



RESPONDING TO THE CORONAVIRUS PANDEMIC

An MPF Webinar - March 18, 2020

by

Uri Gutfreund
Risk Strategies Company

John Remsen , Jr.
TheRemsenGroup

FEATURED RESOURCE

POWERED BY

TheRemsenGroup
Smart Strategies for the Forward Thinking Law Firm

TheRemsenGroup.com

BIOGRAPHICAL PROFILE

Uri Gutfreund

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Uri Gutfreund is The National Law Firm Practice Leader at Risk Strategies Company, a top 25 national insurance brokerage and The Founder and Moderator of The Managing Partner Round Table™, a regional peer-to-peer professional development group. This unique program has quickly become a leading venue for thought leaders in the legal industry.

At Risk Strategies, Uri is responsible for the development and execution of all insurance and risk management services to the company's law firm clients. He oversees all of law firm specialty areas including: Health, Professional Liability, Property and Casualty, Cyber and EPLI. His practice leadership combines 20 years personal experience with cutting edge innovation remaking law firm insurance programs using the latest technology, peer benchmarking, and real time best practices to serve the company's law firm clients.

He is a Registered Professional Liability Underwriter since 2001 and a frequent speaker and writer on law firm leadership, law firm business practices and insurance and risk management at national and regional conferences.

Selected Publications and Presentations:

- "Everything You Need to Know about Insurance For Your Firm in 60 Minutes," Speaker of the Month, St. Louis, Atlanta, 2016.
- "2015 Tax Deduction Opportunity: 5 Steps to Overpay For Your Professional Liability Insurance," 2015.
- "Is Your Firm the Next Target for Hackers?" Business of Law Conference, 2015.
- "Change or Be Eliminated: Why Every Administrator Should Become a CFO," Business of Law Conference, 2015.
- "Disability Insurance for Law Firms – It's All in the Details," Association of Legal Administrators - Annual Conference Speaker, 2015.
- "Errors, Omissions & Scares-PLI! Professional Liability Insurance Unmasked," Association of Legal Administrators - Annual Conference Speaker, 2014.

- “Buying and Selling a Law Practice,” Westchester Bar Association Speaker, 2014.
- “Suing for your fees: Three insurance considerations to safely collect what’s rightfully yours,” 2013.

April 2019

BIOGRAPHICAL PROFILE

John Remsen, Jr.

President

TheRemsenGroup

Atlanta, Georgia

404.885.9100 – jremsen@theremsengroup.com

John Remsen, Jr., is widely recognized as one of the country's leading authorities on law firm leadership, management, marketing and business development. Since 1997 TheRemsenGroup has consulted with more than 400 law firms and thousands of law firm leaders to help them develop and implement long-term strategic objectives to improve cohesiveness, profitability and sustainability.

John is a frequent speaker and author on law-firm leadership and marketing topics. He has spoken at national and regional conferences of the Legal Marketing Association, Association of Legal Administrators, American Bar Association, and numerous state and local bar associations. His articles have appeared in dozens of highly respected legal publications, including the ABA Journal, Law Practice Management, Law Practice Today, Law360, Legal Management, Marketing for Lawyers, Marketing the Law Firm, Managing Partner, National Law Review and New York Law Journal.

Since 1988, John has been an active member of the Legal Marketing Association, and he has served as President of LMA's Southeastern Chapter, Executive Editor of Strategies (LMA's newsletter) and a member of LMA's national Board of Directors. He is also an active member of the Association of Legal Administrators and a popular speaker at ALA meetings and conferences.

In 2002, John created The Managing Partner Forum, a highly acclaimed conference series and community for managing partners and law firm leaders. More than 1,200 firm leaders from 900 law firms from 43 states have participated in 26 conferences. In addition, John distributes The MPF Weekly, an electronic newsletter to more than 10,500 firm leaders throughout the U.S., Canada and 28 other countries.

John's influence was underscored when he was inducted as a Fellow of the College of Law Practice Management in 2013, in recognition of his 25 years of demonstrated expertise in law firm leadership and management. Founded in 1994, the College honors those who "inspire excellence and innovation in law practice management." Membership is by invitation only and includes just 200 individuals.

And the College was not alone: in 2016, John was recognized by LawDragon as one of the "Top 100 Consultants and Strategists" to the legal profession; and in 2017, John was recognized as one of the world's top "leaders and influencers" in the business of law by the Association of International Law Firm Networks.

A native of West Palm Beach, Florida, John holds an MBA from The University of Virginia (1985) and a bachelor's degree in Business Administration from the University of Florida (1980). Prior to enrolling in graduate school, John was Executive Director of The Florida Council of 100, an organization comprised of Florida's top CEOs and other business leaders.

April 2019

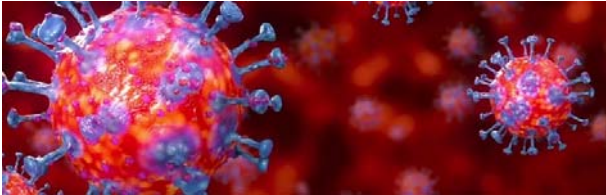
MPF WEBINAR

Responding to the Coronavirus Pandemic

Managing Partner Forum®
ADVANCING THE BUSINESS OF LAW

Responding to the CORONAVIRUS PANDEMIC

March 18, 2020 – 2:00pm ET



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RISK STRATEGIES

1

Managing Partner Forum®
ADVANCING THE BUSINESS OF LAW



Uri Gutfreund

- National Law Firm Practice Leader,
Risk Strategies Company
- Founder,
The Managing Partner Roundtable
- Speaker:
American Bar Association
Association of Legal Administrators
Managing Partner Summit
MPF Annual Conference
Law Firm Networks
- Education:
BA – Yeshiva University

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RISK STRATEGIES

2

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Responding to the Coronavirus Pandemic



John Remsen, Jr.

- President, TheRemsenGroup
- President & CEO, Managing Partner Forum
- Strategic Planning, Marketing/Business Development, Firm Retreats, COO/CMO Search
- Speaker:
 - American Bar Association
 - Association of Legal Administrators
 - Legal Marketing Association
 - MPF Annual Conference
 - Law Firm Networks
- Education:
 - MBA – University of Virginia
 - BSBA – University of Florida



3



- Twenty-eight (28) Leadership Conferences since 2002
- 1,250 participants from 975 law firms
- High level participants
- Maximum peer interaction
- Next Conference: May 6-7, 2020, in Atlanta, Georgia
- MPF Listserv and MPIE Conference Calls
- www.ManagingPartnerForum.org



4

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TODAY'S WEBINAR

- Ethical and Moral Responsibility
- Lawyer Resistance to Change
- Firm Culture and Policy Considerations
- Taking Care of Your People
- Helping Your Clients
- Guidance for Firm Leaders
- Additional Resources



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RISK
STRATEGIES


5

Ethical Leadership


**Service to followers
is the primary responsibility of leaders
and the essence of ethical leadership.**

*Robert Greenleaf
American Author
Servant Leadership*





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RISK
STRATEGIES

6


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Ethical Leadership

Ethics must begin at the top of an organization. It is a leadership issue and the chief executive must set the example.

Edward J. Hennessy
Chief Justice
Massachusetts Supreme Court



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RISK STRATEGIES

7

Ethical Leadership

It takes 20 years to build a reputation and five minutes to ruin it. If you think about that, you'll do things differently.

Warren Buffet
Chairman and CEO
Berkshire Hathaway



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8

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**AS A FIRM LEADER, YOU HAVE A MORAL AND
ETHICAL RESPONSIBILITY TO TAKE CARE OF
YOUR PEOPLE, YOUR CLIENTS AND YOUR LAW FIRM.**



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**RISK
STRATEGIES**

9

LAWYER RESISTANCE

- The Lawyer Personality
- Firm Resistance
- Are We Ready?
- Psychological Wellness



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**RISK
STRATEGIES**

10



The Lawyer Personality

SOURCE: Dr. Larry Richard – LawyerBrain, LLC

- Highly skeptical
- Hate change
- Risk averse
- Love autonomy
- Low resilience
- High sense of urgency



11



Law Firm Resistance to Change

SOURCE: 2018 Law Firms in Transition - Altman Weil

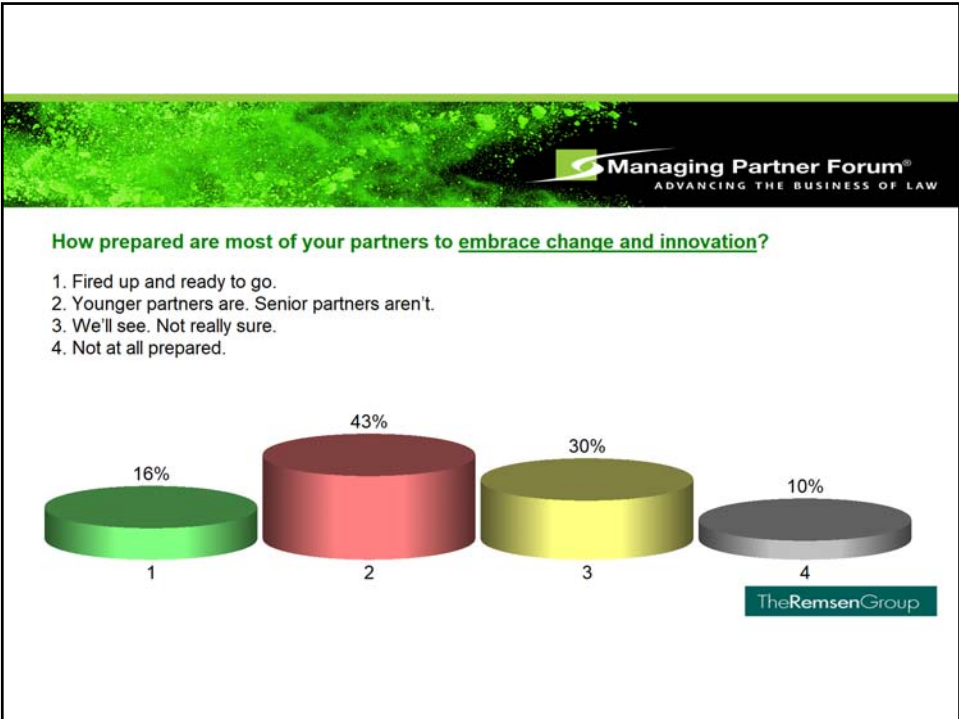
- **59%** of firms feel little or no economic pain
- Only **38%** encourage risk-taking and innovation
- **69%** say pace of change will be accelerating
- In **69%** of firms, partners are #1 impediment to change
- **91%** of clients say law firms are not serious about change



12

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13

Some Alarming Statistics

SOURCE: Hazelton Betty Ford/ABA Commission on Lawyer Assistance Programs (CoLAP) – February 2016

- 21% of licensed attorneys are problem drinkers
- 28% suffer from some level of depression
- 19% demonstrate symptoms of anxiety

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RISK STRATEGIES


14

YOUR FIRM

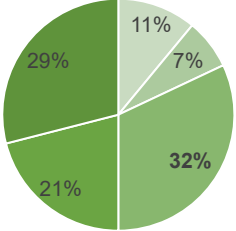
- The “No Brainer” Stuff
- Keep Offices Open?
- Firm Culture
- Policy Regarding Flex Time, Traveling Lawyers/Staff
- Technology – Hardware and Software
- Time Frame for Planning
- Handling Mail and Money
- Business Interruption Insurance


15

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Is Your Firm Keeping Its Office Location(s) Open For Business?



Response	Percentage
Business as Usual	11%
Lawyers Only Work from Home	29%
Each Person Decides	21%
We're Closed. All Work from Home	32%
Other	7%



16

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YOUR FIRM

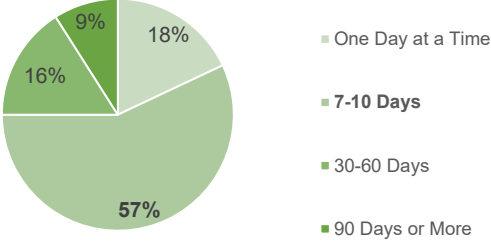
- The “No Brainer” Stuff
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- Handling Mail and Money
- Business Interruption Insurance


17

 **Managing Partner Forum®**
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Please Select The Answer That Best Describes How Your Firm Is Approaching Its Plans To Deal With The Coronavirus Outbreak.



Approach	Percentage
One Day at a Time	18%
7-10 Days	16%
30-60 Days	57%
90 Days or More	9%



18

YOUR PEOPLE

- Working Remotely – Set up and Training
- Dealing with Isolation
- Psychological Wellness Initiative
- Testing and Vaccinations
- Travel Policies
- Child Care Issues
- Vacation/Sick Pay Policy




19

YOUR PEOPLE

How Would Your Firm Handle a Positive Test Result?

• Tell All Lawyers and Staff	68%
• Tell Visitors, As Well	34%
• Keep it Private	8%
• Not Sure	14%
• Other	26%



20

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YOUR CLIENTS

- Advisories and Alerts
- Client Webinars
- Managing Expectations
- Court Closings
- Billing/Collections Issues
- Client Events
- Visitation Policy



21

GUIDANCE FOR FIRM LEADERS

- Stay Educated and Updated
- Communicate Clearly and Frequently
- Keep Open Communication Lines
- Stay Cool, Calm and Collected
- Refer to the Experts
- Credibility, Reliability, Intimacy



22

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ADDITIONAL RESOURCES

- [Coronavirus Response](#) - Association of Legal Administrators
- [Centers for Disease Control and Prevention](#)
- [Latest COVID-19 Resources](#) - Society for Human Resources Management
- [COVID-19 Resource Center](#) - Orrick
- [What Are Companies' Legal Obligations Around Coronavirus?](#) - Harvard Bus Review
- [The Coronavirus Outbreak Has Become a Referendum on Remote Work](#) - Correia
- [8 Tips for Working Remotely and Productively](#) - Tabush

23



24

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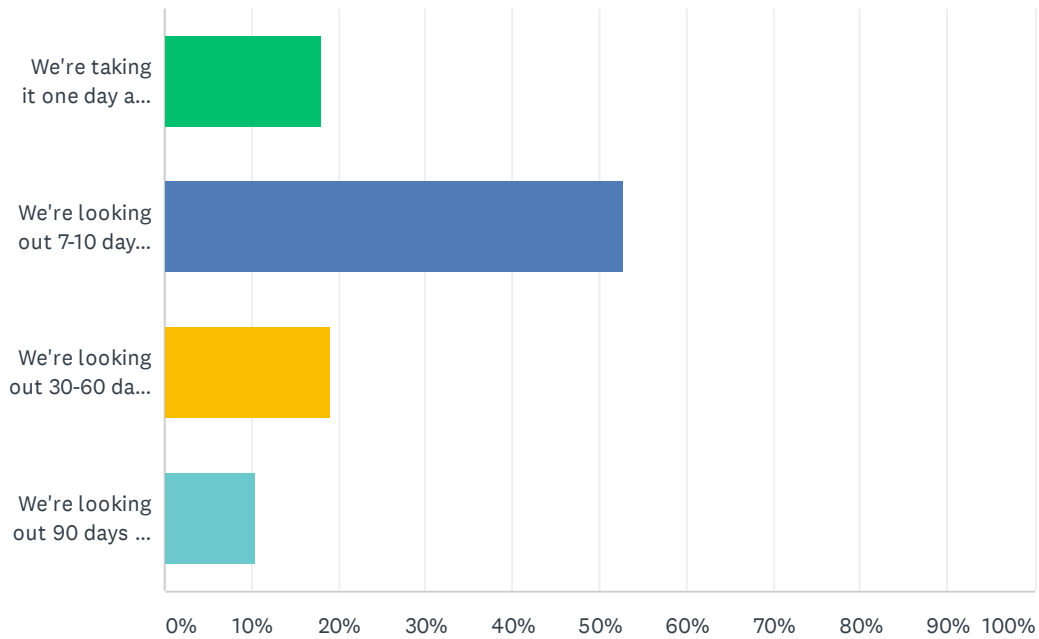
25

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Q1 Please select the answer that best describes how your firm is approaching its plans to deal with the coronavirus outbreak.

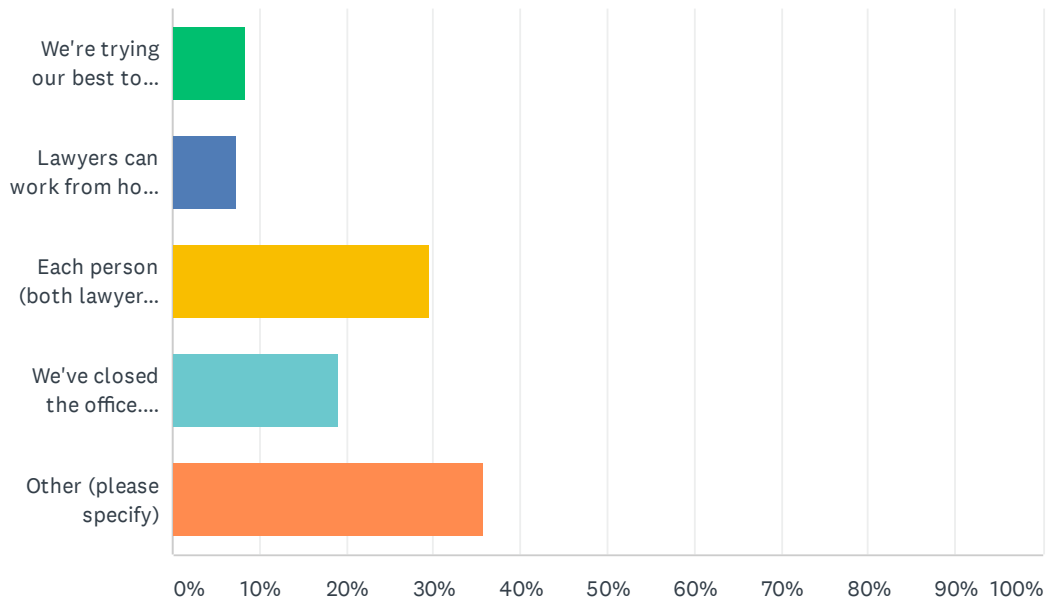
Answered: 95 Skipped: 1



ANSWER CHOICES	RESPONSES	
We're taking it one day at a time.	17.89%	17
We're looking out 7-10 days in basing our decisions.	52.63%	50
We're looking out 30-60 days as we make our decisions.	18.95%	18
We're looking out 90 days or more.	10.53%	10
TOTAL		95

Q2 What is your firm doing regarding keeping its office(s) open for business?

Answered: 95 Skipped: 1



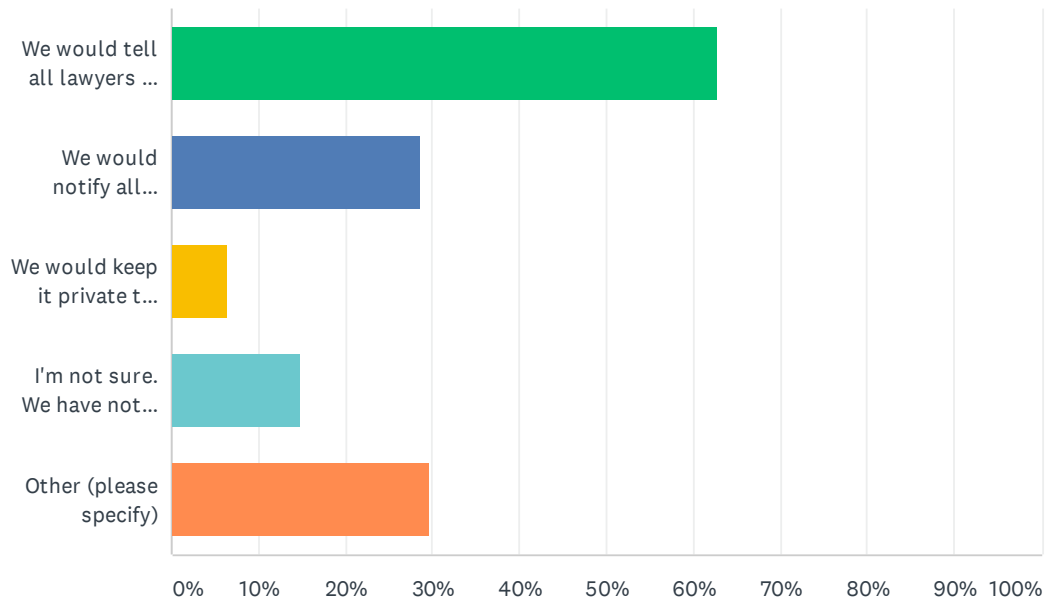
ANSWER CHOICES	RESPONSES	
We're trying our best to maintain business as usual.	8.42%	8
Lawyers can work from home, but we expect support staff to report.	7.37%	7
Each person (both lawyers and staff) decides for him/herself.	29.47%	28
We've closed the office. Everyone works from home.	18.95%	18
Other (please specify)	35.79%	34
TOTAL		95

#	OTHER (PLEASE SPECIFY)	DATE
1	Everyone is working from home though 2x a week someone goes into the office to scan mail, etc.	3/18/2020 2:18 PM
2	We've closed the office to visitors. Lawyers can already work from home and we're expecting to allow other billers to work from home in the next few days. Other staff is still reporting to the office.	3/18/2020 2:07 PM
3	Pretty much closing office tomorrow	3/18/2020 1:54 PM
4	We have most working from home but a few staff on site but well separated from each other	3/18/2020 1:54 PM
5	Everyone is working remotely except clerks who are doing support of the physical tasks. Mail is scanned to homes, docs are printed and mailed by them, etc.	3/18/2020 1:54 PM
6	Billers can work from home. We have a light support staff in the office. The balance of the support staff will work from home.	3/18/2020 1:52 PM
7	we have facilitated remote access for all who need to do work that requires it	3/18/2020 1:47 PM
8	high risk employees are working remotely; others with children out of school and no day care are working remotely	3/18/2020 1:45 PM
9	Have one half of staff reporting to work onsite with others being set up to work remotely. Several attorneys are working remotely. Overall, trying to ensure that everyone onsite has plenty room for social distancing.	3/18/2020 1:41 PM
10	We encourage as many as possible to work remote but have a skeleton crew in the office to assist with tasks that cannot be completed remotely.	3/18/2020 1:41 PM
11	Most work from home with skeletal staff at office	3/18/2020 1:40 PM
12	Office has a skeleton crew, rest working remotely.	3/18/2020 1:40 PM
13	Timekeepers and essential staff set up to work remotely.	3/18/2020 1:38 PM
14	All staff and lawyers can work remotely; except essential staff	3/18/2020 1:28 PM
15	Work from home until March 27.	3/18/2020 1:27 PM
16	Strongly encouraged attorneys and staff to work remotely. Approximately 75% of firm members are currently working remotely.	3/18/2020 1:27 PM
17	Lawyers are encouraged to work from home. We are also making arrangements for paralegals to do so as well.	3/18/2020 1:25 PM
18	Mandatory remote access for those who can, small teams in office for essential on-premises functions	3/18/2020 1:24 PM
19	Support staff on an every other day schedule for first week until reevaluate. Phone/receptionist set up off-site (home)	3/18/2020 1:23 PM
20	All Lawyers & Staff work from home except receptionist and one secretary rotated daily	3/18/2020 1:22 PM
21	Working from home; skeleton crew for essentials. Some partners have opted to work in the office. But government orders banning all but essential gatherings may close the office building in which we are located	3/18/2020 11:38 AM
22	Lawyer can work from home. Support Staff are on a limited rotation	3/18/2020 11:27 AM
23	Generally all work from home except rotating skeleton staff, but healthy lawyers/staff (at their own discretion) can come into the office for needed on-the-ground client work.	3/18/2020 10:09 AM
24	We have a skeleton staff in the office and asked all attorneys and legal assistants to work from home remotely for 2 weeks. Unfortunately, our highest risk population of senior attorneys are still coming to the office because they refused to learn computing skills necessary to work remotely	3/18/2020 9:08 AM
25	closed the office but we have one member of firm leadership and a couple of rotating staff members in the office	3/18/2020 8:47 AM

26	Mandatory work from home except for skeleton crew and essential work that can only be performed in the office.	3/18/2020 7:03 AM
27	we are open but working to allow home based working if warranted. We are prepared to issue a work from home order	3/17/2020 9:55 PM
28	lawyers & paralegals work from home, staff rotates home/office	3/17/2020 7:30 PM
29	staff working rotating every other days; attorneys/paralegals asked to work from home where possible	3/17/2020 7:23 PM
30	Office closed. Staff work at home. Attorneys to work at home unless have to go into the office.	3/17/2020 7:04 PM
31	Lawyers can work from home. Support staff is reporting on a rotating basis.	3/17/2020 6:58 PM
32	We have asked everyone to work at least 3 days/ week from home - attorneys and staff alike. We want to be prepared should our building close or we are forced to close our office.	3/17/2020 6:46 PM
33	We are encouraging all attorneys and staff to work from home but in offices where work from home is not mandated we have told our folks they can stop in to the office and pick up things or work for a time - but again encouraging everyone to remote work.	3/17/2020 6:45 PM
34	Staggering schedules, in shifts, to give in-person and remote support	3/17/2020 6:45 PM

Q3 If someone at your firm tested positive for coronavirus, how would you likely handle the situation? Please select all answers that apply.

Answered: 94 Skipped: 2



ANSWER CHOICES	RESPONSES	
We would tell all lawyers and support staff.	62.77%	59
We would notify all visitors to the office during the infected person's incubation period.	28.72%	27
We would keep it private to respect privacy and HIPAA concerns.	6.38%	6
I'm not sure. We have not discussed it.	14.89%	14
Other (please specify)	29.79%	28
Total Respondents: 94		

#	OTHER (PLEASE SPECIFY)	DATE
1	we might not tell them who it is.....	3/18/2020 2:14 PM
2	We would tell lawyers and staff, but keep identity private.	3/18/2020 1:58 PM
3	We would tell all lawyers and staff (we are not allowing visitors at this time), without disclosing the individual affected.	3/18/2020 1:55 PM
4	We would close immediately for cleaning and re-open when that's done. We would send everyone home and not identify the ill person.	3/18/2020 1:54 PM
5	We would withhold the name.	3/18/2020 1:52 PM
6	Advise all lawyers and staff without revealing identity.	3/18/2020 1:50 PM
7	we would notify anyone who has had contact to avoid potential liability for failure to disclose	3/18/2020 1:47 PM
8	We would first reach out to the local and state departments of health and follow their guidance on notifying and other steps to take. This would most likely include notifying all employees and any visitors to the office during the incubation period.	3/18/2020 1:41 PM
9	We would inform those affected	3/18/2020 1:40 PM
10	We would inform staff and attorneys and landlord. Report as required to CDC. Inform all who came in contact with person.	3/18/2020 1:40 PM
11	We would immediately close our office and go to remote work only.	3/18/2020 1:38 PM
12	We are expecting input from the local dept of health if this arises.	3/18/2020 1:34 PM
13	We would tell the firm about the positive results but not disclose name or personnel type.	3/18/2020 1:26 PM
14	Notify everyone who had contact with the infected partner for 14 days without identifying the name of the partner	3/18/2020 1:24 PM
15	We would tell key team members and alert any employees who have been in contact with this employee	3/18/2020 1:22 PM
16	We would seek guidance from our state department of health We have yet to make a final decision as to what we will do. Look forward to the topic being discussed today.	3/18/2020 1:02 PM
17	We would not name the individual	3/18/2020 11:38 AM
18	We had an attorney with a fever in one city office and we immediately closed the entire office to everyone and reported the illness to the building owner	3/18/2020 9:08 AM
19	Currently under discussion with MP &EA	3/18/2020 9:04 AM
20	We would notify all in the office but not identify who tested positive	3/18/2020 8:49 AM
21	We would not disclose the patient's identity.	3/18/2020 7:03 AM
22	Would likely close the office	3/17/2020 7:48 PM
23	We would notify everyone of their exposure, while respecting privacy and HIPAA regulations.	3/17/2020 7:37 PM
24	We have discussed but not made any decisions	3/17/2020 7:32 PM
25	We would close and disinfect the office.	3/17/2020 6:58 PM
26	We would discuss with the person who was positive and discuss how to communicate it with the office.	3/17/2020 6:49 PM
27	It depends on the circumstances - whether the person had been on vacation(this is all happening near Spring Break), the likely place of exposure, how quickly we caught it upon return to the office, etc.	3/17/2020 6:48 PM
28	We would maintain the confidentiality of the person that tested positive but alert everyone - lawyers, support staff and visotrs that were in close proximity to self isolate and for the rest of the office we would shut down for a deep clean	3/17/2020 6:45 PM

Q4 Finally, are there any specific aspects about our topic that you would like us to address during the session?

Answered: 42 Skipped: 54

#	RESPONSES	DATE
1	Paying attorneys and staff over the long term, i.e., more than a few months	3/18/2020 2:46 PM
2	How are you handling staff with daycare closures? They won't be able to effectively work from home while caring for children unless we allowed them to work at their convenience.	3/18/2020 1:58 PM
3	How are firms preparing for the liquidity crunch that will result from the economic impact of the virus?	3/18/2020 1:55 PM
4	Fiscal issues -how deal with situation if insufficient funds to pay everyone and line of credit runs out.	3/18/2020 1:54 PM
5	How badly will this impact revenue?	3/18/2020 1:54 PM
6	Upcoming paid leave changes; FMLA, paying people with kids. What obligations are approved and what's coming?	3/18/2020 1:54 PM
7	trying to stay on top of this so just interested in listening.	3/18/2020 1:47 PM
8	how to assess impact to business - impossible, right!	3/18/2020 1:45 PM
9	Just interested to learn what other law firms are doing and which ones have already gone to skeleton crew onsite vs. completely going remote work only.	3/18/2020 1:38 PM
10	How are litigators handling the need for original ink signatures and notary stamps on affidavits and other court filings (other than electronic filing cases)?	3/18/2020 1:34 PM
11	If close office, pay hourly employees "extra" PTO or simply apply existing PTO policies?	3/18/2020 1:25 PM
12	How to proactively prepare for reduced revenue	3/18/2020 1:24 PM
13	yes, how small firms 10-20 attys plan to handle need to cut salary overhead if need to close and new work diminishes if the situation extends another two months	3/18/2020 1:23 PM
14	Great timing. Perfect example of why this network is so important.	3/18/2020 1:02 PM
15	There will be difficult decisions ahead about continuing to pay staff who do not generate revenue. Ideas for criteria would be a welcome topic	3/18/2020 11:38 AM
16	We are being proactive in calling scheduled clients and letting them know we are still open. We are also giving clients the option of having a telephone consultation, instead of in person. How are other firms handling to minimize the risk and meet client's needs?	3/18/2020 11:29 AM
17	Furlough? Sick Leave? Unemployment?	3/18/2020 11:27 AM
18	Humane planning for underutilized staff.	3/18/2020 10:09 AM
19	I think the financial aspects will be the most challenging. Collections are likely to slow and eventually time and billing will be less in many areas. How are firms responding? What contingency plans are being made? What financial moves are being made right now?	3/18/2020 8:47 AM
20	Pay for staff during extended shutdown	3/17/2020 9:58 PM
21	HIPAA concerns in notification and sharing of info	3/17/2020 9:55 PM
22	Business interruption insurance. Furloughing employees (without pay). Effectiveness / productive of secretaries working at home.	3/17/2020 8:43 PM
23	Business Interruption Insurance	3/17/2020 8:42 PM
24	keeping culture and staff motivated when working from home; tech and security when working from home	3/17/2020 7:55 PM
25	Conserving cash for future payrolls and borrowing off the credit line in the interim. Concerned about the credit markets grinding to a halt.	3/17/2020 7:48 PM
26	Any recommendations re: mitigating lost income would be great.	3/17/2020 7:44 PM
27	For staff who are unable to work from home but who have self-quarantined or for some other reason cannot go to the office, are firm's still paying their wages? Or requiring use of PTO?	3/17/2020 7:37 PM
28	What do you think this teaches us all about the impact business strategic and crisis planning	3/17/2020 7:32 PM

has on a firm that had not been considered ? This pandemic forced everyone to act fast in terms of mandates from the government which pushed for quick decisions and planning. Not time for condenses building among partners. Think the MPs readily had to step up and steer the ship.

29	How do you address issues with child care where the employee says they cannot come to work? How do you address unfounded rumors about exposure, especially the fear about coming to work when plans are made to comply with government directives.	3/17/2020 7:30 PM
30	Child care issues for staff, staff working from home	3/17/2020 7:10 PM
31	How to ensure staff have enough work and are actually working. Bringing in new business during this crisis.	3/17/2020 7:04 PM
32	How do we handle business continuity?	3/17/2020 6:59 PM
33	For people who cannot work remotely and are out of the office, how are you paying them?	3/17/2020 6:58 PM
34	Compensation to staff as well as lawyers (principals & associates) in the event of complete office closing.	3/17/2020 6:51 PM
35	Planning ahead. Considerations. Insurance etc	3/17/2020 6:49 PM
36	Most of our staff is working remotely, but some staff cannot. They are home and not working. But we have decided to pay everyone even those not working. Wondering what others are doing about this. Should we pay those who work remotely more as it doesn't seem fair that others who can't work are still being paid.	3/17/2020 6:49 PM
37	No, just looking forward to hearing the measures taken by other similarly situated firms. .	3/17/2020 6:48 PM
38	Policies to adopt by law firm; security of the information; recommended software; follow-ups between the lawyers and support staff at the firm; what the contingency plan should include; Should we disclose to clients if we are working remotely; How / when to return to the firm;	3/17/2020 6:45 PM
39	My answer to one is all of the above and that was not an option. I think we need to make decisions one day at a time - but also looking to the future. I think remote working will be the norm and there should be considerable discussion on how to do that well, how to maintain culture remotely, keep everyone engaged and productive etc.	3/17/2020 6:45 PM
40	Best communication practices.	3/17/2020 6:45 PM
41	What are firms doing in response to anticipated slowdown of work due to courts closing, depositions cancelling, etc? Layoffs now, or waiting until rock-bottom hits?	3/17/2020 6:43 PM
42	I would like to know what folks are doing about paying employees should we have to take drastic measure of closing the office	3/17/2020 6:38 PM

*Pandemic
Preparation & Response Plan
Template for Business*

For

Date

Section I. Introduction

1. Overview

A pandemic outbreak is a very different disaster that does not involve damage to physical property. Instead, the impact of a pandemic outbreak is focused on fatalities and high absentee rates. In an extreme situation, a pandemic outbreak could also involve the loss of critical services and create major long-term socioeconomic changes. This disaster-specific plan focuses on the additional planning needed to respond to a pandemic outbreak.* This Pandemic Preparation and Response Plan Template for Business (“Pandemic Plan”) assumes that redundant communications, response teams, a command structure, etc. are part of the existing plan.

Typical planning for a business focuses on site-specific or area-specific natural and manmade threats – earthquakes, fires, hurricanes, tornadoes, etc. Much of this planning is still applicable for pandemic outbreak planning. Additional planning needs to be made in the following areas:

- Social distancing policies
- Personal hygiene practices
- Personal protective equipment
- Special time-off and compensation policies

Social distancing policies, personal hygiene practices and personal protective equipment are designed to reduce the possibility of contracting the virus. Special time-off policies will be necessary for employees who either cannot work or who are not allowed to work for an extended period of time. For some businesses, special compensation policies will also be necessary for essential personnel who must work during an outbreak.

2. Scope

This plan is an organizational-level plan that guides the emergency response of personnel and resources during a pandemic outbreak. It is the official emergency response plan of the company. Nothing in this plan shall be construed in a manner that limits the use of good judgment and common sense in matters not foreseen or covered by the elements of the plan.

This plan shall be subordinate to federal, state or local plans during a disaster declaration by those authorities. This plan is consistent with established practices relating to coordination of emergency response. The company will cooperate with the Office of Emergency Management, Police, Health, Fire and other responders.

3. Mission

The company will respond in a safe, effective and timely manner. Company resources and equipment will be utilized to accomplish the following priorities:

- Priority I: Protection of Human Life
- Priority II: Protection of Business Assets*
- Priority III: Maintenance or Rapid Restoration of Critical Business Operations
- Priority IV: Assessment of Damages*
- Priority V: Restoration of General Business Operations

4. Limitations

This Pandemic Plan is designed to be a supporting plan component of the overall Business Continuity Management Program. Therefore, this Pandemic Plan by itself will not provide adequate planning for other types of emergencies. In addition, this plan will be only partially effective under the following circumstances:

- The disaster causes an extreme loss of life
- The disaster causes a complete breakdown of law and order and/or other essential community infrastructure services
- A disaster that causes a complete regional breakdown of communication services

* Physical damage will likely be minor for a Pandemic Outbreak but “damage” to the workforce, customer base, etc. could be catastrophic.

SECTION I. INTRODUCTION	2
1. <i>Overview</i>	2
2. <i>Scope</i>	2
3. <i>Mission</i>	3
4. <i>Limitations</i>	3
SECTION II. PLAN ORGANIZATION	6
5. <i>Pandemic Planning and Response Team</i>	6
6. <i>Essential Services</i>	7
7. <i>Business Priorities</i>	8
SECTION III. PRE-EVENT PLANNING	10
8. <i>Evaluating the Risk Level</i>	10
9. <i>Task Assignments and Planning Status</i>	12
10. <i>Social Distance Strategies</i>	15
11. <i>Special Policies for Infected Individuals</i>	17
SECTION IV. KEY DECISION FACTORS	18
12. <i>Actions Levels</i>	18
13. <i>Key Factors</i>	18
14. <i>An Outbreak Scenario</i>	18
15. <i>Response</i>	19
16. <i>Mortality Rate</i>	19
SECTION V. PLAN ACTIVATION	21
SECTION VI. PLAN EXECUTION	22
17. <i>Initial Actions</i>	22
18. <i>Full Activation – Business Remains Open</i>	23
19. <i>Full Activation – Business Facility Closes</i>	24
20. <i>Recovery</i>	25
21. <i>Review</i>	26

SECTION VII. APPENDICES..... 27

22. *Appendix A – Expected Impact..... 27*

23. *Appendix B – Personal Protective Equipment and Products 28*

24. *Appendix C – Possible Influenza Case..... 29*

25. *Appendix D – Personal Safety 30*

26. *Appendix E – Disaster Assistance..... 31*

27. *Appendix F – Preparedness at Home 33*

28. *Appendix G – Emergency Operations Center (EOC) 36*

29. *Appendix H – Ongoing Exercise, Training and Update..... 38*

30. *Appendix I – Additional Information 40*

SECTION VIII. ATTACHMENT A – CONTACT INFORMATION..... 41

Section II. Plan Organization

5. Pandemic Planning and Response Team

In addition to the Emergency Management Committee and the Emergency Response Team, a special Pandemic Planning and Response Team should be assembled. Most Pandemic Planning and Response Team members will likely also be members of the Emergency Response Team but some members, including the Incident Commander, should be executive-level employees from the Emergency Management Committee.

Pandemic Planning & Response Team members are as follows:

Business Unit	Member(s)
Team Leader	
Communications	
Facilities	
Finance & Accounting	
Human Resources	
Information Technology	
Operational Groups	
Sales & Marketing	
Security	

6. Essential Services

In the event that the primary business facility is closing or is closed, the following services will still be essential:

Business Unit	Essential Services	Staff Assignments*
Communications	Internal communications External communications	
Facilities	Building maintenance Essential utility services Protection of perishable assets Environmental controls	
Finance & Accounting	Emergency purchase requests Payroll processing Revenue collection	
Human Resources	Special Time-off Policies Special Compensation Policies Employee contact Workforce assessment Employee health care benefits	
Information Technology	Communications infrastructure Critical Applications	
Operational Groups	Maintaining mission-critical production and services at minimum acceptable levels (See Paragraph #7)	
Sales & Marketing	Client, customer and prospect contact	
Security	Emergency communications Access control	

* In some instances, the full staffing of a business unit may be necessary.

7. Business Priorities

Operational services and/or production capabilities have been prioritized as follows:

Priority	Service or Product	User Group(s)	Infrastructure Support Requirements	Can this Service or Product be Supported from Home or other Remote Locations?
Mission Critical				
Critical (but can be suspended temporally)				

Priority	Service or Product	User Group(s)	Infrastructure Support Requirements	Can this Service or Product be Supported from Home or other Remote Locations?
Important				
All Other				

Section III. Pre-Event Planning

8. *Evaluating the Risk Level*

The following exposures have been identified and personnel have been assigned to explore actions designed to either avoid or reduce the exposure:

Exposure	Staff Assignments/ Responsibility	Risk Level		
		Low	Medium	High
Is the business located in an urban environment?				
Do the employees use mass transportation?				
Does the business share the facility with other businesses?				
Can the business suspend receiving all guests and visitors?				
Can the business suspend all travel?				
Can employees work from home?				
Does the business have multiple locations where minimum levels of mission-critical production and services can be maintained in non-affected areas?				
Can the business function if all employees, guests and visitors are required to wear personal protective equipment (see Appendix B)?				
Does the medical plan cover flu shots?				
Does the business have medical staff?				
Does the business have on-site sanitizing equipment?				
Does the business have on-site medical supplies such as gloves, masks, etc.?				

Continued...

Exposure	Staff Assignments/ Responsibility	Risk Level		
		Low	Medium	High
Is your business in a high-impacted industry? Such as: Food Handling (especially Poultry) Travel/Transportation Medical/Health Care Hospitality Entertainment Retail Any business that relies on dealing directly with the general public Education related				

9. Task Assignments and Planning Status

Task	Staff Assignments/ Responsibility	Status		
		Not Started	In Progress	Complete
Identify a group to monitor the situation				
Develop plans to maintain mission-critical operations: Plans to function with a skeleton workforce of essential personnel Back-up plans to maintain critical communication and technology services				
If possible, develop plans for employees to work from home*, and consider the following: Do employees have desktop or laptop computers at home? Can employees access files and applications over the internet? Is high-speed internet access required? Can employees be supplied laptop computers with air cards? Can employees work independently rather than in groups? Can conference calls replace the need for group meetings? Do employees require access to hard copy files?				

**Author's Note: Working from home can be especially effective for professional service industries that do not directly interface with clients/customers. Maintaining communications and technology support will be an essential planning component.*

Continued ...

Task	Staff Assignments/ Responsibility	Status		
		Not Started	In Progress	Complete
Collaborate with: Health plan insurers Public health agencies				
Store Personal Protection Supplies & Products (see Appendix B)*				
Develop liberal time-off policies for: Personal illness Family illness Community quarantines School closures Transportation closures				
Establish return-to-work policies				
Establish special compensation policies: Essential employees who must work Employee sick leave				
Track vaccination programs				
Assist employees with access to vaccination program				
Educate employees on hygiene habits and work policies				
Require employees practice good hygiene habits				
Place ‘Wash Hands’ and other hygiene messages in bathrooms and in other areas				

**Author’s Note: Supplies may be difficult to obtain once an outbreak occurs.*

Continued ...

Task	Staff Assignments/ Responsibility	Status		
		Not Started	In Progress	Complete
Install 'touch-less' bathrooms				
Install speakerphones at all workstations				
Discuss Business Interruption Insurance (BII) matters with your insurance advisor: It does not appear to be covered under BII in the traditional sense At the time of this writing, coverage does not appear to be available				
Identify essential services and essential personnel needed to provide those essential services				
Plans to deal with maintaining normal operations with a reduced level of staffing				
Develop plans to protect environmentally sensitive assets during an outbreak				

10. Social Distance Strategies

Social distancing policies or strategies have been identified and staff has been assigned to study the strategy. Administrative support business units, operational/production business units and visitors and guests groups have been considered separately.

Strategy	Staff Assignments/ Responsibility	Strategy Effectiveness		
		Ineffective	Partly Effective	Effective
Can administrative support employees work from home?				
Can operational group employees work from home?				
Can administrative support employees work remote locations?				
Can operational group employees work from remote locations?				
Can we deny access to visitors and guests?				
Regarding Information Technology services: Can employees work from alternate sites for extended periods of time? Will alternate sites be available? Will travel to alternate sites be possible?				
Can everyone function while wearing personal protective equipment – face masks, eye goggles and perhaps other protective equipment (see Appendix B)? Administrative support employees Operational group employees Visitors and guests				

Continued...

Strategy	Staff Assignments/ Responsibility	Strategy Effectiveness		
		Ineffective	Partly Effective	Effective
Can face-to-face contact be eliminated? Administrative support employees Operational group employees Visitors and guests				
Can face-to-face talking be eliminated?*				
Can all social gatherings/events be cancelled?				
Can meetings, shared offices, handshaking, etc. be eliminated?				
Can employees eat lunch alone at their workstations?				
Can all smoking be eliminated? Administrative support employees Operational group employees				
Travel and business access restriction policies: Deny access to anyone who has traveled to an infected area Deny access to all guests and visitors Eliminate travel to infected areas Eliminate all travel				

** Author's Note: Is it possible to conduct normal operations without talking? (Talking by telephone, preferably by speaker or hands-free phones, is okay). I know that this sounds crazy at first, but I have seen people work with very little talking in manufacturing plants where there is a high noise level. Consider internal communication by telephone, e-mail, clipboard, sign 'language', etc.*

11. Special Policies for Infected Individuals

Any employee with symptoms:

- If at work, should be sent home or, if available, to medical facilities, wearing a face mask
- If at home, should not report to work

Author's Note: Symptoms include the sudden onset of a high fever, headache, aches and pains, fatigue and weakness, sore throat, chest discomfort and respiratory problems/failure. Potentially infected individuals should be debriefed regarding recent work contacts and recent travel (see Appendix C). Those employees should then be released wearing a face mask. Identify all individuals who may have had contact with the affected individual and immediately communicate this information to all possibly infected parties. Disinfect affected areas.

Maintain contact with employees at home

- Preferably by phone or e-mail
- Avoid personal contact

Section IV. Key Decision Factors

12. Actions Levels

Fundamentally the response to a pandemic outbreak can be broadly classified as follows:

- Level 1 – ‘Monitor and prepare’
- Level 2 – Implement ‘social distancing’ plus ‘personal protection equipment’ policies and keep the business open
- Level 3 – Close the business facility and work from home or other safe remote locations

13. Key Factors

The primary factors involved in determining a course of action are the ‘severity’ of the outbreak, the availability of an ‘effective vaccine’ and the ‘location(s)’ of the outbreak. The severity of the outbreak is determined by the ‘contagiousness’ and ‘mortality rate’ associated with the virus. The location can be sub-classified as either ‘overseas’, within ‘North America’ or within the ‘immediate area’.

The current status of the H5N1 virus is that the virus is very deadly but not easily contracted. There is also no truly effective vaccine available and the virus is located overseas. In a large sense, the virus is actually difficult for humans to contract; the current planning status in the United States is Level 1 – monitor and prepare.

14. An Outbreak Scenario

Let’s assume that a contagious/airborne strain does develop (many experts would argue that this is a matter of “when” rather than a matter of “if”). Let’s also assume an effective vaccine will not be available for several months (medical experts indicate that with current technologies this is the likely scenario). The critical factors now become the mortality rate associated with the virus and the location(s) of the outbreak.

The mortality rate will be the primary factor in determining what actions (Level 2 or Level 3) will be taken. The location(s) of the outbreak will be the primary factor in determining when the actions are taken.

15. Response

If the mortality rate is not too high, the business should consider executing Level 2 actions – remaining open and implementing social distancing plus personal protection equipment policies as needed. In particular, if the outbreak is not in the immediate area there may be some time to develop an effective vaccine before the virus reaches the immediate area.

Depending on the location(s) of the outbreak, social distancing policies would likely be gradually introduced. If the outbreak is not in the immediate area, certain travel and visitor restrictions would likely be effective immediately. If the outbreak is in the immediate area, full social distancing and personal protection equipment policies would become effective.

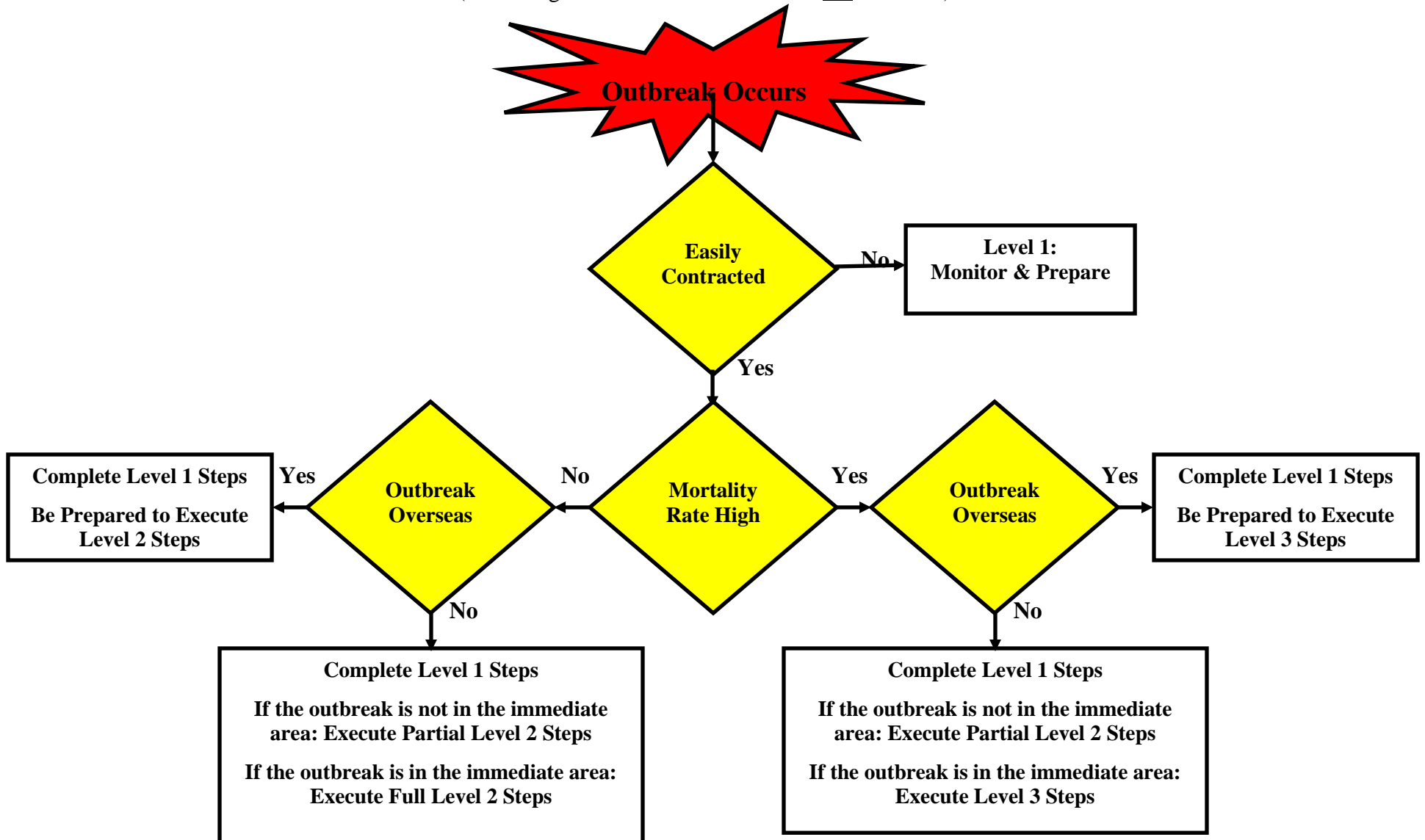
If the mortality rate is high, the business should consider executing Level 3 actions – closing the business facility and work from home or other safe remote locations. A contingency of essential personnel may also have to remain on site provide security and, if applicable, to maintain environmental controls for sensitive materials.

16. Mortality Rate

What is a high mortality rate? There appears to be no clear-cut universal answer to this question. Although this was not the case with the 1918 Spanish Flu, mortality rates may be concentrated on the very old and the very young – not directly impacting the business significantly. Also note that closing the business does not guarantee everyone's safety. Each business will need to address this question individually.

Author's Note: It would appear that if the mortality rate does not exceed 1% or 2%, the business (along with most other organizations) should consider remaining open.

Chart 1: Situation – Response
(Assuming that an effective vaccine is not available)



Section V. Plan Activation

Activate the plan when a contagious outbreak occurs overseas. If a contagious outbreak occurs within North America, then an immediate activation of Plan Execution (Section VI) steps should be taken.

- Activate the Emergency Operations Center (EOC)
 - Closely monitor the location(s) and mortality rate of the outbreak
 - Closely monitor absentee rates
 - Meetings should be held at 5:30 a.m. (meetings may be conducted by telephone among selected members) and at 5:30 p.m. or more frequently as necessary
 - The company emergency hotline and the company emergency webpage page should be updated at 6:00 a.m. and at 6:00 p.m. or more frequently if necessary

Author's Note: The early morning meetings are an inconvenience for some individuals but unfortunately they are necessary. At the beginning of the day, everyone needs to know if the business is open. The 6:00 a.m. emergency hotline and the emergency webpage update will provide all interested parties with very critical information.

- Track vaccination programs
- Assist employees with access to vaccination programs
- Implement overseas travel restriction policies to infected areas
- Complete all pre-event preparation steps

Section VI. Plan Execution

17. Initial Actions

Initial actions are taken when a contagious outbreak occurs within North America. If the contagious outbreak does not appear to be contained or if there is a chance that the outbreak will spread to the immediate area, then the activation of Full Activation steps (Paragraphs 18 and 19) should be taken.

- Activate or maintain the Emergency Operations Center (EOC)
 - Closely monitor the location(s) and mortality rate of the outbreak
 - Closely monitor absentee rates
 - Meetings should be held at 5:30 a.m. (meetings may be conducted by telephone among selected members) and at 5:30 p.m. or more frequently as necessary
 - The emergency hotline and the emergency webpage should be updated at 6:00 a.m. and at 6:00 p.m. or more frequently if necessary
- Track vaccination programs
- Assist employees with access to vaccination programs
- Implement travel and business facility access restriction policies
- Complete all pre-event preparation steps
- Be prepared to implement social distancing and personal protection equipment policies

18. Full Activation – Business Remains Open

The outbreak is now in the immediate area, and a decision for the primary business facility to remain open has been made.

- Activate or maintain the Emergency Operations Center (EOC)*
 - Closely monitor the location(s) and mortality rate of the outbreak
 - Closely monitor absentee rates
 - Meetings should be held at 5:30 a.m. (meetings may be conducted by telephone among selected members) and at 5:30 p.m. or more frequently as necessary
 - The emergency hotline and the emergency webpage page should be updated at 6:00 a.m. and at 6:00 p.m. or more frequently if necessary
- Track vaccination programs*
- Assist employees with access to vaccination programs*
- Implement travel and business facility access restriction policies*
- Restrict travel to any affected areas*
- Consider eliminating all travel*
- Complete all pre-event preparation steps*
- Do not allow access to anyone who has traveled to an infected area*
- If possible, do not allow any guests or visitors*
- If possible, allow employees to work from home
- Consider activating alternate sites
- Consider working from other safe locations
- Limit, but preferably eliminate, all type of face-to-face contact
- Avoid meetings, shared offices, handshaking, etc.
- Limit, but preferably eliminate, all face-to-face talking
- Utilize speakerphones, and avoid any face contact with communication equipment
- Disallow smoking breaks
- Cancel any social gathering/events
- Allow employees to eat lunch alone at their workstations
- Businesses with work shifts should consider leaving an interval of inactivity between shifts
- Any employee with symptoms
 - If at work, should be sent home or, if available, to medical facilities, wearing a face mask
 - If at home, should not report to work
- Maintain contact with employees at home
 - Preferably by phone, website and e-mail
 - Avoid personal contact

* Initial steps

Continued...

- Require everyone to wear face masks, eye goggles and other protective personal equipment
- It may be necessary to suspend meetings
- Maintain employee, client, customer, etc. contact
 - By phone, website and e-mail
 - Avoid personal contact

19. Full Activation – Business Facility Closes

- Maintain mission-critical production and services capabilities:
 - Work from home
 - Work from other safe business locations
 - Work from vendor sponsored alternate sites
- For all employees working together, implement all the appropriate precautions as described in Paragraph #18

20. Recovery

The immediate danger has now passed. Either large numbers of individuals have contracted the virus, survived and now are effectively immune, or an effective vaccine has been developed and is available.

- Emergency Management Committee and Pandemic Planning & Response Team
 - Maintain a regular meeting schedule at the EOC
 - Direct business resources
 - Develop and execute a recovery plan and timeframe
 - Continue to monitor future threats from new mutated strains

Make safety matters the top priority throughout the entire recovery process
- Executive Management
 - Provide leadership
 - Provide resource direction
 - Become involved with family and relative contact with regard to relatives of deceased individuals
- Communications
 - Maintain regular meetings of the Crisis Communication Team
 - Coordinate all communications
 - Develop messages for the media, employees and other interested parties
 - Update the emergency hotline message
 - Direct HR to update the emergency hotline
 - Update the emergency webpage message
 - Direct IT to update the emergency webpage
 - Maintain contact with the media
- Facilities
 - Maintain a safe environment
 - Maintain environmental controls
 - Account for and secure all known hazardous materials
 - Complete disinfection activities
 - Provide food, water and other logistical supplies to the emergency teams
- Finance & Accounting
 - Maintain procedures to rapidly approve purchasing requests
 - Maintain contact with General Counsel
 - Maintain payroll operations
 - Maintain bank, federal, state, etc. revenue collection procedures
 - Provide emergency transportation services
 - Establish mail service
 - Risk Management – file insurance claims (if applicable)

- Human Resources
 - Maintain special disaster assistance policies (see Appendix E)
 - Contact all employees
 - Maintain the emergency hotline as directed by Communications
 - Continually assess workforce capabilities
 - Maintain critical employee benefit services
 - Maintain proper employee hiring and termination procedures
- Information Technology
 - Shift critical operations from the IT recovery site back to the main data center
 - Maintain the emergency webpage page as directed by Communications
 - Maintain the communications infrastructure
- Operational Groups
 - Maintain mission-critical production and services from alternate locations
 - Re-establish normal production and services from the primary facility
- Sales & Marketing
 - Maintain client, customer and prospect contact by making personal visits
- Security
 - Provide security, and maintain a safe environment
 - Maintain emergency communications
 - Cordon off any dangerous areas
 - Provide access control

21. Review

- Review the actions taken by the all teams
- Review the actions taken by the various business units
- Review the actions taken by individual employees
- The BCP Coordinator drafts changes to the documentation and procedures for review and approval

Section VII. Appendices

22. Appendix A – Expected Impact

- Fatalities
 - Possible within the workforce and possibly at significant levels
 - Numerous (in the thousands or more) nationwide/worldwide
- High absentee rates
- Areas will almost certainly be quarantined
- Even with quarantines, widespread impact possible
- Not a physically damaging disaster
- Duration would not likely be short, hampering any rapid recovery efforts
- Areas would likely be affected in waves lasting several weeks
- There may be multiple waves of the same or slightly mutated virus
- Medical facilities swamped
- Effective vaccines would not likely be readily available
- Some general warning period is likely, but it may be a brief warning
- General panic likely
- Enormous post-disaster socioeconomic changes are possible
- For some businesses, physical assets may be commandeered by civil authorities

23. Appendix B – Personal Protective Equipment and Products

- N95 face masks
- Goggles
- Disposable gloves or gloves that can be disinfected
- Disposable protective shoe covers or shoes that can be disinfected
- Soap
- Disinfectants
- Tissue, paper towels and other disposable cleaning products

24. Appendix C – Possible Influenza Case

Name: _____

Employee/Visitor: _____

Address: _____

Telephone: (H) _____ (C) _____

Symptoms: Fever: _____ Body Ache: _____ Headache: _____ Fatigue: _____
Cough: _____ Breathing Difficulty: _____ Other: _____

Areas of work: _____

Exposed Individuals: _____

Recent Travel: _____

Recorded By: _____
Date: _____ Time: _____ Location: _____

25. Appendix D – Personal Safety

In Advance of an Outbreak

- Have sufficient nonperishable food, water, medications and other survival supplies available for as long a period as reasonably possible
- In particular, maintain an adequate supply of
 - Soap for frequent hand washing
 - Face masks, latex gloves, tissue, etc.
 - Antiviral medications
- Do not travel to any areas where an outbreak is occurring

If an epidemic or pandemic outbreak occurs in the immediate area

- Try to avoid contamination by taking the following general precautions:
 - Avoid public transportation
 - Eliminate all unnecessary travel
 - Eliminate shopping, entertainment, etc.
 - Do not allow guests or visitors
- Try to avoid contamination by taking the following medical precautions:
 - Wash hands frequently with soap and water
 - Wash sheets and clothes in hot water
 - Do not touch your face with your hands (eyes, nose and mouth are the most likely points of virus entry into the body)
 - Coughs and sneezes:
 - Into tissue and dispose of tissue
 - Into your elbow
 - Wear face masks, eye goggles and other personal protection equipment
 - Dispose of all used face masks, tissue, etc., and afterwards wash hands
 - Stop smoking
 - Stay away from others as much as possible, in particular:
 - People with symptoms
 - Children
 - Chronically ill people
 - Limit any touching or face contact with others
 - Keep children out of school
- If infected
 - Do not report to work
 - Quarantine yourself
 - Wear a face mask

Communicate this information to all family members

26. Appendix E – Disaster Assistance

Author's Note: This is more of a 'personnel policy' than a 'plan'. As such the policy provisions will need careful examination by the Human Resources department and approval by senior management.

Mission Statement

The company intends to do everything reasonably possible to provide a place of employment and make every reasonable effort to maintain the health, safety and well being of all employees.

Post Disaster Payroll & Workforce Policies

Some employees may not be able to work, there may not be work available, travel to work may be impossible or a wide-variety of other conditions may preclude work. In the event the business is closed, the following work policies will apply:

Work Hours

- Overtime may be authorized to the extent needed to bring critical operations back to normal levels
- Vacations and holidays may be canceled
- If the event is of extended duration, special policies may be implemented

Payroll

- Non-exempt employees who are required to work (essential employees) either at the business facility or at alternate locations will be compensated at time and a half
- If the event is of extended duration, special compensation may be considered for exempt employees who are required to work (essential employees) either at the business facility or at alternate locations
- Employees who are not seriously affected by the disaster are expected to work to the extent that work is available
- If no work is available, employees will be compensated for a period of time up to _____

Employee Assistance

Management will make every reasonable effort assist employees as follows:

- Time off for personal matters
- Psychological assistance
- Working from home (to the extent possible)
- Flexible work hours (to the extent possible)

Time-Off Policies

If a pandemic breaks out in the immediate area, time off will be permitted for any of the following situations:

- Personal illness
- Family illness
- Community quarantines
- School closures
- Transportation closures

Accrued Leave Time may be used during the period of time the epidemic or pandemic remains in the general area and if vaccinations are not yet available. Essential personnel may be required to report to work.

27. Appendix F – Preparedness at Home

Respirators

Is buying an escape hood or other type of respirator the best way to protect myself, my family, and/or my employees?

If available and used correctly, a respirator can selectively reduce the exposure you might otherwise receive. Respirators have been used for many years in the workplace, where employers have programs to make sure the proper masks are selected and that the respirator fits. When consumers use respirators, they don't have such support, so this fact sheet includes lots of background information to help consumers understand the limitations and cautions that need to be considered. The goal is to avoid unintended problems that might occur through lack of understanding or a false sense of security.

Questions you should ask about any respirator you are considering purchasing:

- What protection (which chemicals and particles, and at what levels) does the escape hood provide?
- Is there more than one size?
- How do I know if the gas mask or escape hood will fit?
- What type of training do I need?
- Has the escape hood been tested against claims for protection such as biological agents, chemical warfare agents, toxic industrial chemicals, and radioactive dust particles?
- Who performed the testing, what were the tested levels, and test durations?
- Is the escape hood certified by an independent laboratory or government agency?
- Are there any special maintenance or storage conditions?
- Will I be able to talk while wearing the respirator?
- Does the hood restrict vision or head movement in any way?
- Can I carry the device in the trunk of my automobile?
- Is a training respirator available?
- Can I use the escape hood more than one time?
- Can children wear the escape hood and get the expected protection?

Family Supply Kit

Flashlight with extra batteries

Use the flashlight to find your way if the power is out. Do not use candles or any other open flame for emergency lighting.

Battery-powered radio

News about the emergency may change rapidly as events unfold. You also will be concerned about family and friends in the area. Radio reports will give information about the areas most affected.

Food

Enough non-perishable food to sustain you for at least three days (three meals) is suggested. Select foods that require no refrigeration, preparation or cooking, and little or no water. The following items are suggested:

- Ready-to-eat canned meals, meats, fruits, and vegetables.
- Canned juices.
- High-energy foods (granola bars, energy bars, etc.)

Water

Keep at least one gallon of water per person available for three days, or more if you are on medications that require water or that increase thirst. Store water in plastic containers such as soft drink bottles. Avoid using containers that will decompose or break, such as milk cartons or glass bottles. You may retain some unscented chlorine to purify water.

Medications

Include usual non-prescription medications that you take, including pain relievers, stomach remedies, etc. If you use prescription medications, keep at least a three-day supply of these medications at your workplace. Consult with your physician or pharmacist how these medications should be stored, and your employer about storage concerns.

Extra Cash

Have some extra cash in the event ATMs become unavailable, as well as coins or phone cards in case cell phones don't work.

First Aid Supplies

Have the following essentials:

- (20) adhesive bandages, various sizes.
- 5" x 9" sterile dressing.
- conforming roller gauze bandage.
- triangular bandages.
- 3 x 3 sterile gauze pads.
- 4 x 4 sterile gauze pads.
- roll 3" cohesive bandage.
- germicidal hand wipes or waterless alcohol-based hand sanitizer.
- (6) antiseptic wipes.
- pair large medical grade non-latex gloves
- Adhesive tape, 2" width.
- Anti-bacterial ointment.
- Cold pack.
- Scissors (small, personal).
- Tweezers.
- CPR breathing barrier, such as a face shield

Tools and Supplies

- Emergency "space" blanket (mylar).
- Paper plates and cups, plastic utensils
- Non-electric can opener.
- Personal hygiene items, including a toothbrush, toothpaste, comb, brush, soap, contact lens supplies, and feminine supplies.
- Plastic garbage bags, ties (for personal sanitation uses).
- Include at least one complete change of clothing and footwear, including a long sleeved shirt and long pants, as well as closed-toed shoes or boots.
- If you wear glasses, keep an extra pair with your workplace disaster supplies.

This information about Family Disaster Planning has been adapted from materials provided by the American Red Cross (www.redcross.org).

28. Appendix G – Emergency Operations Center (EOC)

The Emergency Operations Center (EOC) is the location where the management team gathers and executes the plan. The primary EOC should contain emergency supplies (food, water, tools, emergency equipment, etc.) and ideally should be fortified (reinforced walls, electric generator backup, etc.).

Location

Following a disaster the EOC will be established at the closest undestroyed location:

The primary EOC is located at:

If the primary EOC is inaccessible the backup EOC will be located at:

If both EOCs are inaccessible the backup EOC will be located at:

Author's Note: The primary EOC should be located on company property. The first backup EOC is generally located outside of the primary facility but in the immediate area. It is used when the primary EOC is inaccessible or destroyed but the disaster event was not communitywide. The third EOC should be located some distance away so that it is unlikely to have been affected by the same communitywide disaster that rendered the first two EOCs inoperative. For Pandemic Outbreak planning, arguably the first backup EOC will not likely be used.

Personnel

Emergency Response Team members and the Company Incident Commander should attend. Alternate ERT members should attend when primary team members cannot attend. EMC members may attend at their discretion.

Specifications

Physical

- Square feet (minimum)
- Tables
- Chairs
- Large tables

Equipment

- Personnel computers
- Printers
- Fax machines
- UPS & electric surge protection devices
- Telephones:
 - Wire phones
 - Cellular phones
 - 2-way radios (portable with rechargeable batteries)
 - Satellite phones (that communicate directly with satellites in space)
- Television sets
- AM/FM radios

Supplies

- First aid kits
- Safety glasses, work gloves and hard hats
- Flashlights
 - Battery operated
 - Non-battery operated
 - Rechargeable
- Extra batteries
- Gallons of drinking water (1 gallon per person for three days)
- Non-perishable foods (sufficient food for three days per person)
- Extra food & water for essential personnel
- Manual can & bottle openers
- Bedding materials
 - Cots
 - Blankets
- Basic office supplies – paper, pens, staplers, etc.

29. Appendix H – Ongoing Exercise, Training and Update

Meeting of the Pandemic Planning and Response Team (quarterly meetings)*

Meeting #1	Scheduled	_____
	Held	_____
Meeting #2	Scheduled	_____
	Held	_____
Meeting #3	Scheduled	_____
	Held	_____
Meeting #4	Scheduled	_____
	Held	_____

Meeting of the Emergency Management Committee (at least one per year)*

Meeting #1	Scheduled	_____
	Held	_____

Tabletop Exercise (one per year)

Exercise #1	Scheduled	_____
	Held	_____

Testing

Exercise #1	Scheduled	_____
	Held	_____
Exercise #2	Scheduled	_____
	Held	_____

* Meetings will occur as needed during potential or actual emergency events.

Training

Business Unit	Type of Training	Scheduled	Held

Pandemic Plan Updates

Drafted _____

Review by the Pandemic Planning and Response Team _____

Review/approval by the Emergency Management Committee _____

Communication to relevant parties _____

30. Appendix I – Additional Information

Important additional information may be obtained from the following links:

<http://www.rothstein.com/links/links.html>

<http://www.pandemicflu.gov/plan/workplaceplanning/index.html>

<http://www.cdc.gov/flu/pandemic/pdf/businesschecklist.pdf>

<http://www.who.int/csr/disease/influenza/pandemic/en/>

Section VIII. Attachment A – Contact Information

Emergency: 911

Hospitals:

Medical Facilities:

Health Insurance Providers:

Other Medical Related:

Subcontractors

Name	Company	Telephone Numbers		
		Office	Cell	Other (e-mail)

Service Providers

Name	Company	Telephone Numbers		
		Office	Cell	Other (e-mail)

Suppliers and Vendors

Name	Company	Telephone Numbers		
		Office	Cell	Other (e-mail)

Other Out-side Providers

Name	Company	Telephone Numbers		
		Office	Cell	Other (e-mail)

BUSINESS CONTINUITY PLANNING

PROVIDED BY:

Risk Strategies
Company



Synergy Plan

The information contained in this toolkit is not intended to be used as legal advice. The reader should consult legal counsel regarding specific legal issues. © 2014 Zvwave Inc. All Rights Reserved.

What is business continuity planning?

Business continuity planning is the process of identifying the parts of your company that are most vulnerable in order to create a plan to recover them if a business interruption occurs. Your company's business continuity plan, in conjunction with business interruption insurance, form your business continuity management (BCM) program. Businesses with strong BCM programs are more resilient in the face of emergencies and disasters.

The steps involved in creating, implementing and maintaining a business continuity plan are listed to the right. The process of creating the plan is in itself a beneficial exercise. The resulting plan, if implemented and maintained, can be the difference between recovering from a business interruption and going out of business.



Why is continuity planning important?

Did you know that 1 out of every 4 businesses impacted by a disaster never reopens its doors? And in the past year, nearly 1 in 5 companies has reported experiencing a business interruption. A business interruption can be as benign as a short power outage or as severe as a hurricane. Companies that are prepared to face all types of incidents—small or large—are more likely to stay in business.

How do I use this sample plan?

This document is a template to help you begin the continuity planning process for your company. Sample text has been provided for the majority of the sections to serve as a starting point. You will want to review all of this sample text and customize it to fit the needs of your company. Any text listed in red must be replaced with company-specific information.

This document pairs nicely with another tool: the Business Continuity Planning Toolkit. The Toolkit provides descriptions of the purpose of each section of your continuity plan. It follows the same format as this sample plan. Refer to the Business Continuity Planning Toolkit for additional instructions and guidance as you customize this sample plan.

You will likely find that you need to communicate with other departments or internal resources to gather the materials necessary to complete some sections of the plan. There is no need to complete the plan in the order it is listed in this sample. Customize and adapt this sample to fit the needs of your business. If you have questions as you work, contact your Risk Strategies Company representative.

Table of Contents

Direction and Control	3
Business Mission Statement.....	4
Business Continuity Policy.....	4
Emergency Management Group.....	4
Incident Commander	5
Team Processes and Procedures	5
Incident Commander Workflow.....	5
Emergency Operations Center	6
Communication	7
Emergency Communications.....	8
Notification	8
Warning.....	8
Confidentiality Requirements.....	9
Organizational Chart.....	9
Customer Lists	9
Utility Provider Information.....	9
Suppliers and Equipment Providers	9
Life Safety	10
Evacuation Planning	11
Assembly and Accountability	11
Shelter.....	11
Employee Training.....	12
Family Preparedness.....	12
Property Protection	13
Protection Systems	14
Mitigation.....	14
Facility Shutdown.....	15
Records Preservation	15
Building Information	16
Community Outreach	17
Mutual Aid Agreements	18
Public Information	18
Media Response.....	18
Local Emergency Information	19
Recovery and Restoration	20
Procurement, Logistics and Distribution	21
Operations	21
Product or Service Development.....	22
Marketing, Sales and Customer Accounts	22
Customer and Aftersales Services	23
General Management and Firm Infrastructure	23
Human Resource Management.....	24
Technology and Process Development.....	24
Implementation and Maintenance	25
Integrate the Plan into Company Operations	26
Business Interruption Insurance	26
Conduct Drills and Exercises.....	26
Train Employees.....	27
Annual Plan Audit	28
Appendix	29

Direction and Control

BUSINESS CONTINUITY PLANNING

Business Mission Statement

<Company mission statement>

Business Continuity Policy

The purpose of the Synergy business continuity policy is to maintain business functions in the event of an emergency. The policy applies to Synergy, its subsidiaries, all locations and all employees.

In the event of an emergency, the Synergy Emergency Management Group will be responsible for declaring emergencies, evacuating or shutting down facilities as necessary and contacting employees. The Emergency Management Group will be led by the Synergy Incident Commander and will operate out of the Synergy designated Emergency Operations Center.

The Emergency Management Group has the authority to identify critical business functions impacted by the emergency and initiate the process for recovering each function in the order laid out in the Synergy Business Continuity Plan.

The Synergy Business Continuity Plan is enacted with the purpose of ensuring continued business activity in the event of an emergency and ensuring the safety of all employees. Failure to comply with the Synergy Business Continuity Plan or any directives issued by the Emergency Management Group may result in verbal reprimands, official write-ups and termination, as deemed appropriate.

Emergency Management Group

The Synergy Emergency Management Group is responsible for controlling all technical aspects of emergency response. The group will be led by the Synergy Incident Commander. Members of this group (and only these designated members) have the authority to:

- Order facility shutdown
- Initiate evacuation of employees and customers
- Declare that an incident has ended
- Communicate with the media
- Initiate the Synergy emergency response phone tree

The following employees comprise the Synergy Emergency Management Group:

- <Employee name and role>
- <Employee name and role>
- <Employee name and role>
- <Employee name and role>

In the event that these individuals are not available, the following employees may serve as alternative members of the Emergency Management Group:

- <Employee name and role>
- <Employee name and role>

BUSINESS CONTINUITY PLANNING

Incident Commander

The Synergy Incident Commander is responsible for communicating with internal and external resources in the event of an emergency. This individual has the authority to declare an emergency, shut down company facilities and communicate with the media.

- <Employee name> is the Synergy Incident Commander.
- In the event that <Employee name> is not available, <Employee name> shall serve as the Synergy Incident Commander.

Team Processes and Procedures

<Team processes and procedures>

Incident Commander Workflow

In the aftermath of an emergency, immediately take the following steps to resume operations:

- Organize a recovery team and list your business' top priorities for resuming operations.
- Ensure the safety of personnel on the property by evaluating any remaining hazards and controlling security at the scene of the incident.
- Conduct an employee briefing.
- Maintain detailed records. Record all decision making and videotape or photograph the damage.
- Account for all damage-related costs by establishing charge codes for purchases and repair work.
- Follow your notification procedures. Notify employees' families about on-duty personnel, notify off-duty personnel about their work status and alert insurance carriers and appropriate government agencies.
- Protect undamaged property by closing building entrances and exits, restoring sprinkler systems, re-establishing power, guarding property against moisture and removing smoke, water and general debris.
- Coordinate your restoration actions with appropriate government agencies.
- Regulate salvage operations by segregating damaged property from undamaged property and retaining damaged goods until an insurance adjuster can view them. However, you should move material outside if it impedes traffic and can withstand exposure to the elements.
- Perform an inventory count on damaged goods with an adjuster or the adjuster's salvor. Obtain a signed inventory listing the quantity and type of goods if you release any to the salvor.
- Restore equipment and property. Do not undertake any major repair work without consulting the insurance adjuster and appropriate government agencies.
- Assess the value of any damaged property and the financial impact of business interruption.
- Maintain constant contact with customers and suppliers to instill confidence.

Emergency Operations Center

Synergy will designate two Emergency Operations Centers. These centers will serve as a centralized location where the Emergency Management Group can gather in the event of an emergency. The primary center will be on campus and the secondary center will be located off campus. In the event that the primary center is not able to be utilized, the Emergency Management Group will utilize the secondary center.

Both locations will be stocked with the following resources:

- Three cellphones
- Three cellphone chargers
- Copy of the emergency management plan
- Blueprint of the facility
- Map of the surrounding area
- Chain of command list and contact information
- Security information for the building, including the alarm code and activation/deactivation procedures
- Phone tree for contacting employees
- Emergency generator and gasoline
- Three flashlights equipped with spare batteries
- First-aid kit
- 15 gallons of clean water

Access to the primary and secondary Emergency Operations Centers is limited to members of the Emergency Management Group. The Synergy Incident Commander and the Human Resources Manager will have keys to each facility.

- The Synergy primary emergency operations center is located here: <Address>.
- The Synergy secondary emergency operations center is located here: <Address>.

Communication

BUSINESS CONTINUITY PLANNING

Emergency Communications

Synergy understands the importance of clear communication in an emergency situation.

The Emergency Operations Center will be stocked with cellphones and laptops and equipped with wireless internet. It will be equipped with a backup generator to ensure Internet access even if the power goes out.

Notification

Synergy will ensure that all employees know the proper notification procedures for a variety of scenarios.

Employees should report an emergency by contacting <Employee name>. In the event <Employee name> is not available, employees should contact <Employee name>.

To aid employees in their notification efforts, Synergy will post emergency telephone numbers <Location> and provide the emergency contact list of employees (the phone tree) <Location>.

The designated employees, <Employee name>, <Employee name> and <Employee name> are responsible for monitoring the local radio/weather report in the event that bad weather is approaching.

In the event of an emergency that requires a facility-wide evacuation, Synergy will send out the following announcement to all employees:

- Due to a developing emergency, Synergy asks you to please calmly exit the building and reconvene at our designated meeting point located at <Address>. Bring with you only that which is necessary, such as medication or clothing for inclement weather. Assist your co-workers in assuring that your area of the building is completely evacuated and that everyone is calmly heading for the company meeting spot. We will release more information at that time. Thank you.

Warning

Synergy has the following warning system to alert all employees: <Warning system details>. We will test the warning system and record the results <Number> times a year.

The warning will sound like <Warning sound> and look like <Warning visual>. To help alert people with certain disabilities that may have difficulty perceiving the warning, we have augmented our warning system to include <Warning accommodations>.

Emergency exits will be marked with <Exit signage details> to attract attention and guide evacuating employees.

When customers or other visitors are also in the building when a warning is issued, employees should do the following to ensure everyone evacuates safely: <Customer evacuation procedure>.

BUSINESS CONTINUITY PLANNING

Confidentiality Requirements

<Existing agreements with other companies or vendors that require confidentiality>

Organizational Chart

<Organizational chart>

Customer Lists

<Customer lists>

Utility Provider Information

<Utility provider information>

Suppliers and Equipment Providers

<Supplier and equipment provider information>

Life Safety

BUSINESS CONTINUITY PLANNING

Evacuation Planning

In the event of an emergency that requires a facility-wide evacuation, Synergy will send the following announcement to all employees:

- Due to a developing emergency, Synergy asks you to please calmly exit the building and reconvene at our designated meeting point located at **<Primary evacuation location address>**. Bring with you only that which is necessary, such as medication or clothing for inclement weather. Assist your co-workers in assuring that your area of the building is completely evacuated and that everyone is calmly heading for the company meeting spot. We will release more information at that time. Thank you.

The warning will sound like **<Warning sound>** and look like **<Warning visual>**. To help alert people with certain disabilities that may have difficulty perceiving the warning, we have augmented our warning system to include **<Warning accommodations>**.

Emergency exits will be marked with **<Exit signage details>** to attract attention and guide evacuating employees.

Primary and secondary evacuation routes are marked with **<Exit signage details>**. Emergency lighting will illuminate exits in the event that power fails. Employees are required to exit the building through designated evacuation routes when at all possible.

If customers or other visitors are also in the building when a warning is issued, they should be guided to evacuate along with employees to **<Address>**.

Assembly and Accountability

Following the declaration of a facility evacuation, employees should meet at **<Address>** in order to account for all personnel after the evacuation. All employees must sign in via paper logs or by emailing the Emergency Management Group upon arrival at the evacuation location.

The names and last-known locations of personnel not accounted for should be determined and given to the Emergency Management Group, who will then attempt to contact those employees. After two hours, the Emergency Management Group will alert local authorities about any personnel still not accounted for.

In the event the incident expands, further evacuation by means of **<Further evacuation plan>** will be required.

Any customers, vendors or other visitors evacuated from the facility with employees will be asked to sign in and out prior to departing the assembly area.

Shelter

In the event of severe weather, employees should report to Synergy designated shelter areas. Shelter areas are indicated on facility maps posted on the back of each facility entrance.

Employees who are located off-site are encouraged to take shelter in a manner appropriate to the type of emergency. They should check in with a direct supervisor as soon as it is safe to do so.

BUSINESS CONTINUITY PLANNING

Employee Training

Synergy employees will be thoroughly trained on emergency evacuation and business restoration procedures. Specifically,

- All employees will review disaster preparation and emergency action plan procedures with department heads.
- New employees will be introduced to emergency action plans during employee orientation.
- Mock disaster training will be conducted annually and will involve local police and fire authorities.
- Quarterly training will involve all of the following drills and culminate in full-scale mock disaster training.
 - Walkthrough drills: The business continuity planning team, department heads and recovery teams will perform their emergency response functions.
 - Functional drills: These drills will test specific functions such as medical response, emergency notifications, warning and communication procedures and equipment, though not necessarily at the same time. Facility shutdown procedures will be tested, reviewed and modified as needed. Personnel are asked to evaluate the systems and identify problem areas.
 - Evacuation drills: Personnel walk the evacuation route to a designated area where procedures are tested for accounting for all personnel. Participants are asked to make notes as they go along on what might become a hazard during an emergency, such as stairways cluttered with debris and smoke in the hallways. Plans are to be modified accordingly, and problem areas are to be corrected as soon as possible.
 - Full-scale exercises: A real-life emergency situation is simulated as closely as possible. These exercises involve company emergency response personnel, employees and management, and community response organizations.

Family Preparedness

Synergy will assist employees in preparing their families for emergency situations by **<Company plans to assist families in an emergency>**.

After an emergency has occurred, Synergy will **<List action company will take to assist families – e.g., flexible work hours, cash advance, etc.>** in order to aid employees and their families.

Property Protection

BUSINESS CONTINUITY PLANNING

Protection Systems

The following protection systems are in place at Synergy:

- Fire Protection System
 - <Details>
 - <Plans to maintain and test system>
- Water-level Monitoring System
 - <Details>
 - <Plans to maintain and test system>
- Overflow Detection Devices
 - <Details>
 - <Plans to maintain and test system>
- Automatic Shutoffs
 - <Details>
 - <Plans to maintain and test system>
- Emergency Power Generation Systems
 - <Details>
 - <Plans to maintain and test system>
- <Other protective system>
 - <Details>
 - <Plans to maintain and test system>
- <Other protective system>
 - <Details>
 - <Plans to maintain and test system>

Mitigation

Upon review of the Synergy vulnerability analysis and risk assessment, the following steps should be taken in order to mitigate the chances of an emergency evacuation occurring:

- Fire Hazards
 - Fire safety information will be distributed to employees: how to prevent fires in the workplace, how to contain a fire, how to evacuate the facility and where to report a fire.
 - Maps of evacuation routes will be posted in prominent places.
 - Smoke detectors will be checked for proper operation once per month, and batteries will be replaced every six months.
- Hazardous Material Handling
 - Hazardous materials are substances that are flammable or combustible, explosive, toxic, noxious, corrosive, oxidizable, irritants or radioactive. A hazardous material spill or release can pose a risk to life, health or property. An incident may necessitate evacuation of a few people, a section of the facility or the entire surrounding neighborhood.

BUSINESS CONTINUITY PLANNING

- Identify and label all hazardous materials stored, handled, produced and disposed of by your facility. Follow all government regulations that apply to your facility. Safety Data Sheets (SDS) for all hazardous materials at your location should be stored in a centralized location where all employees have access.
- <Risk mitigation technique>
- <Risk mitigation technique>

Facility Shutdown

The Synergy Emergency Management Group is responsible for controlling all technical aspects of emergency response and is the only group with the authority to declare a facility shutdown.

Prior to declaring facility shutdown, the Emergency Management Group will investigate all options for reducing production or staffing in order to fit the demands of the current emergency situation. If reduction in production or staffing will not be advantageous to operations or will be insufficient in ensuring employee or community safety, the Emergency Management Group will declare a facility shutdown and enact the following procedures:

- <Emergency shutdown procedure>
- <Emergency shutdown procedure>
- <Emergency shutdown procedure>
- <Emergency shutdown procedure>
- <Emergency shutdown procedure>
- <Emergency shutdown procedure>
- <Emergency shutdown procedure>

Records Preservation

Backup data facilities have been identified at the following location:

- <Name of company>
- <Main contact>
- <Phone number>
- <Email address>
- <Street address>
- <City>
- <State>
- <Country>

The identified location of the backup site will be accessible for a minimum period of <Insert period> from initial date of occupancy after disaster declaration. It will be available for 24-hour access and retrieval and be protected by: security, fire suppression, water detectors, heating, air and ventilation.

Synergy will have access to the backup site facility within <Number of hours> after notification and guaranteed occupancy shall be at least <Period of time>.

BUSINESS CONTINUITY PLANNING

This storage facility will be reviewed for effectiveness annually.

The off-site storage process will include, but is not limited to, the following. All files vital to the operations of Synergy will be stored at this backup site.

- Backup tapes – weekly backup tapes of ALL DISK FILES, including mainframe, mid-range, servers and PCs (mandatory and with at least two generations)
- System, program product and in-house developed software manuals and guides
- Legal – copies of contracts, leases, legal and critical correspondences
- Insurance – policies, riders and addendums
- Financial – general and private ledgers, year-end financial statements, tax returns, bank records
- Recovery plans – a complete set
- Assets – complete fixed asset listings
- Referenced items – copies of any item referenced within your recovery team plans
- Floor plans
- Architectural drawings, including mechanical plans
- Photos of facility and various work areas
- Other crucial documents or data critical to the operation of business

Building Information

<Building information including blueprints, emergency exit routes and neighborhood information>

Community Outreach

BUSINESS CONTINUITY PLANNING

Mutual Aid Agreements

The following is an agreement between Synergy and <Local response agency and/or local business> to assist in an emergency situation by <Action to be taken>.

<Employee name> will be in charge of activating the command as the chain of command.

The following communication procedures should be followed:

- <Procedure>
- <Procedure>
- <Procedure>
- <Procedure>

The following agencies will participate in facility training exercises whenever possible:

- <Agency name>
- <Agency name>
- <Agency name>
- <Agency name>

Public Information

The following serves as public information regarding Synergy's business function and the manner in which our company will respond in the event of an emergency.

- <List what facility does>
- <List the hazards facility presents to the community>
- <List company's emergency response programs>
- <List how an on-site emergency can affect the community>
- <List assistance that may be required from the community>
- <List active partnerships with local fire and police authorities or other emergency responders>

Media Response

In the event of an emergency, the following is a guide on how Synergy will interact with the media in order to protect personnel while also communicating important information.

- <Designated spokesperson>
- <Alternate spokesperson>
- <Briefing area>
- <Security procedures>
- <Information will be considered ready for public release when <Action> has already taken place>.

BUSINESS CONTINUITY PLANNING

- <Form of communication>
- <Background information to be shared about Synergy>

Local Emergency Information

The following designated employees are responsible for maintaining updated contact information for local emergency authorities.

- <Employee name>
- <Employee name>
- <Employee name>

Emergency personnel contact information will be posted in the following conspicuous places:

- <Location>
- <Location>
- <Location>

Emergency information for the local fire, police, ambulance and poison control will be posted.

Employees who wish to serve as corporate emergency responders may sign up with the Synergy risk manager. These employees are required to be certified in first aid, CPR and AED use. The following employees are Synergy emergency responders:

- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>
- <Employee name>

Recovery and Restoration

BUSINESS CONTINUITY PLANNING

Procurement, Logistics and Distribution

Procurement, logistics and distribution are the activities associated with obtaining and storing inputs, and storing and transporting finished products to customers. This can include sourcing goods and services, purchasing those goods and services from suppliers, storing goods in warehouses and transporting your finished products to customers.

The following functions encompass all Synergy functions related to procurement, logistics and distribution. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

Operations

Operations are those activities associated with transforming inputs into final outputs, which can be either goods or services. This can include processing, refining and packaging your products.

The following functions encompass all Synergy functions related to operations. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

BUSINESS CONTINUITY PLANNING

Product or Service Development

Product or service development is the activities associated with bringing a new, improved or redesigned product or service to market. This can include research, marketing analysis, design and engineering.

The following functions encompass all Synergy functions related to product or service development. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

Marketing, Sales and Customer Accounts

Marketing, sales and customer accounts are three activities associated with informing existing or potential buyers. This can include promotion, advertising, telemarketing, selling and retail management.

The following functions encompass all Synergy functions related to marketing, sales and customer accounts. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

BUSINESS CONTINUITY PLANNING

Customer and Aftersales Services

Customer and aftersales services are the activities provided to customers after they purchase your goods or services. This can include training, help desk services, call center services and customer support for guarantees and warranties.

The following functions encompass all Synergy functions related to customer and aftersales services. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

General Management and Firm Infrastructure

General management and firm infrastructure are the activities associated with corporate governance. This can include accounting, building services, management and administrative support.

The following functions encompass all Synergy functions related to general management and firm infrastructure. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business unction>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

BUSINESS CONTINUITY PLANNING

Human Resource Management

Human resource management is the activities associated with managing your employees. This can include recruiting, hiring, training, compensating and dismissing personnel.

The following functions encompass all Synergy functions related to human resource management. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

Technology and Process Development

Technology and process development are the activities associated with technical knowledge and maintenance. This can include automating, designing or redesigning equipment, hardware, software and procedures.

The following functions encompass all Synergy functions related to technology and process development. The list is prioritized with the most important functions listed first.

- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>
- <Business function>

<Attach a completed copy of the Business Impact Analysis Template (appendix) for each function.>

<Attach any raw materials and supply lists that are necessary to recovering each function.>

Implementation and Maintenance

BUSINESS CONTINUITY PLANNING

Integrate the Plan into Company Operations

Synergy will educate all new hires and existing employees about the importance of continuity planning. Details of the plan will be stored in a public place, accessible to all employees upon demand. Company-wide review of emergency operations will be conducted annually as well as any time the plan is significantly modified.

Synergy pledges to do the following for our staff:

- Provide a safe working environment
- Implement emergency alerts in the event of a disaster
- Conduct a damage assessment in order to decide the best response and recovery plan possible
- If a shutdown occurs, provide employees with aid and resources to best accommodate losses incurred
- Build upon agreed strategies in order to restore business operations
- Provide backup storage for data
- Communicate all procedures in event of emergency shutdown

Business Interruption Insurance

<Business interruption policy information>

Conduct Drills and Exercises

The following timeline indicates when training and drills for employees will take place.

- Management Orientation - Review
 - <Month><Year>
- Employee Orientation
 - <Month><Year>
- Contractor Orientation
 - <Month><Year>
- Community - Media Orientation
 - <Month><Year>
- Management Tabletop Exercise
 - <Month><Year>
- Response Team Tabletop Exercise
 - <Month><Year>
- Walkthrough Drill
 - <Month><Year>
- Functional Drills
 - <Month><Year>

BUSINESS CONTINUITY PLANNING

- Evacuation Drill
 - <Month><Year>
- Full-scale Exercise
 - <Month><Year>

Train Employees

All employees are required to actively follow this policy for their own health and well-being. Synergy encourages its employees to take a proactive approach in identifying potential hazards by promptly reporting them to their supervisors.

New hire and periodic employee training will be offered. All employees are required to actively participate in identifying training needs as well as program development. Programs will consist of education sessions, drills and exercises. General training for all employees will address:

- Individual roles and responsibilities
- Information about threats, hazards and protective actions
- Notification, warning and communication procedures
- Means for locating family members in an emergency
- Emergency response procedures
- Evacuation, shelter and accountability procedures
- Location and use of common emergency equipment
- Emergency shutdown procedures

Business continuity planning requires special risk management controls. Risks associated with emergency evacuation and a subsequent shutdown can be minimized if users take basic safety precautions.

Employees will be taught to:

- Familiarize themselves with the emergency evacuation plan
- Know the pathway to at least two alternative exits from every room or area at the workplace
- Recognize the sounds or signaling method of the fire and evacuation alarms
- Know who to contact in an emergency and how to contact them
- Know how many desks or cubicles are between a workstation and two of the nearest exits to facilitate escape in the dark, if necessary
- Know where the fire and evacuation alarms are located and how to use them
- Report any damaged or malfunctioning safety systems and backup systems

Opportunity to practice these skills will be provided at least annually. Members of the Emergency Management Team and the Incident Commander will receive additional training.

BUSINESS CONTINUITY PLANNING

Annual Plan Audit

A formal audit of this business continuity plan will be conducted annually, as well as evaluation and modification after each training exercise, emergency, changes in personnel responsibilities, changes in facility layout or design and changes in policies or procedures. Personnel will be briefed every time changes or modifications have been made to the plan.

The employee who conducts the plan audit will provide the Synergy risk manager with a signed and dated copy of the plan with notes regarding necessary modifications. Upon review, the plan will be updated online. Three copies will be printed. One will reside on company premises; the other two will be stored at the primary and secondary Emergency Operations Centers.

Appendix

Business Impact Analysis

Definitions:

- Business Impact Analysis (BIA): examines the potential result of disruption to key business functions and collects the information necessary to determine short-term and long-term recovery objectives. A BIA includes analysis of both operational and financial impacts that could stem from the loss of key business functions. The following impacts should be considered as part of a BIA:
 - How many personnel are impacted (potential for outsourcing, overtime labor)
 - Lost or delayed sales
 - Regulatory fines
 - Financial and relationship penalties for not fulfilling contractual obligations
 - Customer dissatisfaction
 - Customer loss
 - Delay of new business plans
- Business Function: an operation or process that is necessary to the ongoing success of an organization. Examples of business functions include:
 - Customer service call centers
 - Print and web advertising plans
 - Maintenance of relationships with suppliers
 - Employee recruitment
- Recovery Time Objective: the time within which a business function must be restored after a business interruption in order to prevent irreversible damage.

How to use this document:

Every business has distinct business functions in place in order for the company to operate and thrive. Some businesses will identify just a few key functions, while others will identify many. Copy and paste the table on Page 2 onto subsequent pages as needed. When complete, reorder the pages by priority, with the highest priority business functions listed first. Delete this initial direction page prior to saving.

How to save this document:

It is recommended that this document be added to your Business Continuity Plan as a PDF to discourage readers from modifying the content. To do this, go to File>Save As. In the "Save as Type" menu, select "PDF."

Save an editable version to a safe location as well.

Business Impact – Key Function Priority 1

Business Function:	Recovery Time Objective:
<p>Business Category (delete all that do not apply):</p> <p>Procurement, Logistics and Distribution</p> <p>Operations</p> <p>Product or Service Development</p> <p>Marketing, Sales and Customer Accounts</p> <p>Customer and Aftersales Services</p> <p>General Management and Firm Infrastructure</p> <p>Human Resource Management</p> <p>Technology and Process Development</p>	
Departments Impacted:	Key Personnel:
<p>Lost Sales and Income:</p> <p>One week estimate:</p> <p>One month estimate:</p>	<p>Regulatory Fines:</p> <hr/> <p>Contractual Penalties:</p>
Short-term Recovery Plans:	
Long-term Recovery Plans:	