Section I: INTRODUCTION

A. How to Use This Plan

In the event of a disaster which interferes with NATCCO MBAI's ability to conduct business from its office, this plan is to be used by the responsible individuals to coordinate the business recovery of their respective areas. The Business Continuity and Disaster (BC/DR) Plan is designed to contain, or provide reference to, all of the information that might be needed at the time of a business recovery.

Index of Acronyms:
ERT - Emergency Response Team;
EOC - Emergency Operations Center;
EMT - Emergency Management Team;
BCP - Business Continuity Plan;
IT   - Information Technology

Section I, Introduction, contains general statements about the organization of the plan. It also establishes responsibilities for the testing (exercising), training, and maintenance activities that are necessary to guarantee the ongoing viability of the plan.

Section II, Business Continuity Strategy, describes the strategy that the NATCCO MBAI will control or implement to maintain business continuity in the event of a facility disruption. These decisions determine the content of the action plans, and if they change at any time, the plans should be changed accordingly.

Section III, Recovery Teams, lists the Recovery Team functions, those individuals who are assigned specific responsibilities, and procedures on how each of the team members is to be notified.

Section IV, Team Procedures, determines what activities and tasks are to be taken, in what order, and by whom in order to affect the recovery.

Section V, Appendices, contains all of the other information needed to carry out the plan. Other sections refer the reader to one or more Appendices to locate the information needed to carry out the Team Procedures steps.

B. Objectives

The objective of the BC/DR Plan is to coordinate recovery of critical business functions in managing and supporting the business recovery in the event of a facilities (office building)

disruption or disaster. This can include short or long-term disasters or other disruptions, such as fires, floods, earthquakes, explosions, terrorism, tornadoes, extended power interruptions, hazardous chemical spills, and other natural or man-made disasters.

A disaster is defined as any event that renders a business facility inoperable or unusable so that it interferes with the organization's ability to deliver essential business services.

The priorities in a disaster situation are to:

1. Ensure the safety of employees and visitors in the office buildings. (Responsibility of the ERT - NATCCO)

2. Mitigate threats or limit the damage that threats can cause. (Responsibility of the ERT - NATCCO)

3. Have advanced preparations to ensure that critical business functions can continue.

4. Have documented plans and procedures to ensure the quick, effective execution of recovery strategies for critical business functions.

The NATCCO MBAI BC/DR Plan includes procedures for all phases of recovery as defined in the Business Continuity Strategy section of this document.

C. Scope

The BC/DR Plan is limited in scope to recovery and business continuance from a serious disruption in activities due to non-availability of NATCCO MBAI's facilities. This plan includes procedures for all phases of recovery as defined in the Business Continuity Strategy of this document. The scope of this plan is focused on localized disasters such as fires, floods, and other localized natural or man-made disasters. This plan is not intended to cover major regional or national disasters such as regional earthquakes, war, or nuclear holocaust. However, it can provide some guidance in the event of such a large scale disaster.

D. Assumptions

The viability of this Business Continuity Plan is based on the following assumptions:

1. That a viable and tested IT Disaster Recovery Plan exists and will be put into operation to restore data center service at a backup site within five to seven days.

2. That the Organization's facilities management department has identified available space for relocation of departments which can be occupied and used normally within two to five days of a facilities emergency.

3. That this plan has been properly maintained and updated as required.

E. Changes to the Plan/Maintenance Responsibilities

Maintenance of the BC/DR Plan is the joint responsibility of the General Manager and the Business Continuity Coordinator.

Management is responsible for:

1. Periodically reviewing the adequacy and appropriateness of its Business Continuity strategy.

2. Assessing the impact on the BC/DR Plan of additions or changes to existing business functions, procedures, equipment, and facilities requirements.

3. Keeping recovery team personnel assignments current, taking into account promotions, transfers, and terminations.

4. Communicating all plan changes to the Business Continuity Coordinator so that the organization's IT master Disaster Recovery Plan can be updated.

5. Maintaining and/or monitoring offsite office space sufficient for critical functions and to meet the facility recovery time frames.

6. Communicating changes in the "Organization IT Disaster Recovery Plan" plan that would affect groups/departments to those groups/departments in a timely manner so they can make any necessary changes in their plan.

7. Communicating all plan changes to the Business Continuity Coordinator so that the master plan can be updated.

The Business Continuity Coordinator is responsible for:

1. Keeping the organization's IT Recovery Plan updated with changes made to facilities plans.

2. Coordinating changes among plans and communicating to management when other changes require them to update their plans.

F. Plan Testing Procedures and Responsibilities

Management is responsible for ensuring the workability of the BC/DR Plan. This should be periodically verified by active or passive testing.

G. Plan Training Procedures and Responsibilities

Management is responsible for ensuring that the personnel who would carry out the BC/DR Plan are sufficiently aware of the plan's details. This may be accomplished in a number of ways including; practice exercises, participation in tests, and awareness programs conducted by the Business Continuity Coordinator.

Section II: BUSINESS CONTINUITY STRATEGY

A. Introduction

This section describes the strategy devised to maintain business continuity in the event of a facilities disruption. **This strategy would be invoked should NATCCO MBAI primary facility somehow be damaged or inaccessible.**

B. Business Function Recovery Priorities

The strategy is to recover critical business functions at the alternate site location. This can be possible if an offsite strategy has been put into effect to provide the recovery service. Information Systems will recover IT functions based on the critical departmental business functions and defined strategies.

Business Functions by Location are listed in **Appendix B (Recovery Priorities for Critical Business Functions)**. "Time Critical Business Functions," i.e., those of which are of the most critical for immediate recovery at the secondary location are:

Reference: Appendix B – Recovery Priorities for Critical Business Functions

C. Relocation Strategy and Alternate Business Site

In the event of a disaster or disruption to the office facilities, the strategy is to recover operations by relocating to an alternate business site. The short-term strategies (for disruptions lasting two weeks or less), which have been selected, include:

Primary Location	Alternate Business Site
3/F NATCCO Building, JP Rizal Street, Project 4, Quezon City 1109	TO BE DISCUSSED: Short Term: Long Term:

For all locations, if a long-term disruption occurs (i.e. major building destruction, etc.); the above strategies will be used in the short-term (less than two weeks). The long-term strategies will be to acquire/lease and equip new office space in another building in the same metropolitan area.

D. Recovery Plan Phases

The activities necessary to recover from facilities disaster or disruption will be divided into four phases. These phases will follow each other sequentially in time.

1. **Disaster Occurrence**

    This phase begins with the occurrence of the disaster event and continues until a decision is made to activate the recovery plans. The major activities that take place in this phase includes: **emergency response measures, notification of management, damage assessment activities, and declaration of the disaster.**

2. **Plan Activation**

    In this phase, the BC/DR Plans are put into effect. This phase continues until the alternate facility is occupied, critical business functions reestablished, and computer system service restored. The major activities in this phase include: **notification and assembly of the recovery teams, implementation of interim procedures, and relocation to the secondary facility/backup site, and re-establishment of data communications.**

3. **Alternate Site Operations**

    This phase begins after secondary facility operations are established and continues until the primary facility is restored. **The primary recovery activities during this phase are backlog reduction and alternate facility processing procedures.**

4. **Transition to Primary Site**

    This phase consists of any and all activities necessary to make the transition back to a primary facility location.

E.   **Vital Records Backup**

All vital records that would be affected by a facilities disruption are maintained and controlled by each unit/staff. Some of these files are periodically backed up as part of normal operations.

F.   **Restoration of Hardcopy Files, Forms, and Supplies**

In the event of a facilities disruption, critical records located in the primary location may be destroyed or inaccessible. In this case, the last backup of critical records in the secure warehouse would be transported to the secondary facility. The amount of critical records, which would have to be reconstructed, will depend on when the last shipment of critical records to the offsite storage location occurred.

Management will arrange the frequency of rotation of critical records to the offsite storage site.

The following categories of information can be exposed to loss:

1. Any files stored on-site in file cabinets and control file rooms.

2. Information stored on local PC hard drives.

3. Any work in progress.

4. Received and un-opened mail.

5. Documents in offices, work cubes and files.

6. Off-site records stored in the Records Warehouse (if this is not a secure, hardened facility).

G. On-line Access to NATCCO MBAI Computer Systems

In the event of a facilities disruption, the IT Disaster Recovery Plan strategy should be able to assist in re-establishing connectivity to NATCCO MBAI and to establish remote communications to any alternate business site location. If the data center is affected by a disaster or disruption, the IT Disaster Recovery Plan should include recovering processing at a pre-determined alternate site. Services covered would include; phones, cellular phones, internet connection, and all other services required for restoring limited emergency service to the organization.

Section III: RECOVERY TEAM

A. Purpose and Objective

This section of the plan identifies who will participate in the recovery process for BC/DR Plan. The participants are organized into one team. Team members are assigned either to specific responsibilities or as team members to carry out tasks as needed.

B. Recovery Team Descriptions

This section lists the team definition and gives a short explanation of their function.

C. Recovery Team Assignments

This section identifies the team roles and the specific responsibilities that have been assigned to the team.

Team leader - Overall coordination of Recovery Team

Team Member - Duties to be assigned based on Recovery Team areas of responsibility

D. Personnel Notification

This section specifies how the team members are to be notified if the plan is to be put into effect by identifying who calls whom, and in what order

References: Appendix A - Employee Telephone Lists

E. Team Contacts

This section identifies other people or organizations outside NATCCO MBAI who might need to be contacted during the recovery process. Their names and telephone numbers are provided.

Reference: Appendix A – Employee Telephone Lists

F. Team Responsibilities

Departmental Recovery Teams

Name	Unit
Minerva Tejada	General Manager
Kristine Ramirez	Accounting & Finance
Jennifer Estocada	Claims
Ma. Cherish Solsona	MIS
Elizabeth Aquino	Admin

Business Continuity Coordinator – Kristine Ramirez

In the event of a disaster, the Business Continuity Coordinator is responsible for ensuring that the following activities are successfully completed:

- Works with the NATCCO Network Emergency Management Team to officially declare a disaster, and start the Disaster Recovery/Business Continuation process to recover NATCCO MBAI's business functions at an alternate site.

- Alert NATCCO MBAI's Senior Management that a disaster has been declared.

- Assist in the development of an official public statement concerning the disaster. Monitor the progress of all Business Continuity and Disaster Recovery teams daily.

- Provide on-going support and guidance to the Business Continuity team.

- Review staff availability and recommend alternate assignments, if necessary.

- Work with NATCCO Network Management to authorize the use of the alternate recovery site selected for re-deploying critical resources.

- Review and report critical processing schedules and backlog work progress, daily.

- Ensure that a record of all Business Continuity and Disaster Recovery activity and expenses incurred is being maintained.

EOC Communications Team – GM & Marketing

This team is responsible for providing information regarding the disaster and recovery efforts to:

- NATCCO MBAI Board of Trustees and officers
- Cooperatives: MICOOP and Direct
- Vendors/Contracts: Banks, reinsurers, printers, programmers, etc.
- Regulatory Agencies: IC, LGU, SEC, etc.
- Other Stakeholders

EOC Human Resources Team – GM & Accounting Supervisor

This team is responsible for:

- Providing information regarding the disaster and recovery efforts to employees and families.
- Assisting in arranging cash advances if out of area travel is required.
- Notifying employee's emergency contact of employee injury or fatality.
- Ensuring the processing of all life, health, and accident insurance claims as required.
- Coordinates temporary organization employee requests.

EOC Administration Team – GM & Administration Staff

This team is responsible for:

- Ensuring the recovery/restoration personnel has assistance with clerical tasks, errands, and other administrative activities.
- Arranging for the availability of necessary office support services and equipment.
- Providing a channel for authorization of expenditures for all recovery personnel.
- Arranging travel for employees.
- Tracking all costs related to the recovery and restoration effort.
- Identifying and documenting when repairs can begin and obtaining cost estimates.
- Determining where forms and supplies should be delivered, based on damage to the normal storage areas for the materials.
- Contacting vendors to schedule specific start dates for the repairs.
- Taking appropriate actions to safeguard equipment from further damage or deterioration.
- Coordinating the removal, shipment, and safe storage of all furniture, documentation, supplies, and other materials as necessary.
- Supervise all salvage and cleanup activities.
- Coordinating required departmental relocations to the recovery sites.
- Coordinating relocation to the permanent site after repairs are made
- Assuring that arrangements are made for meals and temporary housing facilities, when required, for all recovery personnel.

- Assuring order placement for consumable materials (forms, supplies, etc.) for processing based upon input from the other teams.

- Notifying the United States Postal Service of delivery disruption.

- Establishing internal mail delivery procedures and process.

- Assuring that mail, and reports are redirected to the proper location as required.

Emergency Response Team – GM & Administration Staff

This team is responsible for:

- The safety of all employees.

- Inspecting the physical structure and identifying areas that may have sustained damage.

- Expanding on and/or revising the findings of the Preliminary Damage Assessment.

- Providing Board of Trustees with damage assessment reports and recommendations.

Information Technology Recovery Team (See also Disaster Recovery Plan) – GM & MIS

This team is responsible for:

- Activating the IT Technology Recovery Plan (See also Disaster Recovery Plan).

- Managing the IT disaster response and recovery procedures.

- Mobilizing and managing IT resources.

- Coordinating all communications related activities, as required, with telephone & data communications, PC, LAN support personnel, and other IT related vendors.

- Assisting, as required, in the acquisition and installation of equipment at the recovery site.

- Ensuring that cellular telephones, and other special order equipment and supplies are delivered to teams as requested.

- Participating in testing equipment and facilities.

- Participating in the transfer of operations from the alternate site as required.

- Coordinating telephone setup at the EOC and recovery site.

- Coordinating and performing restoration or replacement of all desktop PCs, LANs, telephones, and telecommunications access at the damaged site.

- Coordinating Disaster Recovery/IT efforts between different departments in the same or remote locations.

- Training Disaster Recovery/IT Team Members.

- Keeping Senior Management and the EOC Business Continuity Coordinator appraised of recovery status.

Section IV: RECOVERY PROCEDURES

A. Purpose and Objective

This section of the plan describes the specific activities and tasks that are to be carried out in the recovery process. Given the Business Continuity Strategy outlined in **Section II**, this section transforms those strategies into a very specific set of action activities and tasks according to recovery phase.

The Recovery Procedures are organized in the following order: recovery phase, activity within the phase, and task within the activity.

The recovery phases are described in **Section II.D** of the Plan. In the Recovery Procedures document, the phases are listed in the order in which they will occur. The description for each recovery phase begins on a new page.

Each activity is assigned to the team.

The finest level of detail in the Recovery Procedures is the task. All plan activities are completed by performing one or more tasks. The tasks are numbered sequentially within each activity, and this is generally the order in which they would be performed.

Recovery Activities and Tasks

PHASE I: Disaster Occurrence

ACTIVITY 1: Emergency Response and Emergency Operations Center Designation

ACTIVITY IS PERFORMED AT LOCATION: Main Office or Emergency Operations Center

ACTIVITY IS THE RESPONSIBILITY OF THIS TEAM: All Employees

TASKS:

1. After a disaster occurs, quickly assess the situation to determine whether to immediately evacuate the building or not, depending upon the nature of the disaster, the extent of damage, and the potential for additional danger.

   Note: If the main office is total loss, not accessible or suitable for occupancy, the remaining activities can be performed from the Emergency Operations Center (EOC), after ensuring that all remaining tasks in each activity have been addressed. This applies to all activities where the Main Office is the location impacted by the disaster. The location(s) of the EOC are designated in **Appendix D - Emergency Operations Center (EOC) Locations**. The EOC may be temporarily setup at any one of several optional locations, depending on the situation and accessibility of each one. Once the Alternate site is ready for occupancy the EOC can be moved to that location.

2. Quickly assess whether any personnel in your surrounding area are injured and need medical attention. If you are able to assist them without causing further injury to them or without putting yourself in further danger, then provide what assistance you can and also call for help. If further danger is imminent, then immediately evacuate the building.

3. If appropriate, evacuate the building in accordance with your building's emergency evacuation procedures. Use the nearest stairwells.

4. **Outside of the building meet at the parking area**. **Do not wander around or leave the area until instructed to do so.**

5. Check in with your department manager for roll call. This is important to ensure that all employees are accounted for.

ACTIVITY 2: Notification of Management

ACTIVITY IS PERFORMED AT LOCATION: At Any Available Phone

ACTIVITY IS THE RESPONSIBILITY OF: Management Team

PRIMARY: MINERVA TEJADA

ALTERNATE: KRISTINE RAMIREZ

TASKS:
1. Team leader informs the Board of Trustees and Officers, if they have not been informed.

2. Personnel are notified of the disaster by following procedures as included in **Section III. D. - Recovery Personnel Notification.**

3. Depending upon the time of the disaster, personnel are instructed what to do (i.e. stay at home and wait to be notified again, etc.)

ACTIVITY 3: Preliminary Damage Assessment

ACTIVITY IS PERFORMED AT LOCATION: Main Office Location

ACTIVITY IS THE RESPONSIBILITY OF: General Manager and Accounting Group

TASKS:
1. Contact the Organization Emergency Response Team Leader to determine responsibilities and tasks to be performed by NATCCO MBAI employees.

2. If the Organization Emergency Response Team requests assistance in performing the Preliminary Damage Assessment, caution all personnel to avoid safety risks as follows:

   • Enter only those areas the authorities give permission to enter.

   • Ensure that all electrical power supplies are cut to any area or equipment that could possess a threat to personal safety.

- Ensure that under no circumstances is power to be restored to computer equipment until the comprehensive damage assessment has been conducted, reviewed, and authority to restore power has been expressly given by the Emergency Management Team.

3. Inform all team members that no alteration of facilities or equipment can take place until the authorized team have made a thorough assessment of the damage and given their written agreement that repairs may begin.

4. Instruct the Organization Emergency Response Team Leader to deliver the preliminary damage assessment status report immediately upon completion.

5. Facilitate retrieval of items (contents of file cabinets -- petty cash box, security codes, network backup tapes, control books, etc.) needed to conduct the preliminary damage assessment.

6. Ensure that administrative support is available, as required.

7. Arrange a meeting with the Emergency Management Team and Management Teams from other GROUPS/DEPARTMENTS in the area to review the disaster declaration recommendation that results from the preliminary damage assessment and to determine the course of action to be taken.

ACTIVITY 4: Declaration of a Disaster

ACTIVITY IS PERFORMED AT LOCATION: Main Office Location or Alternate Site/Emergency Operations Center

ACTIVITY IS THE RESPONSIBILITY OF: Management Team

TASKS:

1. Actual declaration of a disaster is to be made by the Management, after consulting with the Emergency Response Team. NATCCO MBAI should coordinate with NATCCO Network and wait for notification that a disaster has been declared and that NATCCO MBAI should start executing their Business Continuity Plans and relocate to their Alternate Business Site Location.

2. The person contacted verifies that the caller is someone who is authorized to do the notification.

3. The person contacted notifies the Board of Directors and Officers, if they have not yet been contacted.

4. In the event the Emergency Management Team cannot be assembled or reached, NATCCO MBAI should assemble at the given location, gather appropriate information, consult with senior management, and make the decision whether to declare the disaster.

5. Because of the significance, disruption, and cost of declaring a disaster, appropriate facts should be gathered and considered before making the decision to declare a disaster. The Emergency Management Team is in-charge of declaring a disaster.

PHASE II: Plan Activation

ACTIVITY 1: Notification and Assembly of Recovery Teams and Employees

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site/Emergency Operations Center

ACTIVITY IS THE RESPONSIBILITY OF: General Manager

TASKS:

1. The GM calls each member, instructs them of what time frame to assemble at the Emergency Operations Center (to be decided at the time), and to bring their copies of the Plan. The location(s) of the EOC are designated in **Appendix D - Emergency Operations Center (EOC) Locations**. The EOC may be temporarily setup at any one of several optional locations, depending on the situation and accessibility of each one. Once the Alternate site is ready for occupancy the EOC can move to that location, if preferred.

2. Review the recovery strategy and action plan with the assembled team.

3. GM contacts critical employees and tells them to assemble at the alternate site. If the alternate site is a long distance from the primary site, then individuals should make their own travel arrangements to the alternate site. Non-critical employees should be instructed to stay at home, doing what work is possible from home, until notified otherwise.

4. **In the event of a disaster that affects telecommunications service regionally**, GM should directly (face-to-face) instruct critical employees to proceed to the alternate site.

ACTIVITY 2: Relocation to Alternate Site

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: All Critical Personnel

TASKS:

1. When instructed by the GM, make arrangements to commute or travel to the alternate site.

2. If allowed access to the primary site to retrieve vital records and other materials, **perform some pre-planning to determine what is most important to retrieve**. This may be necessary since the time you may be allowed access to the primary site may be minimal.

3. Depending on the amount of vital records and other materials you are able to retrieve from the primary site, make arrangements to transport this material to the alternate site. If the material is not too great, this could be accomplished by giving to employees to carry along with them. If the material is a large amount, then make arrangements for transport services and/or overnight courier services.

4. Management and critical employees travel to alternate site.

ACTIVITY 3: Implementation of Interim Procedures

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: General Manager

TASKS:

1. After arrival at the alternate site, map out locations that can be used for workspace. This should include unused offices and cubicles, conference rooms, training rooms, lunch/break areas, and open space in hallways or in other areas.

2. Obtain additional tables and chairs, either from the office or from outside rental agencies to provide additional workspace. Place in any available open areas, but be cautious of not blocking exits for fire evacuation purposes.

3. **Determine flexible working schedules for staff** to ensure that client and business needs are met, but also to enable effective use of space. This may require that some employee's work staggered shifts or may need to work evening or nightshifts.

4. Gather vital records and other materials that were retrieved from the primary site and determine appropriate storage locations, keeping in mind effectiveness of workgroups.

5. Determine which vital records, forms, and supplies are missing. Obtain from off-site storage location or from other sources, as needed, per Appendices E & F.

6. Developed prioritized work activities, especially if all staff members are not available.

ACTIVITY 4: Establishment of Telephone Communications

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: IT Liaison

TASKS:

1. Contact the Emergency Response Team to determine what activities they are taking to reroute telephone communications to the alternate site.

2. If your alternate site is at another office, prepare a list of phone extensions which your staff will be temporarily using and provide this list to the alternate site switchboard attendant.

3. If your primary office phones will not be switched to the alternate site, let the Emergency Response Team know that the phones need to be transferred to the phone numbers you will be using at the alternate site.

4. Coordinate with cooperatives, reinsurers, and suppliers to notify them of the disaster situation, how NATCCO MBAI is responding, and how you can be reached.

ACTIVITY 5: Restoring Data Processing and Data Communications with Primary or Secondary Backup Data Center

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF THIS TEAM: MIS

TASKS:

1. Contact the Emergency Response Team to determine when the data center is to be recovered, if affected by the disaster. Also, discuss when data communications will be established between the primary or secondary backup data center and your alternate site.

2. If your alternate site is another office, determine if that site has access to the computer systems or can accommodate extra computer (laptop). Discuss with the team the available resources. In this situation, it is important that all external hard drives that have the back-up files are available.

3. Communicate with the team the work schedule so that everyone can process their own data,

PHASE III: Alternate Site Operations

ACTIVITY 1: Alternate Site Processing Procedures

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: Alternate Site Operations Team

TASKS:

1. Communicate with customers regarding the disaster and re-solicit phone contacts (in conjunction with the Organization Communications Team)
2. Acquire needed vital documents
3. Access missing documents and files and reconstruct, if necessary
4. Set up operation

ACTIVITY 2: Manage work backlog reduction

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: Alternate Site Operations Team

TASKS:

1. Determine priorities for work backlogs to ensure the most important backlogged tasks are resolved first.

2. Set an overtime schedule, if required, based on staff and system availability.

3. Set backlog priorities, establish a backlog status reports if necessary, and communicate this to the GM.

4. If backlogs appear to be very large or will take a significant time to recover, determine if temporaries could be used for certain tasks to help eliminate the backlogs. If justified, arrange for temporaries to come in.

PHASE IV: Transition to Primary Operations

ACTIVITY 1: Changing Telephone and Data Communications Back to Primary Site

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site

ACTIVITY IS THE RESPONSIBILITY OF: IT Liaison

TASKS:

1. Coordinate with the Organization Disaster Recovery/IT Team to determine when <Department Name> will be relocating back to the primary site. Verify that they have a schedule to ensure that telephone and data communications are rerouted accordingly.

2. Discuss when and how PC's, terminals, and printers, if brought into the alternate site, will be de-installed, moved back to the primary site and re-installed.

ACTIVITY 2: Terminating Alternate Site Procedures

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site and Primary Site

ACTIVITY IS THE RESPONSIBILITY OF: <Department Name> Team

TASKS:

1. Determine which alternate site operating procedures will be suspended or discontinued and when.

2. Communicate the changes in procedures to all affected staff.

3. Determine if additional procedures are needed upon return to the primary site, such as to continue resolving work backlogs.

ACTIVITY 3: Relocating Personnel, Records, and Equipment Back to Primary (Original) Site

ACTIVITY IS PERFORMED AT LOCATION: Alternate Site and Primary Site

ACTIVITY IS THE RESPONSIBILITY OF: <Department Name> Management Team

TASKS:

1. In conjunctions with the Emergency Management Team and the Organization Emergency Response Team, determine when <Department Name> will be scheduled for relocating back to the primary site.

2. Communicate this schedule to all <Department Name> personnel.

3. Inventory vital records, equipment, supplies, and other materials, which need to be transported from the alternate site to the primary site.

4. Pack, box, and identify all materials to be transported back to the primary site.

5. In conjunction with the Organization Administration Team, make arrangement for a moving company or courier service to transport the boxes back to the primary site.

Section V: Appendices

Appendix A - Employee Telephone Lists

Appendix B - Recovery Priorities for Critical Business Functions

Appendix C - Alternate Site Recovery Resource Requirements

Appendix D - Emergency Operations Center (EOC) Locations

Appendix E - Vital Records

Appendix F - Forms and Supplies

Appendix G - Vendor Lists

Appendix H - Desktop Computer Configurations

Appendix I - Computer System Reports

Appendix J - Critical Software Resources

Appendix K - Alternate Site Transportation Information

Appendix L - Alternate Site Accommodations Information

Appendix M - Severity Impact Assessments

Appendix N - <ORGANIZATION NAME> Business Impact Assessment

Appendix O - Recovery Tasks List

Appendix P - Recommended <ORGANIZATION NAME> Office Recovery

Appendix Q - Guides to EMS

Appendix A - Employee Telephone Lists

	Employee	Title/Function	Cellular/ Pager #	EMAIL
*				
**				
**				
	Fire, Police, Emergency			

*   Indicates Team Leader
**   Indicates Alternate Team Leader

Appendix B - Recovery Priorities for Critical Business Functions

Department	Priorities	Maximum Allowable Downtime			
\<Department Name\>		**1-2 Days**	**3-5 days**	**1-2 weeks**	**\> 2 weeks**
Contracts	**Critical**	**X**			

Appendix C - Alternate Site Recovery Resource Requirements

General Requirements

#	Description	Current Number	BCP Number	Comments
1.	Number of people			
2.	Square footage needed			
3.	Power Outlets 110V			Can use power strips
4.	Power Outlets 220V			
5.	Telephones			
6.	Telephone lines			
7.	Desks			
8.	Chairs			
9.	Tables			
10.	Typewriters			
11.	Photocopiers			
12.	Calculators			
13.	Microfiche Viewers			
14.	File Cabinets (specify type)			4 drawer lateral file cabinets
15.	Other - Please attach list			

Technical Requirements

#	Description	Current Number	BCP Number	Comments
1.	Telephone Lines (regular)			
2.	Telephone Lines (800 or special)			
3.	Single Line Telephone Sets			
4.	Other Type Telephone Sets TWO LINE			
5.	Stand-alone FAX Machines			
6.	PC's			
7.	LAN/WAN Connections			
8.	Printers - LAN			
9.	Printers - Direct attach to PC			
10.	PC Connectivity outside <ORGANIZATION NAME>* (Internet)			
11	Other Computers			
12.	Fax – Stand alone			
13.	Other - Please attach list			

Appendix D - Emergency Operations Center (EOC) Locations

Disaster Affecting Which Area/Building   EOC Location

<ORGANIZATION NAME> Home Community City

Recovery Locations and Travel Directions

Alternate Sites

Critical Function	Alternate Site
Desktop and Personnel	
EOC Emergency Management Team	

NOTE - Provide directions to all alternate sites. Include address and phone number of site. Include Maps and Floor Plans.

Appendix E - Vital Records

Description	Primary Location of Records	Alternate (Backup) Location of Records	Other Sources to Obtain Records
Settlement Agreements	Department File Cabinets	Vault	Scanned images on Network drive/Other Parties
Litigation Files	Department File Room	Scanned Images of pleadings on Network drive	Outside Counsel/Courts

Appendix F - Forms and Supplies

Form/Supply Name/Description	Primary Locations Where Stored	Alternate Sources to Obtain Form/Supply	Vendor's Name/Phone
No special form or supplies other than standard office supplies.			

Appendix G - Vendor Lists

Vendor Name	Goods/Service Provided	Contact Name	Address	Phone #
Master Service Agreements and other contractors – lists available on network Master Service Agreement and Insurance databases				

Appendix H - Desktop Computer Configurations

Description of Desktop: Dell, etc _____

Used By: All <Department Name> Employees_____

Business Activity Supported: _____

Connected to Which LAN's: _____

Used for Host Access (Which Applications): network printing_____

Special Features, Boards, Memory Size, Etc.: over 20 Gigs HD, over 128MB Memory _____

Over 850 MHz Processor(s)_____

Ethernet Net Cards, Fax/Modems_____

Proprietary Software required (indicate release number, version and/or level, as applicable:__

The IT Department maintains records on all desktop systems. _____

_____

_____

Appendix I - Computer System Reports

Report Name	Report Description	System Produced From	Alternate Sources of Report or Information
No special computer reports required.			

Appendix J - Critical Software Resources

Software Application	Publisher or Vendor	Platform	Recovery Criticality

Appendix K - Alternate Site Transportation Information

Employees will be notified (by team members), if a disaster is declared, as to the location and when to report. Since recovery site is local, transportation to the work location is up to the employee unless directed otherwise. Directions will be supplied at the time of notification, if necessary.

Appendix L - Alternate Site Accommodations Information

Should alternate site accommodations be required team members will be notified. Employees will be contacted (by team members), if a disaster is declared, as to the location and where to go. Since accommodations are local, transportation to the work location is up to the employee unless directed otherwise. Directions will be supplied at the time of notification, if necessary.

Appendix M - Severity Impact Assessments
\<Department Name\>

		Severity of Impact					
		Least ------>		*to ------>*		*Greatest*	**Comments**
	Impact Area	**1**	**2**	**3**	**4**	**5**	
1	Cash Flow Interruption						
2	Inoperative Billing Systems						
3	Inoperative Financial Controls						
4	Loss of Customers						
5	Financial Reporting (Banks, IRS, etc.)						
6	Increases in Liability						
7	Loss of Public Image						
8	\<Department Name\> and Regulatory Violations						
9	Contractual Violations						
10	Vendor Liabilities & Relations						
11	Customer Liability & Relations						
12	Effect on Employee Morale						
13	Staff Resignations						

Disaster Recovery Strategy

The disaster recovery strategy explained below pertains specifically to a disaster disabling the main data center. This functional area provides mainframe computer and major server support to MIT's administrative applications. Especially at risk are the critical applications those designated as Category I (see below) systems. The O&S FARM Team Plan provides for recovering the capacity to support these critical applications within ___ hours. Summarizing the provisions of the O&S Plan, subsections below

explain the context in which the Institute's Business Continuity Plan operates. The Business Continuity Plan complements the strategies for restoring the data processing capabilities normally provided by Operations & Systems.

This section addresses three phases of disaster recovery:

· Emergency

· Backup

· Recovery

Strategies for accomplishing each of these phases are described below. It should be noted that the subsection describing the emergency phase applies equally to a disaster affecting the Adminstration Building or other building on campus, the functional area that provides support for the maintenance of the critical system.

Emergency Phase

The emergency phase begins with the initial response to a disaster. During this phase, the existing emergency plans and procedures of Campus Police and Physical Plant direct efforts to protect life and property, the primary goal of initial response. Security over the area is established as local support services such as the Police and Fire Departments are enlisted through existing mechanisms. The BCMT Duty Person is alerted by pager and begins to monitor the situation.

If the emergency situation appears to affect the main data center (or other critical facility or service), either through damage to data processing or support facilities, or if access to the facility is prohibited, the Duty Person will closely monitor the event, notifying BCMT personnel as required to assist in damage assessment. Once access to the facility is permitted, an assessment of the damage is made to determine the estimated length of the outage. If access to the facility is precluded, then the estimate includes the time until the effect of the disaster on the facility can be evaluated.

If the estimated outage is less than __ hours, recovery will be initiated under normal Information Systems operational recovery procedures. If the outage is estimated to be longer than __ hours, then the Duty Person activates the BCMT, which in turn notifies the Chairman of the Administrative Computing Steering Committee and Vice President for Information Systems and the Business Continuity Plan is activated. The recovery process then moves into the back-up phase.

The Business Continuity Management Team remains active until recovery is complete to ensure that the Institute will be ready in the event the situation changes.

Back-up Phase

The back-up phase begins with the initiation of the appropriate FARM Team Plan(s) for outages enduring longer than __ hours. In the initial stage of the back-up phase, the goal is to resume processing critical applications. Processing will resume either at the main data center or at the designated hot site, depending on the results of the assessment of damage to equipment and the physical structure of the building.

In the back-up phase , the initial hot site must support critical (Category I) applications for up to __ weeks and as many Category II applications as resources and time permit. During this period, processing of these systems resumes, possibly in a degraded mode, up to the capacity of the hot site. Within this __-week period, the main data center will be returned to full operational status if possible.

However, if the damaged area requires a longer period of reconstruction, then the second stage of back-up commences. During the second stage, a shell facility (a pre-engineered temporary processing facility that we have contracted to use for this purpose) is assembled on the _____ parking lot and equipment installed to provide for processing all applications until a permanent site is ready. See Page 33 for a list of the designated recovery sites.

Recovery Phase

The time required for recovery of the functional area and the eventual restoration of normal processing depends on the damage caused by the disaster. The time frame for recovery can vary from several days to several months. In either case, the recovery process begins immediately after the disaster and takes place in parallel with back-up operations at the designated hot site. The primary goal is to restore normal operations as soon as possible.

Damage Assessment/Salvage

1. Function

To report to the Business Continuity Management Team (BCMT), within two to four hours after access to the facility is permitted, on the extent of the damage to the affected site, and to make recommendations to the BCMT regarding possible reactivation and/or relocation of data center or user operations. Existing Physical Plant emergency procedures are documented in a manual known as the "Black Book" maintained by Physical Plant. The Business Continuity Plan procedures supplement, and are

subordinate to those in the Black Book, which takes precedence in the case of any difference. Following assessment of the damage, the team is then responsible for salvage operations in the area affected.

2. Organization

Headed by the Administrative Officer for Physical Plant and activated during the initial stage of an emergency, the team reports directly to the Business Continuity Management Team, evaluates the initial status of the damaged functional area, and estimates the time to reoccupy the facility and the salvageability of the remaining equipment. During an emergency situation, the individual designated in the Black Book will take operational responsibility for implementation of damage assessment. This team draws members from the Physical Plant Office, from Operations and Systems, and from the FARM team of the affected area. Following assessment, the team is responsible for salvaging equipment, data, and supplies following a disaster; identifying which resources remain; and determining their future utilization in rebuilding the data center and recovery from the disaster.

3. Interface

The Damage Assessment/Salvage Team will interface with other Physical Plant operations groups, the Campus Police and Information Systems operations functions, including vendor and insurance representatives, to keep abreast of new equipment, physical structures, and other factors relating to recovery.

4. Preparation Requirements

Identification of all equipment to be kept current. A quarterly report will be stored off-site. The listing will show all current information, such as engineering change levels, book value, lessor, etc. Configuration diagrams will also be available. Emergency equipment, including portable lighting, hard hats, boots, portable two-way radios, floor plans and equipment layouts will be maintained by Physical Plant.

A listing of all vendor sales personnel, customer engineers and regional sales and engineering offices is to be kept and reviewed quarterly. Names, addresses and phone numbers (normal, home, and emergency) are also to be kept.

MIT News Office – Public Information

1. Function

The most difficult time to maintain good public relations is when there is an accident or emergency. Public relations planning is required so that when an emergency arises, inquiries from the news media, friends and relatives of staff, faculty, and students can be handled effectively. While we cannot expect to turn a bad situation into a good one, we can assist in making sure facts presented to the public are accurate and as positive as possible given the situation.

It is in our best interest to cooperate with the media as much as possible, so that they will not be forced to resort to unreliable sources to get information that could be untrue and more damaging to the Institute than the facts.

Therefore, it is the policy of MIT in time of emergency, to:

Have the MIT News Office serve as the authorized spokesperson for the Institute. All public information must be coordinated and disseminated by their staff.

Refrain from releasing information on personnel casualties until families have been notified. Once families have been notified, names of those personnel should be released quickly to alleviate the fears of relatives of others.

Provide factual information to the press and authorities as quickly as facts have been verified, and use every means of communications available to offset rumors and misstatements.

Avoid speculating on anything that is not positively verified, including cause of accident, damage estimates, losses, etc. (Fire Officials normally release their own damage estimates.)

Emphasize positive steps taken by the Institute to handle the emergency and its effects.

Situations calling for implementation of the Emergency Public Information Plan may include, but are not limited to:

Systems malfunctions disrupting the normal course of operations.

Accidents, particularly when personal injury results.

Natural disasters, such as fires, floods, tornadoes and explosions.

Civil disorders, such as riots and sabotage.

Executive death.

Scandal, including embezzlement and misuse of funds.

Major litigation initiated by or against the Institute.

2. Organization

The Director of the MIT News Office, a member of the Business Continuity Management Team, will act as the Public Information Officer for the Institute. The News Office alternates are listed in Appendix A. In their absence the responsibility will revert to the Senior Manager on the scene.

3. Interfaces

The MIT News Office will be the interface between MIT and the public or news media. Copies of all status reports to the Business Continuity Management Team or Administrative Computing Steering Committee will be forwarded to the Public Information Officer for potential value in information distribution for good public relations. They will work with the Personnel Department in dissemination of information to staff.

4. Preparation Requirements

Existing relationships with local media will be utilized to notify the public of emergency and recovery status. The Public Information Officer will maintain up-to-date contact information for the media and other required parties.

A facility will be identified to be used as a press room. Arrangements will be made to provide the necessary equipment and support services for the press. Coordination with the Telecommunications Team for additional voice communication, if required, will also be made.

Insurance

1. Function

To provide for all facets of insurance coverage before and after a disaster and to ensure that the recovery action is taken in such a way as to assure a prompt and fair recovery from our insurance carriers.

2. Organization

The team will consist of the Director of Insurance and Legal Affairs and required staff and insurance carrier personnel. The team reports through the Business Continuity Management Team, of which it is a member.

3. Interfaces

The Insurance Team will interface with the following teams, relative to insurance matters:

MIT News Office

Campus Police

Damage Assessment/Salvage

Information Systems Operations

Appropriate FARM Teams

This team will be activated upon the initial notification of a disaster.

4. Preparation Requirements

Determine needs for insurance coverage. Identify the coverage required for both hardware, media, media recovery, liability and extra expense.

Prepare procedure outlining recommended steps to be followed by Damage Assessment/Salvage Team during initial stage of disaster (Appendix A)

List appropriate contacts in (Appendix B).

Arrange for availability of both still and video recording equipment to record the damage.

Ensure that an equipment inventory is available, to include model and serial number of all devices.

Evaluate all new products and services offered by MIT for potential liability in the event of a disaster.

Telecommunications

1. Function

To provide voice and data communications to support critical functions. Restore damaged lines and equipment.

2. Organization

The team will consist of appropriate Telecommunications Systems staff. Telecommunications Systems will also coordinate with and supervise outside contractors as necessary. The team will report through the Director of Telecommunications Systems, who is a member of the Business Continuity Management Team.

3. Interfaces

The Telecommunications Systems team will interface with the following teams or organizational units, relative to telecommunications requirements:

Physical Plant

Campus Police

Distributed Computing & Network Services

Other Information Systems departments as necessary

Other MIT departments requiring emergency telecommunications

Outside contractors and service providers as necessary

4. Preparation Requirements

Provide critical voice and data communications services in the event that normal telecommunications lines and equipment are disrupted or relocation of personnel is necessary.

Consult with outside contractors and service providers to ensure that replacement equipment and materials are available for timely delivery and installation.

Utilize available resources, such as the MIT Cable Television network and voice mail system, to broadcast information relevant to the disaster.

Part IV. Recovery Procedures

Notification List

This appendix contains the names and telephone numbers of managers and personnel who must be notified in the event of a disaster. The Business Continuity Management Team Coordinator is responsible for keeping this notification list up-to-date.

Administrative Computing Steering Committee

Chairman

Members

Business Continuity Management Team

Two individuals are assigned responsibility for the interface with other campus organizations, such as Physical Plant Operations, to monitor emergencies as they occur. These Early Warning Duty people are then responsible for activation of the full Business Continuity Management Team and necessary Functional Area Recovery Management Teams.

The BCMT Duty People are equipped with Pagers, activated either by Physical Plant Operations or they can be paged directly.

In addition, each Duty Person is equipped with a cellular phone for emergency use.

To reach the BCMT Duty Person:

By Pager:

Duty Person To leave phone number To leave an 80 character text Number call: message call:

and give PIN # of pager

1

2

By Cellular Phone:

1

2

Note: these numbers are to be used only in emergencies or for testing.

The people on duty will monitor the situation and determine if it has the potential to impact our processing ability. [See Duty Person procedure for details]

Coordinators

Members

I/S Operations & Systems

Telecommunications

Campus Police

MIT News Office – Public Information

Insurance

Physical Plant:

Emergency Response Team

Operations Center

Safety Office

President's Office

Comptrollers Accounting Office

Personnel Office

Distributed Computing & Network Services

BCMT Liason

Housing:

Nuclear Reactor

Plasma Fusion Lab

Medical Department

FARM Team Coordinators

Bursar's Office Category

Financial Planning & Management Category

Freshman Admissions Category

Operations & Systems Category

Payroll Category

Physical Plant Category

Property Office Category

Purchasing & Stores Category

Registrar's Office Category

Resource Development Category

Technology Licensing Office Category

Telecommunications Category

Business Continuity Management Team Coordinator

This appendix contains instructions to the Business Continuity Management Team Coordinators for overseeing disaster response and recovery efforts.

Action Procedures

Player Action

Coordinator Ensure entire Business Continuity Management Team (BCMT) has been notified. Then notify Vice President for Information Systems and Chairman of Administrative Computing Steering Committee.

Coordinator Activate the Emergency Operations Center (See Page 33) and notify staff to meet there.

Coordinator Meet with Damage Assessment Team to review their findings and present results to BCMT.

Coordinator Present recommendations to BCMT for next steps in recovery effort.

Coordinator Begin notification of all recovery teams. Check to ensure all recovery participants have been notified.

Coordinator Monitor the activities of the recovery teams. Assist them as required in their recovery efforts.

Coordinator Report to BCMT on a regular basis on the status of recovery activities. Report to Administrative Computing Steering Committee as appropriate on recovery status.

Coordinator On an hourly basis, or other appropriate interval, update the Recovery Status information message on _____ .

Damage Assessment/Salvage

This appendix contains instructions to the Damage Assessment/Salvage Team for disaster response and recovery efforts.

Action Procedures

Player Action

Building Services Notify team members, and vendors to report to the site for initial damage assessment and clean-up.

Physical Plant AO Notify insurance representative

Operations Center Issue Work Orders and call appropriate personnel.

Team Leader Request permission to enter site from Fire Department (if required).

Take a service representative from each of the appropriate vendors, the insurance claims representative and appropriate Physical Plant and Information Systems personnel into the site.

Team Members Review and assess the damage to the facility. List all equipment and the extent of damage. List damage to all support systems (power, A/C, fire suppression, communications, etc.).

Team Leader Notify the BCMT as to the severity of the damage and what can potentially be salvaged.

Team Leader Notify the BCMT if the area be restored to the required level of operational capability in the required time frame.

Salvage Operations

Player Action

Team Leader Initiate the Emergency Notification List and have all members report to the Staging Area.

Salvage Team Have the Building Services Supervisor determine which equipment and furniture can be salvaged. Photograph all damaged areas as soon as possible for potential insurance claims.

Salvage Team **Important** ** *Prior to performing any salvage operation contact Insurance Team to coordinate with possible insurance claims requirements and appraisals.*

Have the Physical Plant Supervisor and staff start salvaging any furniture and equipment.

Based upon advice from Insurance Team and customer engineering, contact computer hardware refurbishers regarding reconditioning of damaged equipment

Team Leader Meet with the Business Continuity Management Team Coordinator to provide status on salvage operations.

Configuration List

A sample of the configuration and full equipment inventory report from the Fixed Asset Control Systems or other automated equipment inventories should be inserted here. The Continuity Plan Masters in off-site storage will contain the full listing.

Blueprints

Complete sets of blueprints of the buildings housing critical processing and the data center are maintained at [_____] and in off-site storage.

Campus Police

This appendix contains instructions to the Campus Police for disaster response and recovery efforts.

Action Procedures

Player Action

Campus Police Duty Sgt. An MIT Police Case Report will be completed upon stabilization of the disaster situation. As per standard police procedure, this report will detail the names of all victims, witnesses, injuries, facility damage description, etc., as well as list all notifications

Campus Police Duty Sgt. Initiate the notification listing of appropriate Campus Police Department Command Staff and personnel (App. A)

Campus Police Day/Night Notify the Business Continuity Management Team if the emergency affects Data Processing or Telecommunications operations in any way.

Campus Police Duty Sgt. Assign Campus Police personnel to both the damaged and backup sites, as required.

Campus Police Duty Sgt. Ensure that all Campus Police personnel are properly equipped at each affected location and the recovery sites. (Page 33)

Campus Police Duty Sgt. Coordinate the need for additional manpower and equipment as required.

Campus Police Command Periodically submit status reports to the Staff Continuity Coordinator at the Emergency Control Center.

Campus Police Command Ensure that all facets of security protection Staff are afforded, relative to entry/exit controls, transportation of information, etc. at both the damaged and backup sites.

Appendix N - <ORGANIZATION NAME> Business Impact Assessment

Department or Function: **<ORGANIZATION NAME>** Number of Employees in HOME COMMUNITY : Primary Business Function:	Executive: BCP Representative:

What's at Stake: $ Millions Plus

STRENGTHS **Example** Able to work from home if access to e-mail and system is available through dial-up access. Will need records and files as well.	WEAKNESSES **Example** Unable to work remotely if access to records and files is restricted.	Loss Impact **Example** Our department would not be able to perform >95% of its work without access to our computers or work areas. It would take time and effort to recreate the contracts and other information (to the extent they can be recreated) before we could work on them.

Maximum Allowable Downtime:> 24 – 48 Hours

Appendix O - Recovery Tasks List

Recovery Activation Date: _____

Task No.	Task Description	Estimated Time	Actual Time	Assigned To	Assigned Time	Completed Time	Comments
10	Receive Communication on emergency Situation						
20	Identify recovery site						
30	Retrieve Business Continuity Plans						
40	Notify department members identified in Appendix A						
50	Retrieval of department Vital Records						
60	Oversee delivery and placement of office equipment.						
70	Oversee delivery and placement of office supplies.						
80							

Appendix P - Recommended \<ORGANIZATION NAME\> Organization Office Recovery

Required Recovery Timeframe

Functions to be Recovered

If Outage Duration is > 2 weeks

Acquire New Office Space

Hot or Cold Site Recovery Location

\<Department name\>

\<ORGANIZATION NAME\> Towers

3-7 days

Other \<ORGANIZATION NAME\> Offices

1-2 weeks

\> 2 weeks

\<ORGANIZATION NAME\> Employees' Homes

Unable to work from home

See Appendix B for Details