



California Certified Public  
Society Accountants

# **Disaster Planning and Recovery Guide**

**California Society of Certified Public Accountants'  
Management of an Accounting Practice  
State Committee**

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# DISASTER PLANNING AND RECOVERY

## PREFACE

The Management of an Accounting Practice State Committee of the California Society of CPAs (CalCPA) first published this guide and the packet of sample disaster plans in 1992. This publication has been one of the most requested documents from CalCPA since its publication and has been used in CE classes for professional groups. Practitioners Publishing Company reprints it and includes it in their MAP Handbook. In our updates of the publication we review various resources and believe that our success with the initial publication was due to its simple and direct approach to a firms planning for and recovery from a disaster. It is our intent to provide you with tools to develop your own custom plan and highlight issues that you should be aware of so you can make your plan meet your firms specific needs. The simple and direct approach continues to be the most effective way to encourage disaster plan preparation.

We have expanded the list of resources that you may find useful in developing record retention policies and disaster planning. We have reviewed these publications and have found them very informative and useful. Many professional liability insurance carriers such as CAMICO have materials available to assist the practitioner. The web can also serve as a research tool to help find companies and organizations that may have additional information to help you with your planning.

In addition to revising the document and adding the expanded bibliography, we have added a Disaster Recovery Plan Checklist that was provided by W. Jack Kessler, Esq., CPA - Alschuler, Grossman & Pines; Los Angeles, CA.

*Management of an Accounting Practice state Committee  
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# DISASTER PLANNING AND RECOVERY

## DISASTER PLANNING

Every firm, practitioner, office, and company needs a plan for their business in the event of a disaster. A disaster could include fire, flood, earthquake, wind, or loss of a partner or key staff member. Ignoring the planning process will, at best, leave you or your survivors with a lot of questions and no answers. By creating a road map of answers on how to respond to disasters, your business can recover as fast as outside influences will allow with a minimum of loss.

Preparing a disaster plan involves more than filling out preprinted forms with information that can be grabbed out of a desk drawer when disaster strikes. Following a disaster, the drawer may be gone and the person who wrote the plan may be inaccessible as well. A good plan focuses on the following four phases of the disaster planning process:

1. Preparedness
2. Response to the emergency
3. Recovery
4. Evaluation

### **Preparedness**

The first step in creating your plan doesn't involve planning at all, but rather understanding disasters. You must assess your risk for the various disasters that can befall you, then look at your environment and determine what would fail in each possible scenario. This first step is important, because you may be able to install preventative measures to reduce loss from a disaster or prevent a disaster from ever happening. Installing fire extinguishers or smoke detectors are examples of this type of preventative planning.

The second step is to evaluate the costs of a plan vs. the benefits you'll receive from a faster recovery due to planning. Insurance can repay some of the losses, and a review of your facility and business coverage with your insurance agent may result in improved coverage with less risk. The costs incurred to improve safety and security also may reduce your insurance costs. It is possible to build redundant systems and backup equipment that can survive any disaster and various options should be evaluated based on cost-benefit. As you build the plan, it must be practical and easy to maintain for the people who update the plan or it will become outdated and useless.

When you prepare your plan, keep in mind the following objectives as suggested by the Association of Record Managers and Administrators International:

## **DISASTER PLANNING AND RECOVERY**

1. Attempt to reduce the risk of disasters caused by human error. Your work environment should be well maintained and provide adequate security systems.
2. The plan should identify and protect the organization's vital records. Computer backups and off-site storage of important records are essential to a fast and economical recovery.
3. Policies, procedures and resources should be in place and understood by management to allow for response to the crisis.
4. Ensure the firm's ability to rapidly reconstruct essential information.

A disaster plan should allow for self-sufficiency for the first 72 hours after a natural disaster. It is quite likely that power, water, communications and transportation systems may not be available. Additionally, it should enable you to restore firm services in an effective and timely manner so that you may assist clients affected by the disaster.

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## **Response to the Emergency**

Procedures should be in place to:

- Get help from the appropriate emergency service
- Shut down the facility safely
- Evacuate the personnel from the facility
- Assess damage and control the situation.

Written instructions on how to respond and proceed safely, that are clearly understood by all personnel, will help everyone in an emergency.

## **Recovery**

The plan should provide all the necessary information for the firm's recovery to normal operations. This is when off-site storage of information such as backup tapes, client lists and supplier phone numbers) can help your business get up and running. Some firms have mutual aid agreements and/ or agreements with other practitioners for the transfer of their businesses upon death or disability and can be expanded to include temporary transfer during a disaster.

## **Evaluation**

The effectiveness of a disaster plan will diminish greatly if the plan is not updated and evaluated regularly. The information should be updated at least annually, and periodic spot checks of the active preventative measures should be made. For instance, verify that the off-site backup tape has been taken off site. Staff and principals should be quizzed on how to respond and where to find information in some regular, formal manner.

## **Conclusion**

Every firm's disaster plan must be tailored to the firm's goals, management style, size, resources and geographic location. The format and elements can vary widely from large to small firms and whether they are located in high rises, storefronts or homes. The plan should be solid and workable as well as easily and reliably implemented. Additionally, the plan should be a dynamic document that can change as circumstances change. Lastly, the plan will only work if top management believes in it and is committed to it.

# DISASTER PLANNING AND RECOVERY

## RESOURCES

*Following are organizations and companies that provide disaster planning and recovery services. This is not a complete list nor is it an endorsement of those listed.*

### A. Association Task Forces

1. **The Association of Contingency Planners (ACP)**, is a non-profit trade association dedicated to fostering continued professional growth and development in effective Contingency & Business Resumption Planning. ACP is the recognized premier international networking and information exchange organization in the business continuity industry. There are three chapters in California and many across the country. Main site: [www.acp-international.com](http://www.acp-international.com) and for the chapter nearest you: <http://www.acp-international.com/chpres.html>.

### B. Disaster Recovery

1. **Federal Emergency Management Agency (FEMA) - Emergency Management Guide For Business & Industry**, is a step-by-step approach to emergency planning, response and recovery for companies of all sizes. <http://www.fema.gov/library/bizindex.shtm>.
2. **Federal Emergency Management Agency (FEMA)** – [www.fema.gov](http://www.fema.gov) for preparedness, mitigation, business information, and disaster information.
3. **American Red Cross (ARC)** – [www.redcross.org](http://www.redcross.org). For disaster planning, brochures, to find your local chapter, disaster response, and disaster services.

### C. Disaster Recovery Manuals

1. **The Emergency Lifeline**, Customized Disaster Survival Manuals <http://www.emergencylifeline.com/IEindex.html> offers "fill in the blank" disaster survival manuals as well as other resources.
2. **Disater-Resource.com**, [www.disaster-resource.com](http://www.disaster-resource.com), is set up to help you find information, vendors, organizations and many resources to help you prepare for (mitigate) or recover from any type of natural or other type of disaster. The GUIDE is to help you keep your business running, your government agency operational, no matter what!

### D. Electronic Data Vaulting and Offsite Storage

1. **Live Vault InSync Services**, [www.livevault.com](http://www.livevault.com)

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2. **AmeriVault**, [www.amerivault.com](http://www.amerivault.com)
3. **Data Protection Services (DPS)**, [www.dataprotection.com](http://www.dataprotection.com)
4. **Data Products & Solutions Incorporated (DPSI)**, <http://www.dpsi.us/>
5. **Data Vault Backup Service**, [www.datavaultcorp.com](http://www.datavaultcorp.com)
6. **Online File Storage**, [www.boxnet.com](http://www.boxnet.com)

### E. Emergency Tools and Equipment

1. **Fastening Solutions, Inc.**, [www.fasteningsolutions.com](http://www.fasteningsolutions.com), offers products and fastening equipment for home or office.
2. **Bolt Products Inc.**, [www.boltproducts.com](http://www.boltproducts.com)
3. **Textron Fastening Systems Inc.**, [www.textron.com](http://www.textron.com), fastening products and services.
4. **FasteNation Inc.**, [www.fastenation.com](http://www.fastenation.com), Velcro and 3M fasteners and customized solutions.
5. **Q Safety.**, [www.qsafety.com](http://www.qsafety.com). Fasteners for office, home, hospitals, labs, and technology centers.

### F. General Resources and Information

1. **Disaster Recovery Journal**, [www.drj.com](http://www.drj.com), a free magazine and other resources for business continuity,
2. **California Office of Emergency Services (OES)**, [www.oes.ca.gov](http://www.oes.ca.gov), part of the Governor's Office, offers planning and safety materials free of charge.
3. **American Red Cross**, [www.redcross.org](http://www.redcross.org) to find your local chapter for disaster planning classes and products
4. **US Chamber of Commerce**, [www.uschamber.com](http://www.uschamber.com), a business federation representing companies, business associations, state and local **chambers** in the US, and American **Chambers of Commerce** abroad.
5. **California Society of CPAs (CalCPA)**, [www.calcpa.org](http://www.calcpa.org), has a variety of disaster planning, recovery, tax and accounting information.

## DISASTER PLANNING AND RECOVERY

<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
1	Start Project			
2	Develop Project Objective			
3	Develop a Budget			
4	Join BICEPP			
5	Obtain BICEPP Resource Directory			
6	Prepare Plan Overview			
7	Statement of Purpose			
8	Statement of Goals			
9	Explanation of Use			
10	Plan Features			
11	Begin Drafting Disaster Prevention and Response Manual			
12	Draft Disaster Prevention Techniques			
13	Draft Employee Safety Plan			
14	Fire			
15	Earthquake			
16	Power Failure			
17	Bomb Threat			
18	Nuclear Attack			
19	Civil Disturbance			
20	Flood			
21	Aircraft Disaster			
22	Complete Draft of Employee Safety Plan			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
23	First Aid			
24	Supplies: First Aid and Subsistence			
25	Check with Office of the Building Re: Their DRP			
26	Communication			
27	Paging System in Library			
28	Attend Rolm Disaster Prevention/Recovery Seminar			
29	Phones: Operable			
30	Communications Network			
31	List of Emergency Phone #s			
32	Emergency Trunk Lines			
33	Provide Out of Town Address to Rolm for Emergency Phone Number			
34	Identify Non-Rolm Phone Lines if Rolm System is Inoperable			
35	Purchase Phones for Non-Rolm Lines			
36	Determine Long Distance Contact Number			
37	Phones: Inoperable			
38	Runners			
39	Identification of Hardware Needs (Short wave Radios, etc.)			
40	Research Other Means of Communication			
41	Assess Voice Mail Capabilities			
42	Preparation for Media Response			
43	Emergency Teams			
44	Assignment of Personnel Into Emergency Teams			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
45	Plan Emergency Team Response			
46	Disaster Assessment			
47	Disaster Rating			
48	Preparation of Forms			
49	Department Checklists			
50	Assessment Forms			
51	Assignment Checklists			
52	Provide Mechanism for Declaration of Disaster (Decision Tree)			
53	Provide Mechanism for Activation of Business Resumption Plan (Decision Tree)			
54	Complete Draft of Disaster Prevention and Response Manual			
55	Begin Drafting Business Resumption Plan			
56	Data Recovery			
57	General Data – (insert name)			
58	Backup Procedures			
59	Backup Hardware			
60	Backup Storage: Keep Lists of FK Locations Off Site			
61	Location of Critical Data			
62	Accounting Department Data – (insert name)			
63	Backup Procedures			
64	Backup Hardware			
65	Backup Storage: Keep List of FK Locations Off Site			
66	EOC – Emergency Operations Center			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
67	Locate Site for Emergency Operations Center			
68	Possibility of Purchasing Notebook Computers			
69	Departmental Needs			
70	Network			
71	Server			
72	Workstation			
73	NIC's			
74	Cabling			
75	Concentrators			
76	Miscellaneous			
77	Software			
78	Vendors			
79	Supplies			
80	Consultants			
81	Service			
82	General Office			
83	Notify Office of Building Re: Keeping Doors Closed			
84	Equipment Purchase/Rental			
85	Fax Machines			
86	Copy Machines			
87	Kitchen Equipment			
88	Dictaphone Equipment			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
ID	DRP Tasks	Assigned to	Expected Completion Date	Notes
89	Typewriters			
90	Miscellaneous			
91	Vendor Notebook			
92	Supplies			
93	Consultant			
94	Service			
95	Personnel Agencies			
96	Movers			
97	Equipment Repair			
98	Personnel			
99	Location of Vital Records:			
100	Employee Records			
101	Vacation Schedule			
102	Miscellaneous			
103	Phone System			
104	Office Supplies			
105	Memos to Office Personnel:			
106	Keeping All Doors and File Cabinets Closed			
107	Keeping Records Center Units Closes			
108	Resource Directories			
109	Internal Resources: On Site or Available Voluntarily Through Employees			
110	External Resources: Off Site, Preferable Local AND Non-Local Locations			

## DISASTER PLANNING AND RECOVERY

<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
111	Office of the Building			
112	Does the Building Have a DRP?			
113	Instructions to Cleaning Crew Re: Closing of Doors, etc.			
114	Coordination With Other Tenants			
115	Records Center			
116	Location of Vital Records: Wills, etc.			
117	Conflict Information			
118	Determine Cost of Drawer File Cabinets In All War Rooms			
119	Condense War Rooms From 12 to 3 or 4			
120	Keep Log of When Movable Units in Records Center are Left Open			
121	List of Box Locations Off Site			
122	Records Retention Policy			
123	What Are Other Firms Doing?			
124	Return All Client Records to Client?			
125	Destruction Date At Time of Closing?			
126	Letter to Clients Re: Destruction of Records?			
127	Damage Control Mechanism for Client Files			
128	Out of Town Vendors			
129	Freeze-Drying Records			
130	Vendor Info			
131	Library			
132	Library Catalog			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
133	Vendor Info			
134	All Departments			
135	Emergency Office Supplies Checklist			
136	Permanent Relocation			
137	Determine Needs for Relocation Site			
138	Determine Site for Permanent Relocation			
139	Mutual Aid and Support Agreements			
140	Research Local Firms Interested in MAS Agreement			
141	Research Non-Local Firms Interested in MAS Agreement			
142	Proof of Claim			
143	Proof of Assets			
144	Serial Number Notebooks			
145	Video Tape of Offices			
146	Accounting Records			
147	Insurance Policy			
148	Insurance Agent Data - Including Home Phone Number			
149	Policy Info: Co., Address, Phones, Dates of Coverage, etc.			
150	Policy Proof of Claim Requirements			
151	Complete Draft of Business Resumption Plan			
152	Prepare Supplemental Materials (Emergency Phone Cards, First Aid Pamphlets, etc.)			
153	Submit Budget, DRP and Supplemental Materials to Management Committee			
154	Revise Budget, DRP and Supplemental Materials as Needed			

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<b>Disaster Recovery Plan (DRP) Checklist</b>				
<b>ID</b>	<b>DRP Tasks</b>	<b>Assigned to</b>	<b>Expected Completion Date</b>	<b>Notes</b>
155	Management Committee Approval Received for Budget, DRP And Supplemental Materials			
156	Devise Training Procedures			
157	Cross Train Emergency Teams			
158	Training Session for Present Employees			
159	Training Plans for Future Employees			
160	Distribute DRP and Supplemental Materials			
161	Determine Permanent On-Site Locations for DRP			
162	Determine Off-Site Locations of DRP (Homes of Key Key Management Personnel, FileKeepers, etc.			
163	Provide Training			
164	Schedule DRP Tests (Simulations)			
165	Schedule Plan Review and Update			
166	Periodic Reminder Memos to Personnel			
167	Keep ALL Doors and File Drawers Closes, and Keep Important Records in Closed File Drawers			
168	Special Attention Should be Given to Records Center Cabinets and Doors			
169	Personal Employee Plans for Disaster Recovery: Out of Town Contacts, Food, etc.			
170	Schedule Employee Refresher Courses			

# DISASTER PLANNING AND RECOVERY

## Disaster Recovery Plan Checklist Bibliography

1. Bell, Judy Kay, *Disaster Survival Planning: a Practical Guide for Businesses*, Disaster Survival Planning, Inc., 1991.
2. Federal Emergency Management Agency (FEMA), Publication No.141, *Disaster Planning Guide for Business and Industry*, 2005.
3. American Red Cross Brochures, *Disaster Supply Kit, Emergency Preparedness Checklist, Your Evacuation Plan, and Disaster Preparedness for People with Disabilities*. Brochures can be obtained from your local Red Cross Chapter.
4. First interstate Bank of California, Emergency Preparedness Program (1992).
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10. Management Advisory Services Practice Aids, *Disaster Recovery Planning* Technical Consulting Practice Aid #15 AICPA

# DISASTER PLANNING AND RECOVERY

In an effort to minimize injury and interruption of business that may occur as a result of a specific disaster, we have prepared a contingency and recovery plan. The primary focus of which is to provide for 1) the safety of all employees, 2) the safety of clients files and records, 3) the safety of firm records and files, and 4) the safety of firm furniture and equipment. The second focus is to resume normal business operations as soon as possible.

## **A) General Office Procedures**

1. Appoint a Disaster Coordinator (DC). The DC will be responsible during and have the ultimate authority to act on any major office disaster.
2. Select two Floor Captains (FC). The FCs report to the DC and each is responsible for half of the personnel on the floor and may assume responsibility in the event the DC is absent or incapacitated.
3. Post and follow the American Red Cross's "Earthquake Preparedness Checklist" as applicable.
4. Prepare an emergency phone number list for every employee to include numbers for Police, Fire, Emergency medical, power, gas, electricity, water company and home/emergency numbers on all employees.
5. Adopt a "Clean Desk" policy that requires all desks to be cleared of work papers and files each evening before employees leave.
6. Strictly enforce a "Power Off" policy requiring that employees turn off their individual electrical equipment (i.e. calculators, computer, printers, typewriters or space heaters) when leaving for the day.
7. Have one or more persons from each office take a basic training course in first aid and CPR.
8. Have a Disaster Plan meeting and drill (fire, earthquake, flood) at least once a year.

## **B) Disaster Contingency Provisions**

1. Identify two evacuation routes and make sure that passageways are clear and fire exits are easily accessible.
2. Insure that fire extinguishers are functional and first aid and other emergency supplies are on hand, in sufficient supply and everyone knows of their locations.

## DISASTER PLANNING AND RECOVERY

3. Carry adequate disaster insurance plus coverage for valuable papers, business interruption and the full replacement value of furniture, equipment, software and library contents.
4. Keep vital firm records and documents in fireproof cabinets and consider retaining copies in off-site storage.
5. Equip all computers with surge suppressors and have an uninterruptible power supply (UPS) for each CPU, servers, phone system, and other vital office equipment.
6. Store weekly and monthly data and program back-up tapes at off-site facility.
7. If you have multiple offices, be sure that one or more offices (depending on size) has the computer capacity to handle the data needs for the entire firm/company should one or the other experience a disaster.
8. Follow the firm's policy on record retention, for example, retaining on premises only current and prior three years' files. All others are stored at off-site locations. Conversion of paper to digital media of all files can facilitate recovery of files.
9. Box up an emergency supply of firm stationery, envelopes, printed forms, checks, etc. and store off-site.
10. Maintain at each office a complete client list with a set of mailing labels to notify clients of the firm's continued operations.

### **C) Disaster Recovery Plan**

**The following is a list of some common emergencies that require pre-planning and implementation of the plan.**

#### **1. Medical Emergency**

- a. Call an ambulance and the injured person's "personal care physician".
- b. Summon the nearest person trained in first aid and CPR.
- c. Keep the person warm, comfortable and do not move unless failure to do so would be life threatening.
- d. Send someone to meet the ambulance and guide help to the person.

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- e. Have an FC notify family members of any injured person, status, and location of person.

### **2. Fire Emergency**

- a. Determine if fire is controllable or uncontrollable. Check with your local fire department for what is considered a controllable fire.
- b. If a controllable fire, take appropriate actions (i.e., smother flames, disconnect power, use water or fire extinguishers).
- c. Uncontrollable fire, call fire department.
- d. Ask all staff to save data, log off system and prepare for a network shut down.
- e. The DC and FCs take charge and safely evacuate all employees using predetermined exit routes.
- f. The DC will make a floor sweep to insure that all personnel are out, office doors are closed and fire doors are shut.
- g. The DC will coordinate with fire fighters and have available copies of office floor plans.

### **3. Earthquake Emergency**

- a. Stay calm and take cover (i.e., under table or desk, corner of room or against an interior wall). Use the duck-cover-hold technique. Keep away from windows or large items that could topple on top of you.
- b. The DC and FCs check for injuries and follow the Medical Emergency Plan if injuries have occurred.
- c. Check for fires, fire hazards or damaged electrical wiring and follow the Fire Emergency Plan or shut off power to the damaged areas.
- d. Prepare for aftershocks.
- e. Check for building damage and move employees to safe areas, but do not use elevators.
- f. Do not use telephones for outside calls unless there is a genuine emergency (i.e., fire, medical, etc.)
- g. If possible ask employees to save data, log off system and prepare for network shutdown.

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## 4. Data System Emergency

Because of the heavy dependence on our computerized network systems, the following steps should be followed to minimize the effects of an EDP disaster and to speed the recovery from 1) loss of information, 2) loss of access to computer network, or 3) loss of computer personnel.

- a. Computer supervisors to follow all data and program back up procedures without fail.
- b. Individual employees save their daily work on a floppy disk before leaving the office.
- c. Have a back up computer supervisor for each office capable of running and backing up the system.
- d. Intra-office trains all computer supervisors.
- e. Locate all computer terminal locations and insure that data lines are operational.
- f. Identify vendors and discuss in advance their response to a computer network system disaster. List contact names and telephone numbers, and include copies of price agreements and rental contracts.
- g. Computer supervisor or alternate will coordinate with applicable partner and EDP consultants to determine the best course of action.

## 5. Backup Operations

- a. Emergency backup procedures are used when normal operations can be resumed within 24 hours at the present site.

First, quickly, repair items that are repairable then arrange for the purchase or lease of needed new furniture and equipment. Determine replacement supply needs and place orders at once. Give telephone and computer systems the highest priority as both must be reestablished as soon as possible.

- b. Recovery backup procedures apply when normal operations cannot be resumed at the present site within 24 hours and temporary workspace must be arranged for staff. Staff should try to work in clients' offices as long as possible or share space at the firm's remaining office.

## DISASTER PLANNING AND RECOVERY

When considering a backup site, determine if it is to be 1) only temporary until the damaged facilities are operational or 2) suitable as a new permanent site with room for firm expansion and conveniently located for employees and clients.

Make arrangements for mail and telephone call transfers and move salvageable supplies, furniture and equipment to backup location

### 6. Loss of Key Person

In the event a key person should become incapacitated or away from the office for an extended period of time, specific procedures must be in place and followed to insure continuance of client work flow and office stability. Depending on the level of the individual involved and the length of time the person will be nonproductive, the following steps should be taken:

- a. Assign an alternate responsible person to every client and provide the alternates with updated listings of those "secondary" clients.
- b. Consider having the alternate responsible persons review on a limited basis, the work performed on their "secondary" clients.
- c. Identify those clients for whom there is work in progress and determine their job status.
- d. Assign those jobs to others for completion after notifying the clients.
- e. Timely communicate the facts to all clients involved and assure them their work will be competently handled by a specific person until the individual returns.
- f. Communicate to the professional and support staff as to how to respond to inquiries regarding the individual involved.

## DISASTER PLANNING AND RECOVERY

The following plan is based on concepts from a very thorough plan designed for a larger CPA firm and should be used as a basic template of forms and procedures for a disaster plan.

1. Page 24 is an outline of a Disaster Plan that is very comprehensive and should work as a guide for inclusion of most potential disaster situations. We have omitted many of the outlined topics from this text as the specific planning of these occurrences are unique to each business and the importance of each would be weighted differently.
2. Page 25 is a description of a disaster plan and the means by which the goal of a completed disaster plan can be achieved.
3. Pages 26 through 37 are examples of many forms to be used to describe the plans and the staff responsibilities for the many situations that may exist.
4. Page 38 is a table of Appendixes, which is a basic listing of all potential people necessary to contact in a disaster and lists of important firm data necessary to recover from a disaster.
5. Pages 39 through 54 are examples of forms for the maintenance of the data mentioned on 39.
6. Pages 55 and 56 is a checklist to assure that the disaster plan is currently maintained.

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# DISASTER PLANNING AND RECOVERY

## (1) CHECKLIST

1. Determine plan objectives and goals.
2. Develop project plan and assign tasks.
3. Organize Disaster Prevention Team.
4. Prepare list of destructive forces and appropriate contacts.
5. Determine currently available assistance and services.
6. Develop list of supplies, furniture and equipment needed for recovery operation. Determine sources, costs, lead times and priority for purchasing.
7. Conduct survey of the work place to identify problem areas. Develop method to advise appropriate individuals of problems.
8. Determine insurance claim process and requirements.
9. Determine alternate facilities for a recovery operation.
10. Develop list of required forms, checks and stationary.
11. Determine what action is necessary with regard to legal counsel. Determine media person.
12. Determine method for disaster prevention plan information distribution.
13. Develop reaction plans including provision for activation, authority, training, testing and ongoing review and revision.
14. Conduct initial training.
15. Publish plan.

# DISASTER PLANNING AND RECOVERY

## **(2) DETERMINE PLAN OBJECTIVES AND GOALS:**

The objectives of the disaster prevention plan are to:

1. Determine Firm goals for crisis management.
2. Isolate and determine various situations where a potential disaster could be averted with continual review of problem areas as well as minimized by the adoption of a prevention plan.
3. Isolate and determine potential situations that are fairly unforeseeable in nature and where an adoption of a reactive plan would work on accomplishing our goals.
4. Designate individual responsibilities for the continual review of the plans and situations as well as designate individuals for possible implementation of the reactive plan in a crisis.

## **FIRM GOALS OF A CRISIS PLAN ARE AS FOLLOWS:**

1. Reduce the impact of employee downtime.
2. Maintain all administrative support functions. This should include all computer systems - Accounts Payable, Time and Billing, Business Management, General Ledger Processing, Financial Statements, Correspondence, etc.
3. Maintain billing and collections system.
4. Maintain all correspondence of clients in the firm.

# DISASTER PLANNING AND RECOVERY

## (3) DISASTER PLANNING AND RECOVERY TEAM

Disaster Prevention Team Director:

### Disaster Prevention Team:

Responsibility

Backup

Logistics - decisions:

Information Technology:

Facilities Management:

Records Management:

Safety and Security:

Media coordinator:

Check-in Team:

## **DISASTER PLANNING AND RECOVERY**

### **(4) GENERAL DISASTER REACTION GUIDELINES**

1. Each member of the disaster team should maintain a copy of the current employee roster at his or her home or on his or her persons.
2. Policy needs to be written and distributed, as well as placed in the policy manual for employees to call in to a specific telephone number of the designated disaster team member or members for information and direction.
3. The team leader and media person should maintain a full copy of the client roster at home. (Addresses, telephone numbers, contact person). List should be updated monthly.
4. All members of the disaster team should maintain all contact lists/ordering lists and alternative site options lists at their homes.
5. All members of the disaster team should maintain a complete copy of the disaster plan at their home as well as in the office.
6. All members should meet and coordinate at least every other month.
7. Disaster plan should be updated at least semiannually - letters, contacts, etc.
8. Mandatory quarterly checklist completed for compliance to plan.

### **REACTIVE**

1. Prepare responsibility listings with activation authority; disseminate information; prepare follow up and completion schedules.
2. Notify Post Office, phone company, banks, etc.
3. Prepare list and contact personnel for assembly to enter building or do work, etc.
4. Contact leasing agencies for sites and equipment.

## **DISASTER PLANNING AND RECOVERY**

### **(5) POTENTIAL SITUATIONS: PREVENTATIVE**

#### **(A) KEY INFORMATION LOSS - STOLEN EQUIPMENT**

1. Secure computer equipment and backup data by:
  - a) Perform daily backup on tape/CD/DVD stored in a locking, fire proof file cabinet.
  - b) Counsel professional staff on backup procedures; completed computer configurations
  - c) Counsel clerical staff on backup procedures; completed computer configurations
2. Have a procedures in place for computer checkout via building checkout pass and signed by Systems Administrator or Office Manager. Tracking system for copies of passes.
3. Maintaining an inventory system; updated as needed.
4. Review inventory system every month; update; send copy to insurance company.
5. Employee Procedure with review procedures for compliance for checking out computers and programs as well as back up procedures.
6. Daily monitoring to see back ups are done.

#### **REACTIVE**

Assess which equipment, programs and data is missing.

#### **ACTION**

1. Contact building manager; procure copies of sign-in logs; schedule of employee in/out times.
2. Contact insurance company.

## **DISASTER PLANNING AND RECOVERY**

### **(B) KEY INFORMATION LOSS GENERAL COMPUTER EQUIPMENT – NO BACKUP**

1. Mandatory procedure established for weekly backup (by one person) of all PCs taken offsite weekly.
2. Monitoring equipment to be sure unapproved software has not been installed which could be infected with a virus.
3. System Administrator runs anti-virus program on all portable and laptop computers.

#### **REACTIVE**

Access data lost

#### **ACTION**

1. Restore selected or all data from last backup.
2. Test system if program files are restored.
3. Periodically test backup to make sure information saved is correct and that restoration procedures are accurate and work.

### **(C) KEY INFORMATION LOSS – ELECTRONIC DATA**

(Describe below.)

## **DISASTER PLANNING AND RECOVERY**

### **(D) KEY EQUIPMENT LOSS – COMPUTER EQUIPMENT**

Firm to compile an equipment inventory describing the equipment, serial number, date acquired, vendor, cost, the equipment's requirements, maintenance agreements and solutions for failure of equipment and personnel responsible for its operation.

(Describe below.)

### **(E) KEY EQUIPMENT LOSS – VOICE AND DATA LINES**

#### **EXAMPLE:**

1. Firm currently maintains a maintenance agreement which allows for a two hour response time when there is a major loss of program or equipment. Major is defined as 75% of lines down or system down.
2. When the main console fails, there are 10 bypass phones around the office where the incoming calls will relay to.
3. Maintain list of bypass and train personnel; update and test personnel periodically.
4. Vendor to perform periodic maintenance; check to ensure compliance.
5. Will investigate the possible acquisition of phone system if and when failure is total.

## **DISASTER PLANNING AND RECOVERY**

### **(F) KEY INFORMATION LOSS – TAX, ACCOUNTING, BUSINESS AND PERSONAL RECORDS**

#### **CHECKLIST**

1. Records may have to be reconstructed in order to file tax return, for insurance reimbursement, FEMA assistance, SBA loans, and bank loans. Accurate record reconstruction and loss estimates will enhance the opportunity for larger loans and grants.
2. Contact the IRS to request duplicate tax records. If the disaster in declared a national disaster, it is likely that the IRS will set up centers within FEMA or other organization's centers to assist with this process.
3. If possible, take photographs as quickly as possible after the disaster to have a record of the extent of damage.
4. Reconstruct income by get copies of bank statements. National banks can provide this for you by visiting the bank in person or on-line banking.
5. Obtain copies of last year's business returns from the IRS, FTB, EDD and your business license.
6. Contact your Board of Accountancy for a copy of your license and firm registration. Contact other licensing, certification or accreditation bodies for any other licenses, certification or credentials you may hold
7. Contact the title company, escrow company or bank that handled the purchase for copies of the escrow papers.
8. Locate or acquire your current property tax statement for land vs. building ratios. If it was lost contact the county assessor's office.
9. Check with a local appraisal or real estate companies for a list of comparable sales to determine the fair market value within the same neighborhood.
10. If a loan was obtained for improvements, contact the institution for documentation to help reconstruct the cost of improvements.
11. Copy of the deed for the property.
12. Contact your insurance companies for duplicate policies which list a value of the property to establish a base figure for replacement value insurance.

## DISASTER PLANNING AND RECOVERY

13. Contact frequently used suppliers to get copies of invoices.
14. Prepare a diagram or floor plan of the business location including equipment, where inventories were located as well as the outside area of the location. Check with insurance carrier for specific policy riders.
15. If you purchased an existing business, contact the broker for a copy of the purchase agreement. This should detail out what was acquired.
16. If the building was constructed, contact the contractor for building plans, or the city/county planning commissions for copies of plans.

### **(G) KEY INFORMATION LOSS – STOLEN FILES**

*Files may be either electronic or hard copy.*

1. Perform a backup of electronic data daily.
2. Perform a backup of electronic data weekly, including hard drives of individual PCs. Store off-site.
3. Perform a backup of electronic data monthly, including hard drives of individual PCs. Store off-site.
4. Instruct all staff of backup procedures and firm policy.
5. Have a procedures in place for computer checkout with compliance mechanism.
6. Provide staff with a means for backing up files while traveling or working remotely. Verify that backups are done.
7. Weekly monitor and ensure backups are done. Daily monitoring to see back ups are done.
8. Monitor network traffic for mass deletions or copying of files.
9. Create a log for hard file tracking and monitor.

### **REACTIVE**

Assess which files and data is missing.

### **ACTION**

1. Initiate an investigation.
2. Act on the findings of the investigation as appropriate.

# DISASTER PLANNING AND RECOVERY

## (H) OFF-SITE DATA STORAGE

1. Determine if off-site data storage will be done by someone in-house or if you will contract with a 3<sup>rd</sup> party vendor.
2. Create a procedure for where, when, who, how the data is to be handled.
3. Test the system.

### REACTIVE

Verify that the data in storage can be retrieved.

### ACTION

1. If off-site storage is through a 3<sup>rd</sup> party vendor, ask for reports and lists of your data storage.
2. Seek new vendor if dissatisfied with how your data is stored

## (I) VIRUS, AD-AWARE, AND SPY-WARE PROTECTION

1. Evaluate, determine, and install products.
2. Create procedures for when scans and live updates will be done, and how remote PCs will be scanned.
3. Monitor the internet and software companies for virus alerts as well as the performance of the system for signs of issue.

### REACTIVE

Determine if a breach has occurred.

### ACTION

1. Immediately notify staff.
2. Take immediate action to correct the problem.

## **DISASTER PLANNING AND RECOVERY**

### **(J) FIRE IN OFFICE – ELECTRICAL**

1. Coffee machines are plugged into spike protected outlets to control power surges.
2. The coffee pots are monitored by all personnel daily. In the evening, a sign off form is completed by the front desk personnel to indicate that the coffee pots were checked and turned off in the evening.
3. Maintenance personnel are instructed to turn off all machines left on as they are cleaning for the evening.
4. No warmers are used in out of the way areas (such as business management).
5. Place fire department number and fire extinguishers at each coffee pot location.

#### **REACTIVE**

Assess situation; use HALON fire extinguisher and/or call fire department and activate fire alarm.

#### **ACTION**

1. Call building and report to Building Manager;
2. If machinery damaged call supplier (xxx-xxxx) to report and order new equipment.

## **DISASTER PLANNING AND RECOVERY**

### **(K) FIRE IN OFFICE - COMPUTER EQUIPMENT**

1. Computer equipment is plugged into an electrical outlet strip which is spike protected and also has a circuit breaker. Computer equipment should not be plugged into various extension cords.
2. Periodic review of cords, plugs and other such electrical equipment.
3. Mandatory procedures for personnel to shut off equipment when leaving for the evening or an extended period of time; monitor periodically.
4. Fire extinguishers (computer rated) are strategically placed where there are heavy use equipment (i.e., phone box or server, copiers, servers, etc.)

#### **REACTIVE**

Assess situation.

1. There are three (3) HALON fire extinguisher located on our floor. One is located in the DP Room and the other two are located in the file room and the tax processing room. These fire extinguishers are clearly marked as HALON fire extinguishers. HALON fire extinguishers are designed specifically to put out fires on electrical equipment.

#### **ACTION**

1. Contact Systems Administrator, Office Administrator.
2. Call the fire department (XXX) XXX-XXXX, or dial 911, pull fire box handle.
3. Call the building office/security (XXX) XXX-XXXX.
4. Locate HALON fire extinguisher, if possible, if not locate fire extinguisher with "A-B-C" rating.
5. If out of control, follow plan for evacuation of the premises.

## **DISASTER PLANNING AND RECOVERY**

### **(L) FIRE IN OFFICE - TELEPHONE EQUIPMENT**

1. Telephone equipment is plugged into an electrical outlet strip which is spike protected and also has a circuit breaker. Computer equipment should not be plugged into various extension cords.
2. Periodically review cords, plugs and other such electrical equipment.
3. Mandatory procedures for personnel to shut off equipment when leaving for the evening or an extended period of time; monitor periodically.
4. Fire extinguishers (computer rated) are strategically placed where there is heavy use equipment (i.e., phone box or server, copiers, servers, etc.)

### **REACTIVE**

Assess situation:

1. There are three (3) HALON fire extinguisher located on our floor. One is located in the DP Room and the other two are located in the file room and the tax processing room. These fire extinguishers are clearly marked as HALON fire extinguishers. HALON fire extinguishers are designed specifically to put out fires on electrical equipment.

### **ACTION**

1. Call the fire department (XXX) XXX-XXXX, or dial 911, pull fire box handle
2. Call the building office/security (XXX) XXX-XXXX.
3. Locate HALON fire extinguisher, if possible, if not locate fire extinguisher with "A-B-C" rating.
4. Contact Systems Administrator, Office Administrator.
5. If out of control, follow plan for evacuation of the premises.

## **DISASTER PLANNING AND RECOVERY**

### **(M) FIRE IN OFFICE - CHEMICAL**

1. If your company uses chemicals, check with the appropriate authorities, vendors, industry for how to deal with fires involving such chemicals.
2. Mandatory procedures for how chemicals are secured when leaving for the evening or an extended period of time; monitor periodically.
3. Fire extinguishers (appropriately rated) are strategically placed where there chemicals are stored and in work areas)

### **REACTIVE**

Assess situation.

### **ACTION**

1. Call the fire department (XXX) XXX-XXXX, or dial 911, pull fire box handle.
2. Call the building office/security (XXX) XXX-XXXX.
3. Locate appropriate fire extinguisher, if possible.
4. Contact Systems Administrator, Office Administrator.
5. If out of control, follow plan for evacuation of the premises.

# **DISASTER PLANNING AND RECOVERY**

## **(N) FIRE IN OFFICE – FILE ROOM**

1. Files are kept in file cabinets and not left out near equipment or blocking passage ways or fire extinguishers.
2. Periodic review of cords, plugs and other such electrical equipment in and around files.
3. Mandatory procedures for personnel to shut off equipment when leaving for the evening or an extended period of time; monitor periodically.
4. Fire extinguishers are where there is equipment such as copiers in the file room.

### **REACTIVE**

Assess situation.

1. There are two (3) fire extinguishers located on our floor. One is located just outside the file room and the other two (2) are located in the hallways and the computer room. These fire extinguishers are clearly marked as HALON fire extinguishers.

### **ACTION**

1. Locate fire extinguisher, if possible and put out the fire.
2. If out of control, call the fire department (XXX) XXX-XXXX, or dial 911, pull fire box handle.
3. Contact Systems Administrator, Office Administrator.
4. Call the building office/security (XXX) XXX-XXXX.
5. If out of control, follow plan for evacuation of the premises.

## **DISASTER PLANNING AND RECOVERY**

### **(6) POTENTIAL SITUATIONS – DISASTER RELATED, REACTIVE**

#### **(A) EMPLOYEES CAN'T GET IN THE BUILDING - EARTHQUAKE DISASTER**

##### **REACTIVE**

**EMPLOYEES** - Check in with persons on list to obtain further information and instructions.

**DISASTER TEAM** - Check in with Disaster Team director for information dissemination. Give required information and set up further check-in times.

1. Assess situation at building; call guards; call building manager; call Fire Department.
2. Develop Plan according to disaster. Decisions by leader on time, etc.
3. Set up/meet at designated place.
4. Call designated office trade person; setup time and coordinate.
5. Computer system.

## **DISASTER PLANNING AND RECOVERY**

### **(B) EMPLOYEES CANNOT GET OUT OF THE OFFICE OR BUILDING – DISASTER**

#### **EMPLOYEES**

1. Turn off all equipment.
2. Check with members of the disaster team for assignments.

#### **DISASTER TEAM**

1. Assess situation.
2. Assignments to staff; develop plan.
  - a) Contact building personnel?
  - b) Contact other subtenants?
  - c) Assess food and water situation.
  - d) Get checklists and pull information and lists to possibly remove, if able to determine whether may be able to get out, but not back in.
  - e) Determine leader and logistics person.

#### **REACTIVE**

1. Take inventory of personnel and head count.
2. Assess damage to building and floor.
3. Shut down electrical equipment.
4. Assess phone situation.
5. Contact Team Leader.
6. Contact building.

# DISASTER PLANNING AND RECOVERY

## (7) APPENDIXES

APPENDIX 1.0	List of computer equipment dealers for quick purchase
APPENDIX 2.0	Recovery system configuration and cost
APPENDIX 3.0	List of company contacts for alternate Datafaction System
APPENDIX 3.1	List of computer dealers for quick rental of computer equipment
APPENDIX 4.0	List of available assistance and services - facilities
APPENDIX 4.1	List of available assistance/service – safety & community
APPENDIX 4.2	List of available services – office supply and various
APPENDIX 4.3	List of available services- computer and programs suppliers
APPENDIX 5.0	Destructive forces contact sheet
APPENDIX 6.0	Supply listing for off-site recovery
APPENDIX 6.1	Off-site computer checklist – programs, backups, equipment
APPENDIX 6.1	List of computer equipment
APPENDIX 6.2	On-site supply list
APPENDIX 7.0	Business management client and bank checklist
APPENDIX 7.1	Business management bank information contact sheet
APPENDIX 7.2	Business management vendor roster
APPENDIX 8.0	Optional recovery sites
APPENDIX 9.0	Firm client list
APPENDIX 9.1	Firm vendor roster
APPENDIX 9.2	Firm A+ and A client list
APPENDIX 9.3	Firm employee roster
APPENDIX 9.4	Firm banking information
APPENDIX 9.4	Firm insurance information list
APPENDIX 9.5	Firm payroll quarterly information
APPENDIX 9.6	Firm accounts receivables
APPENDIX 9.7	Firm phone numbers
APPENDIX 9.8	Firm bypass phones and training plan
APPENDIX 10.0	Tax return preparation checklist – corporations & partnerships
APPENDIX 10.1	Tax return preparation checklist - individuals

# DISASTER PLANNING AND RECOVERY

## Appendix 1.0

### LIST OF COMPUTER DEALERS FOR PURCHASE OF EQUIPMENT IN CRISIS

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Good:

Bad:

---

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Good:

Bad:

---

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Good:

Bad:

# DISASTER PLANNING AND RECOVERY

## APPENDIX 2.0

### RECOVERY SYSTEM CONFIGURATION AND COST

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed:

Pricing & Agreement:

Good:

Bad:

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed:

Pricing & Agreement:

Good:

Bad:

# DISASTER PLANNING AND RECOVERY

## Appendix 3.0

### LIST OF COMPANIES AND CONTACTS FOR ALTERNATE COMPUTER USE IN A CRISIS

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed:

Pricing & Agreement:

Good:

Bad:

---

**Name:**

Contact:

Last Contact Date:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed:

Pricing & Agreement:

Good:

Bad:

# DISASTER PLANNING AND RECOVERY

## Appendix 3.1

### LIST OF COMPUTER DEALERS FOR QUICK RENTAL OF COMPUTER EQUIPMENT IN A CRISIS

**Name:**

Contact:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed:

Pricing & Agreement:

Good:

Bad:

Last Contact Date:

---

**Name:**

Contact:

Address:

Telephone:

Fax:

Lead Time:

Type of Company:

Limitations:

Type of Equipment:

Type of Programs installed.

Pricing & Agreement:

Good:

Bad:

Last Contact Date:

# DISASTER PLANNING AND RECOVERY

## Appendix 4.0

### LISTING OF AVAILABLE ASSISTANCE AND SERVICES

#### FACILITIES

SERVICE: **Electrician**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

EMERGENCY #:

SERVICE: **Plumbing**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

EMERGENCY #:

SERVICE: **Carpet Repair**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Carpet – New**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **General Contractor**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Telephone**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Pac Tel Mobile Access**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Telephone Equipment**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

# DISASTER PLANNING AND RECOVERY

## Appendix 4.0, page 2

### LIST OF AVAILABLE ASSISTANCE

SERVICE: **Art Restoration**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Furniture Rental**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Furniture - New**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Locksmith**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

24 HOUR #:

SERVICE: **Open Shelving Installation**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Paper Drying**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Furniture**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Locksmith**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

24 HOUR #:

SERVICE: **Building Manager**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER

HOME PHONE #:

# DISASTER PLANNING AND RECOVERY

## Appendix 4.0, page 3

### LIST OF AVAILABLE ASSISTANCE

SERVICE: **Banking**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Postage Equipment**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Copier Service**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Health Insurance**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

24 HOUR #:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Post Office**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Copier - Sales**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Insurance**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Life Insurance**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

24 HOUR #:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER

# DISASTER PLANNING AND RECOVERY

## Appendix 4.1

### SAFETY AND COMMUNITY SERVICES

SERVICE: **Ambulance**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Fire Department**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Hospital**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Police Department**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **American Red Cross**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Food Service**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER

# DISASTER PLANNING AND RECOVERY

## Appendix 4.2

### OFFICE SUPPLIES AND VARIOUS

SERVICE: **Office Supplies**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Temp Services**

NAME:

CONTACT:

PHONE #

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Printing**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Payroll Service**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Office Supplies**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Temp Services**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Printing**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE: **Payroll Service**

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER:

SERVICE:

NAME:

CONTACT:

PHONE #:

FAX:

ADDRESS:

VARIOUS OTHER

# DISASTER PLANNING AND RECOVERY

## Appendix 4.3

### COMPUTER AND PROGRAMS SUPPLIERS

SERVICE: **Laser Services**  
NAME:  
CONTACT:  
PHONE #  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Software**  
NAME:  
CONTACT:  
PHONE #  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Special Electronics Parts**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **A/P & Business Checks**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Time & Billing**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Software**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Service & Supplies**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Computer Supplies**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **Tax Programs**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

SERVICE: **General Ledger**  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER

# DISASTER PLANNING AND RECOVERY

## Appendix 4.3, page 2

### COMPUTER AND PROGRAMS SUPPLIERS

SERVICE:  
NAME:  
CONTACT:  
PHONE #  
FAX:  
ADDRESS:

SERVICE  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

VARIOUS OTHER:

SERVICE:  
NAME:  
CONTACT:  
PHONE #  
FAX:  
ADDRESS:

SERVICE:  
NAME:  
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PHONE #:  
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VARIOUS OTHER:

VARIOUS OTHER:

SERVICE:  
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PHONE #:  
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SERVICE:  
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PHONE #:  
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VARIOUS OTHER:

VARIOUS OTHER:

SERVICE:  
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FAX:  
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SERVICE:  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

VARIOUS OTHER:

SERVICE:  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

SERVICE:  
NAME:  
CONTACT:  
PHONE #:  
FAX:  
ADDRESS:

VARIOUS OTHER:

VARIOUS OTHER

**DISASTER PLANNING AND RECOVERY**

**Appendix 5.0**

**DESTRUCTIVE FORCES CONTACT SHEET**

**AS OF \_\_\_\_\_**

<u><b>DESTRUCTIVE FORCE</b></u>	<u><b>CONTACT</b></u>	<u><b>PHONE #</b></u>
Plumbing		
Electrical		
Water Leakage		
Telephone Switch Room		
Heating/Cooling		
Sprinkler System		
Insurance		

# DISASTER PLANNING AND RECOVERY

## Appendix 6.0

### SUPPLY LIST FOR RECOVERY OPERATION - OFF-SITE

#### Furniture and Equipment:

#### For Rental or Purchase

\_\_\_\_\_ Desks/Computer Desks

\_\_\_\_\_ Desk Chairs

\_\_\_\_\_ File Cabinet

\_\_\_\_\_ Printer Stand(s)

\_\_\_\_\_ Shelving

\_\_\_\_\_ Typewriter

\_\_\_\_\_ Worktables

\_\_\_\_\_ Calculators Type:

\_\_\_\_\_ Copier

\_\_\_\_\_ Mobile Phone

#### Office Supplies:

#### For Purchase or Stockpile

\_\_\_\_\_ Calculator tape & ribbons

\_\_\_\_\_ Tape dispenser and tape

\_\_\_\_\_ Stapler and staples

\_\_\_\_\_ Paper clips

\_\_\_\_\_ 1 - 2 reams copy paper

\_\_\_\_\_ Two and three bold punch

\_\_\_\_\_ Long and short 5 Column accountants pads

\_\_\_\_\_ Long and short ruled pads

\_\_\_\_\_ Typewriter ribbons and correcting tape

# DISASTER PLANNING AND RECOVERY

## Appendix 6.0, page 2

### SUPPLY LISTING RECOVERY OFF-SITE - CONTINUED

- \_\_\_\_\_ 1 dozen pens and pencils
- \_\_\_\_\_ Extension cords, surge protectors
- \_\_\_\_\_ White Out
- \_\_\_\_\_ Acco binders
- \_\_\_\_\_ 1 box each of letter and legal file folders
- \_\_\_\_\_ Stationary (one box each) including financial statement
- \_\_\_\_\_ Paper, window envelopes, return envelopes,  
billing sheets, letterhead, second sheets, envelopes, etc
- \_\_\_\_\_ Computer paper (triple perforated)
- \_\_\_\_\_ Film for Polaroid and automatic camera

# DISASTER PLANNING AND RECOVERY

## Appendix 6.1

### LISTING OF COMPUTER PROGRAMS AND BACK UP TO MAINTAIN OFF-SITE

#### Computer and Programs (including manuals)

- \_\_\_\_\_ Word v. xx
- \_\_\_\_\_ Excel v. xx
- \_\_\_\_\_ Adobe v. xx
- \_\_\_\_\_ 50 disks (formatted) Operating System:
- \_\_\_\_\_ Operating System: \_\_\_\_\_
- \_\_\_\_\_ e-mail package: \_\_\_\_\_
- \_\_\_\_\_ General Ledger System: \_\_\_\_\_
- \_\_\_\_\_ Tax Processing: \_\_\_\_\_
- \_\_\_\_\_ Communications program: \_\_\_\_\_
- \_\_\_\_\_ Database program: \_\_\_\_\_
- \_\_\_\_\_ Back up program: \_\_\_\_\_
- \_\_\_\_\_ Other Software: \_\_\_\_\_
- \_\_\_\_\_ Current backup on all programs

#### LIST PROGRAMS:

#### LAST TAPE/DISKS OFF-SITE:

- \* = Full System (OS and Data)
- \*\* = Data Only

# DISASTER PLANNING AND RECOVERY

## Appendix 6.2

### SUPPLY LIST - ON-SITE

Recommendations of those items that the firm does not now supply or maintain.

#### Supplies

#### Purchased

#### Stored

Plastic trash bags

Film for Polaroid

First aid kit

Gloves

Batteries - all sizes

Blankets

Extra flashlights

#### Furniture and Equipment

Non-electric typewriter

Portable phone

Cellular Phone

## Appendix 7.0 - BUSINESS MANAGEMENT CLIENT AND BANK CHECKLISTS

INSERT LIST

## Appendix 7.1 BUSINESS MANAGEMENT BANK INFORMATION CONTACTS

INSERT LIST



# DISASTER PLANNING AND RECOVERY

## CRISIS PREVENTION IMPLEMENTATION CHECKLIST

**PREPARED BY:**

**DATE PREPARED:**

**DATE LAST UPDATED:**

This check list is to be prepared on a quarterly basis and signed-off by the managing partner. It is to be filed with the Crisis Management Plan. Items listed are to be reviewed and updated as needed. Any open items require written explanation as to why it was not reviewed or completed (at end of report).

ITEM DESCRIPTION	DATE COMPLETED	BY WHOM
_____ Business Management Vendor Roster	_____	_____
_____ Business Management Client Checks and Deposits - Attach copy of memo with listing of information needed. - List New Clients in Last Quarter	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____ Vendor Roster (Appendix 9.1)	_____	_____
_____ Client List A & A+ (Appendix 9.0)	_____	_____
_____ Employee Roster (Appendix 9.3)	_____	_____
_____ Banking Information (Appendix 9.4)	_____	_____
_____ Contact Listings Update (Appendix 5.0)	_____	_____
_____ Office Contents Insurance (Appendix 9.5)	_____	_____
_____ Reciprocal Agreements in Effect	_____	_____

# DISASTER PLANNING AND RECOVERY

## CRISIS PREVENTION IMPLEMENTATION CHECKLIST

**PREPARED BY:**

**DATE PREPARED:**

ITEM DESCRIPTION	DATE COMPLETED	BY WHOM
_____ Assistance, Supplies and Services Updated (Appendix 4.1 – 4.3)	_____	_____
_____ Supply List (Appendix 6.0, 6.2)	_____	_____
_____ Quarterly P/R Info (Appendix 9.6)	_____	_____
_____ Computer Programs/Disks (Appendix 6.1)	_____	_____
_____ In-house File List Disk	_____	_____
_____ Off-site Storage List Disk	_____	_____
_____ Optional Recovery Sites (Appendix 4.0)	_____	_____
_____ Account Receivable	_____	_____
_____ Back-up Procedures Followed	_____	_____
_____ Computer Purchase/Rental (Appendix 1.0, 2.0, 3.1)	_____	_____
_____ Phones, Bypass Rules (Appendix 9.7, 9.8)	_____	_____
_____ Computer Equipment List (Appendix 6.1)	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____