained
- Designated personnel to continue or shut down essential operations while an emergency is underway with the ability to recognize when to abandon a given task.

If we must leave the workplace quickly:

WARNING SYSTEM

Type / Procedure:

We will test the warning system and record results ____ times a year.

EVACUATION MANAGER:

Alternate Evacuation Manager:

Responsibilities Include:

Assembly Area:

ASSEMBLY AREA MANAGER:

Alternate Assembly Area Manager:

Responsibilities Include:

ALL CLEAR SIGNAL:

EVACUATION PLAN

ALL CLEAR MANAGER:

All Clear Alternate Manager:

Responsibilities Include:

CRITICAL DATA MANAGER:

Alternate Critical Data Manager:

Responsibilities Include:

EVACUATION "GO BOX" – Contents stored in a fire-proof/ waterproof secure container.

- Copy of emergency contact list of employees and key customers/clients including all phone numbers.
- Voice mailbox # and remote password information and instructions so you can change messages as needed providing information to employees so they can call in for instructions.
- Copy of insurance policies, agent and home office contact information
- Copy of emergency vendors (contractors, plumbers, electricians, restoration contractors, etc).
Verify emergency payment arrangements.
- Credentials or authorization to re-enter the workplace or relocation area
- Back up files / tapes of electronic data
- Copy of essential policies, emergency procedures, Business Continuity Plan.
- Pictures of the facility – inside and out. This includes home-based businesses.
- Documentation required for an SBA Disaster Loan or other type of assistance that might become available and may include (consult a local SBA Loan Professional)
 - Corporations/Partnerships: Copy of 3 years tax returns / 1 year personal tax returns on principles (Affiliates with greater than 20% interest) 1 year tax return on affiliated business entity.
 - Sole Proprietorships: Copy of 3 years tax returns with Schedule C
 - Copy of Current Profit and Loss Statement (within 90 days) and recent Copy of Balance Sheet
 - Copy of Listing of aged accounts receivables/payables
 - Copy of Listing of Inventory
 - Copy of Schedule of Liability

Shelter-in-Place Plan For (insert address)

We have talked to co-workers about which emergency supplies, if any, the company will provide in the shelter location and which supplies individuals might consider

We will practice sheltering procedures _____ times per

EVACUATION PLAN

If we must leave the workplace quickly:

WARNING SYSTEM Type / Procedure:

We will test the warning system and record results ____ times a year.

Storm Shelter LOCATION:

"Seal the Room" Shelter Location:

Shelter Manager:

Alternate Shelter Manager:

Responsibilities Include:

All Clear Manager:

Alternate All Clear Manager:

Responsibilities Include:

Facility Shutdown

What conditions necessitate a shutdown? Who is authorized to order a shutdown?

Shutdown Manager:

Alternate Shutdown Manger:

Responsibilities Include:

Recovery Location:

Street Address:

City, State, Zip:

Building Owner/Manager:

Phone: Alternate Phone:

Email: Pager:

Directions to recovery location (include map if available):

Business functions to be performed at recovery location:

Employees who should go to recovery location:

If this location is not accessible we will operate from location below:

Alternate Location Name:

Address:

City/State/Zip:

Telephone Number / Email:

Security Badges / Access Codes required for alternate location Procedure for security processing

** Maintain a copy of the alternate/recovery location's lease/rental agreement or occupancy details as part of this plan

EVACUATION PLAN

Recovery Location Supplies

Supply items that are necessary for essential equipment such as cartridges, fluids, special forms and checks that may be available at a recovery location

Item	Item Order Number	Quantity	Supplier/Vendor	Related Business Function

EVACUATION PLAN

Miscellaneous Recovery Location Resources

Item	Quantity	Primary Supplier/Vendor	Alternate Supplier/Vendor	Recovery Install Location
Chairs				
Desks				
Extension/ drop cords, surge protectors and power strips				
File Cabinets				
Mail Containers				
Portable air conditioner s/ fans				
Safes				
Tables				
Waste Baskets				
Other				

EMERGENCY SUPPLY KIT

Indicate who is responsible for maintaining the suggested item(s) at the workplace.

Preferred: One complete 72-hour kit per every five (5) employees

Car Survival And Emergency Supply Lists:

- Maintain a minimum of one half tank of gas
- Tools needed to change a flat tire
- Jumper cable
- Road emergency flares
- Collapsible shovel
- Flashlight with extra batteries or hand crank
- Coat(s) or Jacket(s)
- Blanket(s) – (can be Mylar)
- Rubber disposable gloves
- Whistle (equipped to hang around neck)
- Fire extinguisher (Standard Class ABC)
- Water: store in clear liter bottles (filled $\frac{3}{4}$ full to allow for freeze expansion) Rotate water every six months. Secure for safety
- Food/Power Bar(s)
- Compass
- Siphoning hose
- Bag of sand or rock salt
- Tow rope
- Personal sanitation items (toilet tissue, towelletes)
- Writing pad, pencils, road map
- Ice scraper
- Rain poncho
- Light stick
- Dust mask
- Maintain vehicle(s) for seasonal changes
- First Aid Kit
 - Band aids, gauze, non-adherent sterile pads (various sizes), first aid tape
 - Anti-bacterial ointment and burn cream
 - Scissors, tweezers, pocketknife, razor blades
 - Large cotton cloth (use for sling, tourniquet, bandage)
 - Non-aspirin pain reliever
 - Chemical ice pack, hand warmer packets
 - Safety pins (various sizes) needles, heavy thread
 - Matches (waterproof)
 - Eye wash
 - Hand wipes (antiseptic) cotton balls, cotton pads
 - Alcohol swabs, iodine (bottle or pads)
 - Prescription medications

EMERGENCY SUPPLY KIT

Company	Employee	Supply Item
		WATER. Amounts for portable kits will vary. Individuals should determine what amount they are able to store comfortably and transport to other locations. <u>If feasible, store 1 gallon of water per person per day</u> for drinking and sanitation. Store in plastic or use commercially bottled water
		FOOD and UTENSILS, at least one to three-day supply of non-perishable food that could include ready-to-eat meats, juices, high-energy foods such as granola or power bars.
		NOAA WEATHER ALERT BATTERY-POWERED RADIO and extra batteries. AM/FM Radio or Hand Crank Powered
		Working SMOKE DETECTORS, FIRE EXTINGUISHER, CARBON MONOXIDE DETECTOR
		BLANKETS/PILLOWS/SLEEPING BAG
		FLASHLIGHT and extra batteries or hand Crank / LIGHT STICKS. Do not use candles/open flame during an emergency
		WHISTLE for emergency signal. Ready to hang around neck.
		DUST or FILTER MASKS, readily available in hardware N95 mask recommended for preventing inhalation of airborne particles.
		MOIST TOWELLETES or BABY WIPES for sanitation
		TOOLS - WRENCH or PLIERS to turn off utilities, BROOM, SHOVEL, HAMMER and WORKING GLOVES
		CAN OPENER for food (if kit contains canned items)
		PLASTIC SHEETING and DUCT TAPE to seal the room for sheltering in place
		MEDICATIONS to include prescription and non-prescription medications such as pain relievers, stomach remedies etc.
		FIRST AID SUPPLIES An assortment of bandages, ointments, gauze pads, cold/hot packs, tweezers, scissors, and sanitizer
		PERSONAL HYGIENE items to include at least one CHANGE OF CLOTHING / SHOES / OUTERWARE. GARBAGE BAGS and plastic ties for personal sanitation
		PAPER SUPPLIES note pads, markers, pens, pencils, plates, napkins, paper towels etc.
		CAMERA -disposable camera to record damage
		CASH/ATM and CREDIT CARD - Keep enough cash for immediate needs in small denominations
		EMERGENCY CONTACT PHONE LIST
		MAP and OTHER

VITAL RECORDS

Record all documents that are vital to perform your essential business functions or necessary to file an insurance claim or apply for a business recovery loan.

Name of Vital Record: _____

Stored Media:

- Network Print Version Hard Drive Laptop
 Microfilm InternetCD Diskette
 Other Explain: _____

Is Record backed up? Yes No

Backed up Media:

- Network Print Version Hard Drive Laptop
 Microfilm Internet CD Diskette
 Other Explain: _____

How often is it backed up?

- Hourly Daily Weekly Monthly
 Quarterly Semi-Annually Yearly
 Never Explain: _____

Where is it stored?

Remote access available?

Essential Business function it supports:

VITAL RECORDS

Vital Information Management:

Financial

- Copy of all bank account numbers and their balances
- Copy of all CD account numbers and balances
- Income tax returns for (3) years for both the business and each principal
- Business financial statements – balance sheet, income statement, reconciliation of net worth for last (3) years
- Accounts Receivable information
- Employee insurance information
- Business insurance information
 - All leased and company vehicles
 - All equipment insurance
 - Extended warranties and/or policies
- 401-K information
- Resumes of principals and managers
- Business account information
 - Account numbers & company contact telephone numbers
 - Telephone
 - Electric (any utility your office receives service from)
 - Company credit cards
 - All customers
 - All vendors

Contractual

- Copy of any contracts between your company and another entity
- Copy of building lease
- Copy of any equipment leases
 - All leased and company vehicles
 - Copier
 - Postage machine
 - Telephones or other leased items
- Copy of City, County and any State business licenses
- Copy of Company By-laws
- Copy of Employee Handbook
- Copy of any current company Strategic or Business Plan

VITAL RECORDS

Sole Proprietorships, Corporations and Partnerships all need the following:

- Copy of current Profit & Loss Statement, Balance Sheet (current within 90 days)
- Copy of listing of inventory
- Copy of Schedule of Liability
- Copy of all of your required licenses (City, Occupational, Sales Tax, Federal ID...)
- Copy of Articles of Incorporation /Corporate Charter
- Resolution of Board of Directors or Partnership
- Partnership agreements if applicable
- Other:
 - Schedule of debts, Affiliates, Franchise agreement
 - Federal Trade Commission report

Critical Telephone Number Log

Phone Number	Type	Status	Description	Solution	Related Business Function

VITAL RECORDS

Key Supplier / Vendor Information

Status: Current Supplier/Vendor Back Up Supplier/Vendor

Company Name:

Account Number (if relevant):

Materials/Service Provided:

Street Address:

City, State, Zip:

Company Phone (main):

Primary Contact: Title:

Primary Contact Phone: Cell:

Primary Contact: Fax:

Primary Contact: Email:

Alternate Contact: Title:

Alternate Contact Phone: Cell:

Alternate Contact: Fax:

Alternate Contact: Email:

Website Address:

Recovery Notes:

** Include Major and Secondary Suppliers/Vendors

VITAL RECORDS

Key Contacts / Customers/ Members

- | | | |
|---|---|---|
| <input type="checkbox"/> Accountant | <input type="checkbox"/> Administration | <input type="checkbox"/> Bank |
| <input type="checkbox"/> Billing/Invoicing Service | <input type="checkbox"/> Building Manager | <input type="checkbox"/> Building Owner |
| <input type="checkbox"/> Building Security Creditor | <input type="checkbox"/> Electric Company | |
| <input type="checkbox"/> Emergency Mgmt Agency. | <input type="checkbox"/> Fire Dept (non emerg) | |
| <input type="checkbox"/> Gas/Heat Company | <input type="checkbox"/> Hazardous Material | |
| <input type="checkbox"/> Insurance Agent/Broker | <input type="checkbox"/> Insurance- CLAIMS | |
| <input type="checkbox"/> Key Customer/Client. | <input type="checkbox"/> Local Newspaper | |
| <input type="checkbox"/> Local Radio | <input type="checkbox"/> Local Television Station | |
| <input type="checkbox"/> Mental Health/Social | <input type="checkbox"/> Police Dept (non emerg) | |
| <input type="checkbox"/> Public Works Dept. | <input type="checkbox"/> Payroll Processing | |
| <input type="checkbox"/> Small Business | <input type="checkbox"/> Telephone Company | |
| <input type="checkbox"/> Other/ Explain: | | |

Name of Business or Service:

Account Number / Policy Number:

Materials/Service Provided:

Street Address:

City/ State/ Zip:

Company/ Service Phone:

Alternate Phone:

Primary Contact:

Title:

Primary Contact Phone:

Cell:

Primary Contact Email:

Fax:

Alternate Contact:

Title:

Alternate Contact Phone:

Cell:

Alternate Contact Email:

Fax:

VITAL RECORDS

Equipment/Machinery/Vehicles

Include tools and spare parts to operate equipment required to perform essential business functions.

Item:

Model:

Serial Number or Part Number:

Status: Currently in Use Will lease/buy for recovery location

Primary Vendor/Supplier:

Alternate Vendor/ Supplier:

Recovery location for installation or delivery:

Related business function:

Backup Available: Yes No

Order or lead-time for replacement:

Item:

Model:

Serial Number or Part Number:

Status: Currently in Use Lease/buy for recovery location

Primary Vendor/Supplier:

Alternate Vendor/ Supplier:

Recovery location for installation or delivery:

Related business function:

Backup Available: Yes No

Order or lead-time for replacement:

VITAL RECORDS

Computer Equipment and Software

Item: _____

Type: Computer Hardware

Computer Software

Status: Currently in use

Lease/buy for recovery location

Primary Supplier/Vendor:

Alternate Supplier/Vendor:

Title and Version or Model Number:

Serial Number:

Purchase/Lease Date:

Purchase/Lease Price:

Recovery Install Location:

Quantity (equipment) or number of licenses (software):

License Numbers

-
-
-
-

Recovery Notes:

Computer Hardware Inventory

- Log your computer peripheral serial and license numbers. Attach a copy of your vendor documentation to this form
- Record the name of the company from which you purchased or leased this equipment and the contact name of notify for your computer repairs
- Record the name of the company that provides repair and support for your computer peripherals

VITAL RECORDS

Hardware (CPU, Monitor, Printer Keyboard, etc.)	Hardware Size RAM & CPU Capacity	Model Purchased	Serial Number	Date Purchased	Cost

Computer Hardware Vendor or Leasing Company Information

Company Name

Street Address

City/State/Zip

Phone

Fax

Website/Email

Contact Name

Account Number

Purchase/Lease Date

Computer Hardware Support/Repair Vendor Information

Company Name

Street Address

City/State/Zip

Phone

Fax

Website/Email

Contact Name

Account Number

Purchase/Lease Date

VITAL RECORDS

Software Title & Version	Serial/Product ID Number	No. of Licenses	License Number	Date Purchased	Cost

Computer Software Vendor or Leasing Company Information

Company Name

Street Address

City/State/Zip

Phone.

Fax.

Website/Email

Contact Name

Account Number.

Purchase/Lease Date

Computer Software Support/Repair Vendor Information

Company Name

Phone

Fax

Website/Email

Contact Name

Account Number

Purchase/Lease Date

DATA AND INFORMATION

To protect our computer hardware

- Secure or mount equipment other: _____

To protect our software

- Maintain software up Inventory licensing information
 Restrict unauthorized downloading of new programs
 other: _____

To protect our data/network/system

- Firewall / Filters / Intrusion Detection Spam guard
 Password Protection Virus detection/prevention software
 Internet content control Limit access to confidential data
 Remove unused software & User accounts
 Other _____

Note: Describe Security / Protection measures to include physical and virtual

Records Backed-up

_____ is responsible for backing up our critical records including payroll and accounting systems. Back-up records including a copy of this plan, site maps, insurance policies, bank account records and computer back ups are stored onsite.

Another set of back-up records is stored at the following off-site location:

If our accounting and payroll records are destroyed, we will provide for continuity in the following ways:

Records Recovery

_____ is responsible for testing the recovery of backed up files to ensure recovery is possible, reliable and complete.

DATA AND INFORMATION

Cyber Security Checklist

PHYSICAL SECURITY	Yes	No
1. Is your computing area and equipment physically secured? 2. Are there procedures in place to prevent terminals from being left in a logged-on state, however briefly? 3. Are screens automatically locked after 10 minutes idle? 4. Are modems set to Auto-Answer OFF (not to accept incoming calls)? 5. Are your PCs inaccessible to unauthorized users (e.g., located away from public areas)? 6. Does your staff wear ID badges? 7. Do you check the credentials of external contractors? 8. Do you have procedures for protecting data during equipment repairs? 9. Is wastepaper binned or shredded? 10. Do you have procedures for disposing of waste material? 11. Do your policies for disposing of old computer equipment protect against loss of data (e.g., by reading old disks and hard drives)? 12. Do you have policies covering laptop security (e.g., cable lock or secure storage)?		
ACCOUNT AND PASSWORD MANAGEMENT	Yes	No
13. Do you ensure that only authorized personnel have access to your computers? 14. Do you require and enforce appropriate passwords? 15. Are your passwords secure (not easy to guess, regularly changed, no use of temporary or default passwords)? 16. Are your computers set up so others cannot view staff entering passwords?		
CONFIDENTIALITY OF SENSITIVE DATA	Yes	No
17. Are you exercising responsibility to protect sensitive data under your control? 18. Is the most valuable or sensitive data encrypted?		
DISASTER RECOVERY	Yes	No
19. Do you have a current business continuity plan?		
SECURITY AWARENESS AND EDUCATION	Yes	No
20. Are you providing information about computer security to your staff? 21. Are employees taught to be alert to possible security breaches?		

DATA AND INFORMATION

Cyber Security Threat Assessment

Example of a threat checklist using 0-5 rating scales for impact and probability

IMPACT SCALE	PROBABILITY SCALE
1. Impact is negligible	0. Unlikely to occur
2. Effect is minor, major agency operations are not affected	1. Likely to occur less than once per year
3. Agency operations are unavailable for a certain amount of time, costs are incurred. Public/customer confidence is minimally affected	2. Likely to occur once per year
4. Significant loss of operations, significant impact on public/customer confidence	3. Likely to occur once per month
5. Effect is disastrous, systems are down for an extended period of time, systems need to be rebuilt and data replaced	4. Likely to occur once per week
6. Effect is catastrophic, critical systems are offline for an extended period; data are lost or irreparably corrupted; public health and safety are affected	5. Likely to occur daily

GENERAL THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
<p>Human Error:</p> <ol style="list-style-type: none"> Accidental destruction, modification, disclosure, or incorrect classification of information Ignorance: inadequate security awareness, lack of security guidelines, lack of proper documentation, lack of knowledge Workload: Too many or too few system administrators, highly pressured users Users may inadvertently give information on security weaknesses to attackers Incorrect system configuration Security policy not adequate Security policy not enforced Security analysis may have omitted something important or be wrong. 			

DATA AND INFORMATION

Cyber Security Threat Assessment

Example of a threat checklist using 0-5 rating scales for impact and probability

THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Dishonesty: Fraud, theft, embezzlement, selling of confidential agency information			
2. Attacks by "social engineering" <ul style="list-style-type: none"> Attackers may use phone to impersonate employees to persuade users/administrators to give username/passwords/modem numbers, execute Trojan Horse programs, etc. 			
3. Abuse of privileges/trust			
4. Unauthorized use of "open" terminals/PC'			
5. Mixing of test and production data or environments			
6. Introduction of unauthorized software or hardware			
7. Time bombs: Software programmed to damage a system on a certain date			
8. Operating system design errors: Certain systems were not designed to be highly secure			
9. Protocol design errors: Certain protocols were not designed to be highly secure. Protocol weaknesses in TCP/IP can result in: <ul style="list-style-type: none"> Source routing, DNS spoofing, TCP sequence guessing, unauthorized access Hijacked sessions and authentication session/transaction replay, data is changed or copied during transmission Denial of service, due to ICMP bombing, TCP-SYN flooding, large PING packets, etc. 			
10. Logic bomb: Software programmed to damage a system under certain conditions			
11. Viruses in programs, documents, e-mail attachments			

DATA AND INFORMATION

Cyber Security Threat Assessment

Example of a threat checklist using 0-5 rating scales for impact and probability

IDENTIFICATION AUTHORIZATION THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Attack programs masquerading as normal programs (Trojan horses).			
2. Attack hardware masquerading as normal commercial hardware			
3. External attackers masquerading as valid users or customers			
4. Internal attackers masquerading as valid users or customers			
5. Attackers masquerading as helpdesk/support personnel			

PRIVACY THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Eavesdropping <ul style="list-style-type: none"> • Electromagnetic eavesdropping / Ban Eck radiation • Telephone/fax eavesdropping (via "clip-on" telephone bugs, inductive sensors, or hacking the public telephone exchanges) • Network eavesdropping. Unauthorized monitoring of sensitive data crossing the internal network • Subversion of ONS to redirect email or other traffic • Subversion of routing protocols to redirect email or other traffic Radio signal eavesdropping, Rubbish eavesdropping (analyzing waste for confidential documents, etc.)			
INTEGRITY / ACCURACY THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Malicious, deliberate damage of information or information processing functions from external sources			
2. Malicious, deliberate damage of information or information processing functions from internal sources			
3. Deliberate modification of information			

DATA AND INFORMATION

Cyber Security Threat Assessment

Example of a threat checklist using 0-5 rating scales for impact and probability

ACCESS CONTROL THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Password cracking (access to password files, use of bad – blank, default, rarely changed – passwords)			
2. External access to password files, and sniffing of the networks			
3. Attack programs allowing external access to systems (back doors visible to external networks)			
4. Attack programs allowing internal access to systems (back doors visible to internal networks)			
5. Unsecured maintenance modes, developer backdoors			
6. Modems easily connected, allowing uncontrollable extension of the internal network			
7. Bugs in network soft are which can open unknown/unexpected security holes (holes can be exploited from external networks to gain access. This threat grows as software becomes increasingly complex)			
8. Unauthorized physical access to system			
REPUDIATION THREAT	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Receivers of confidential information may refuse to acknowledge receipt			
2. Senders of confidential information may refuse to acknowledge source			
LEGAL THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Failure to comply with regulatory or legal requirements (i.e., to protect confidentiality of employee data)			
2. Liability for acts of internal users or attackers who abuse the system to perpetrate unlawful acts (i.e., incitement to racism, gambling, money laundering, distribution of pornographic or violent material)			
3. Liability for damages if an internal user attacks other sites.			

DATA AND INFORMATION

RELIABILITY OF SERVICE THREATS	Impact (0-5)	Probability (0-5)	Total (Impact x Probability)
1. Major natural disasters, fire, smoke, water, earthquake, storms/hurricanes/tornadoes, power outages, etc.			
2. Minor natural disasters, of short duration, or causing little damage			
3. Major human-caused disasters: war, terrorist incidents, bombs, civil disturbance, dangerous chemicals, radiological accidents, etc.			
4. Equipment failure from defective hardware, cabling, or communications system.			
5. Equipment failure from airborne dust, electromagnetic interference, or static electricity			
6. Denial of Service: <ul style="list-style-type: none"> • Network abuse: Misuse of routing protocols to confuse and mislead systems • Server overloading (processes, swap space, memory, "tmp" directories, overloading services) • Email bombing Downloading or receipt of malicious Applets, Active X controls, macros, PostScript files, etc.			
7. Sabotage: Malicious, deliberate damage of information or information processing functions. <ul style="list-style-type: none"> • Physical destruction of network interface devices, cables • Physical destruction of computing devices or media • Destruction of electronic devices and media by electromagnetic radiation weapons (HERF Gun, EMP/T Gun) • Deliberate electrical overloads or shutting off electrical power • Viruses and/or worms. Deletion of critical systems files 			

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