



Emergency Management & Business Continuity Program Evaluation Checklist

Self assessment tool for evaluating private sector preparedness based on NFPA 1600 "Standard on Disaster/Emergency Management and Business Continuity Programs," 2007 Edition.

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Introduction

This checklist was prepared by Donald L. Schmidt, Chair of NFPA’s Technical Committee on Emergency Management and Business Continuity (responsible for NFPA 1600), editor of “Implementing NFPA 1600 National Preparedness Standard”, and CEO of Preparedness, LLC (www.preparednessllc.com.)

This tool is based on the 2007 edition of NFPA 1600 “Standard on Disaster/Emergency Management and Business Continuity Programs” published by the National Fire Protection Association and available online for free download at www.nfpa.org. Although NFPA 1600 applies to public, private, and not for profit organizations, the intent of this tool is to provide private sector and not for profit organizations with criteria to evaluate their program for prevention, mitigation, preparedness, response, and recovery from emergencies.

NFPA 1600, an American National Standard, has been adopted by U.S. Department of Homeland Security. It was identified in Public Law 110-53 as a possible standard to be used for voluntary certification of private sector preparedness programs. The U.S. Department of Homeland Security has published its intent to designate NFPA 1600-2007 edition as one of three standards to be used as the criteria for the voluntary certification of private sector preparedness programs under “PS-PREP.”

Users of this checklist should assemble a team with the required knowledge of the organization’s management structure, program goals and objectives, facilities, operations, products, services, hazards, resources, policies, plans, procedures, and other program elements covered by NFPA 1600. Appropriate expertise is needed to understand each question posed within this checklist and to properly evaluate the organization’s preparedness efforts. There is no guarantee or warrantee that use of this checklist will ensure conformity with NFPA 1600, the PS-PREP program, or any other requirement—legal or otherwise.

If you have questions regarding NFPA 1600 or your preparedness program, please call us (781.784.0672) or email us (info@preparednessllc.com). We evaluate emergency management and business continuity programs using the 2007 edition and 2010 editions. Click here to download our program evaluation services brochure.

Additional information on NFPA 1600 can be found on the “NFPA 1600” resource page of the Preparedness, LLC website. Links to many documents that can help with the development of your preparedness program can be found on the “References and Resources” page of the Preparedness, LLC website. NFPA 1600 can be downloaded for free from the NFPA website.

Instructions

All questions are written so that a compliant response would be answered “Yes.” Any answer marked “No” or “Study” would indicate a noncompliant response or a subject requiring further study. The check boxes are arranged so that you can quickly scan down the page to see the “No” or “Study” which are aligned closest to the right margin. Space is provided for notations after each major question.

Program Administration

1. Has the entity prepared an Executive Policy that identifies the organization’s vision and includes a mission statement? Yes Part No
2. Have program goals and objectives been defined? Yes Part No
3. Has a budget been established that provides adequate funding to develop, implement, and keep the program current? Yes Part No
4. Is there a program to identify, protect, and recover vital records and information—both electronic and hard copy—for business continuity, recovery purposes, and regulatory purposes? Yes Part No



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Program Coordinator

- 5. Has a Program Coordinator been appointed and assigned responsibility for development, implementation, and keeping the program current? Yes Part No
- 6. Has the Program Coordinator been vested with sufficient authority and adequate resources to effectively develop, implement, and keep current the program? Yes Part No

Advisory Committee

- 7. Has an Advisory Committee been established to oversee the development, implementation, and maintenance of the program? Yes Part No
- 8. Does the Advisory Committee include representation from all important departments, functions, or parts of the organization? Yes Part No
- 9. Has the committee solicited "external" representatives? Yes Part No

Program Evaluation

- 10. Are the program's plans and procedures periodically evaluated to determine if they achieve program objectives? Yes Part No

Laws and Authorities

- 11. Does the organization have a process to identify existing, new and revised legislation, regulations, standards, and industry codes of practice and whether the organization's program is compliant? Yes Part No

Risk Assessment

- 12. Does the organization have a systematic and documented process for assessing risks to: Yes Part No
People, Property, Operations, Environment, Entity (reputation, image, relationships with stakeholders, and financial well-being)?
- 13. Does the risk assessment process include: Yes Part No
Hazard identification, Vulnerability assessment, Impact analysis (people, property, operations, environment, and the entity itself)
- 14. Were the following hazards evaluated during the risk assessment? Yes Part No
Natural hazards (geological, meteorological, and biological), Human-caused events (accidental and intentional), Technology caused event
- 15. Has the impact of hazards on the following been analyzed and quantified? Yes Part No
Health and safety employees and visitors on-site; Health and safety of the community surrounding each facility; Health and safety of emergency responders; Buildings, facilities, and supporting infrastructure; Loss, corruption, or disruption to vital records, critical information, information technology, and connectivity; Business operations (e.g., production, service delivery, etc.); The environment; Regulatory and contractual obligations; Financial condition of the entity; Reputation and image of the organization; Regional, national, and international considerations

Incident Prevention

- 16. Does the organization have a strategy for incident prevention that includes the following? Yes Part No
Deterrence operations, Provision of protective systems or equipment for physical or cyber risks, Surveillance and security operations, Investigations to determine the full nature and source of the threat

Mitigation

- 17. Does the organization have a documented mitigation strategy to reduce the severity of impacts from hazards that cannot be prevented? Yes Part No

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18. Does the mitigation strategy include interim and long-term actions to reduce the vulnerability of people, property, the environment, and the entity itself to identified hazards? Yes Part No

Resource Management and Logistics

19. Has the organization identified and documented the resources needed to develop, implement, and maintain a program for prevention, mitigation, response, and recovery? Yes Part No
20. Do resource management objectives address? Yes Part No
Personnel, Equipment, Training, Facilities, Funding, Expert knowledge, Materials, Technology, Information, Intelligence
21. Do resource management objectives address the following: Yes Part No
Quantity, Response time, Capability, Limitations, Cost, Liability connected with using the involved resources?

Mutual Aid

22. If mutual aid is needed, have agreements been formalized and executed in writing? Yes Part No

Planning

23. Is there a systematic process for development of plans? Yes Part No
24. Does the process require communication and coordination between the Program Coordinator, Advisory Committee, and others within the organization to ensure strategic, prevention, mitigation, emergency response/operations, business continuity, and crisis communications plans are sufficiently integrated? Yes Part No
25. Are functional roles and responsibilities and lines of authorities identified in each plan? Yes Part No
26. Have the following plans been developed and documented? Yes Part No
Strategic plan, Prevention plan, Mitigation plan, Emergency operations/response plan, Business continuity plan, Recovery plan
27. Does the strategic plan provide oversight of incidents, events, or situations that threaten the organization's image, reputation, or financial well-being? Yes Part No
28. Does the plan include procedures for the post-event management of the human impacts of incidents that result in fatalities, injuries, or other adverse effects to employees or others? Yes Part No
29. Does the organization have a documented prevention plan coordinated with other plans including environmental health and safety plans, fire prevention plans, security plans, etc.? Yes Part No
30. Has the mitigation strategy been documented in a plan that includes interim and long-term actions to mitigate the potential impact of identified hazards? Yes Part No
31. Has management defined the organization's policy for responding to emergencies that defines the functions, level of response, staffing, equipment, training, and other requirements to ensure it reflects local needs and conditions and complies with regulatory requirements? Yes Part No
Fires
Medical emergencies
Hazardous materials spills or releases
Rescue
Other types of emergencies
32. Are the roles and responsibilities of emergency response team members compliant with regulatory requirements? Yes Part No
33. Does the organization have a documented business continuity plan that identifies critical functions and includes alternate operating strategies for overcoming interruption or disruption of critical functions? Yes Part No
34. Have business continuity strategies or manual workarounds been developed for all functions or processes that have been identified during the business impact analysis as critical to the organization? Yes Part No

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- 35. Does the business continuity plan define the timeframes when critical functions must be restored before there is substantial impact to the organization? Yes Part No
- 36. Does the business continuity plan define resource requirements for alternate strategies and the timeframes when resources must be made available? Yes Part No
- 37. Is there a process for damage assessment? Yes Part No
- 38. Are plans reviewed at least annually or when there is a significant change to the hazard level or the availability or capability of resources? Yes Part No

Incident Management

- 39. Does the organization utilize a recognized incident management system such as the National Incident Management System/Incident Command System for management of incidents? Yes Part No
- 40. Is the Incident Commander vested with authority to command all resources during the incident and to order shutdown of operations and protection of persons potentially at risk from the incident? Yes Part No
- 41. Does the incident management system describe the specific roles and responsibilities for each incident management function? Yes Part No
- 42. Does the incident management system incorporate procedures for coordination of activities and unification of command during response, continuity, and recovery operations? Yes Part No
- 43. Does the incident management system incorporate procedures for development of and use of an incident action plan or management by objectives to guide response and recovery operations? Yes Part No

Communications and Warning

- 44. Do emergency response/operations and business continuity plans include procedures for alerting and notification of: Yes Part No
 - Members of emergency response and business continuity teams
 - Public emergency services and agencies
 - Senior management
- 45. Have warning systems (e.g., fire alarm systems, emergency voice communications systems, etc.) been installed, tested, and maintained? Are they audible throughout the premises? Yes Part No
- 46. Have communications protocols and procedures been established and tested? Yes Part No
- 47. Are the names, telephone numbers, and emergency contact instructions for management, emergency response team members, business continuity team members, public agencies, contractors, suppliers, and others who support the program compiled, accessible, and up to date? Yes Part No

Operational Procedures

- 48. Does the emergency operations/response plan adequately address the organization, staffing, equipment, training, and response procedures for the credible hazards unique or specific to each facility? Yes Part No
- 49. Do emergency procedures include assignment of persons and building specific procedures for the following protective actions? Yes Part No
 - Evacuation and accounting of persons following an emergency
 - Sheltering-In-Place
 - Lockdown
- 50. Do emergency procedures include actions to protect property and the environment? Yes Part No
- 51. Have business continuity and recovery procedures been established to maintain critical functions when there is an interruption or disruption? Yes Part No
- 52. Have procedures been established for recovery from the impact of hazards identified during the risk assessment process? Yes Part No



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Facilities (emergency operations centers)

- 53. Have primary and alternate emergency operations centers been established to support response and recovery efforts? Yes Part No
- 54. Are EOCs properly constructed, configured, equipped, staffed, and supported to meet the needs of the organization to manage response and recovery operations for an extended period? Yes Part No

Training

- 55. Has a training and educational curriculum been established to support the program and address the needs of the following? Yes Part No
Persons who may be impacted by hazards (i.e., hazard awareness and protective actions training for all employees or persons on-site); Emergency response and business continuity teams; Crisis communications team and spokesperson(s); Management; Others who support the program?
- 56. Is training provided as often as needed to maintain competency and certifications and in compliance with regulations including OSHA standards, fire prevention and life safety codes, and industry standards? Yes Part No
- 57. Are drills conducted at least annually or more frequency as required by law to practice protective actions including evacuation, shelter-in-place, and lockdown? Yes Part No
- 58. Do members of emergency response and business continuity teams participate in drills to familiarize them with activation and implementation of established plans, use of equipment, and operation under the incident management system? Yes Part No

Exercises, Evaluations, and Corrective Actions

- 59. Is there a periodic review of the program plans, procedures, and capabilities through periodic reviews conducted at least annually? Yes Part No
- 60. Are emergency response and business continuity exercises conducted at least annually? Yes Part No
- 61. Does the scope and frequency of exercising reflect the nature, scale, and complexity of the organization; its operational environment; and its exposure to hazards? Yes Part No
Workshops or orientation seminars, Tabletop exercises, Functional exercises, Full-scale exercises
- 62. Are exercises crafted by competent persons experienced in the design and conduct of exercises as well as the policies, plans, and procedures of the company? Yes Part No
- 63. Are exercises evaluated using a formal process that includes preparation of an after action report submitted to the Program Coordinator, Advisory Committee, and management? Yes Part No
- 64. Are post incident critiques conducted promptly after response to an incident has been terminated? Yes Part No
- 65. Do the Program Coordinator, Advisory Committee, or others seek lessons learned or after action reports from others to assess the program? Yes Part No
- 66. Is there a documented corrective action process? Yes Part No

Crisis Communication and Public Information

- 67. Does the crisis communications plan include policies and procedures for communicating with the news media and providing information to the public who may be affected by the incident? Yes Part No
- 68. Do crisis communications plans and procedures identify stakeholders including employees, employee families, customers, regulators, suppliers, investors, and other stakeholders? Yes Part No
- 69. Do procedures identify who should speak with each stakeholder or group of stakeholders? Yes Part No
- 70. Does the crisis communication plan and procedures provide for: Yes Part No
A media center for use during emergencies, A system for gathering, monitoring, and disseminating emergency information, Pre-scripted information bulletins, A method to coordinate and clear

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information for release, A capability of communicating with special needs populations, Protective action guidelines and recommendations (e.g., shelter-in-place or evacuation)

Finance and Administration

71. Have financial and administrative procedures been documented and implemented to support the program before, during, and after an incident? Yes Part No

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About Preparedness, LLC

Preparedness, LLC is a client-focused risk consulting company, serving private businesses, corporations, nonprofits, public agencies, and NGOs nationwide.

“Our mission is to assist our clients safeguard people, protect property and minimize business interruption. Our vision is to thoroughly understand each client's business and become a long-term trusted advisor.”

We help our clients assess hazards, implement loss prevention and risk mitigation strategies, and develop emergency management, business continuity, and risk management programs.

We assess hazards and threats to people, property, and business operations. We assess vulnerabilities and analyze the potential impacts of hazards. Our analyses provide management with the information needed to make effective risk management decisions to prevent, mitigate, or finance risk. Our business impact analyses also provide information to determine business continuity strategies and requirements.

We recommend strategies to prevent hazards or mitigate the impacts of hazards that cannot be prevented and develop loss prevention and risk mitigation programs. We support risk management programs through collection of property data, coordination of insurance company loss prevention consultants, and provision of direction and reports to risk management.

We develop emergency response and business continuity plans, so companies can more effectively respond to emergencies and sustain critical business functions if there is an outage or disruption. This includes organizing teams, writing plans, conducting training, and facilitating exercises.

Preparedness, LLC evaluates existing emergency management and business continuity programs using the criteria presented within our National Preparedness Standard, NFPA 1600. Donald L. Schmidt, CEO of Preparedness, LLC, is Chair of the NFPA 1600 technical committee and has helped write NFPA 1600 over the past 15 years. He is the editor of “Implementing NFPA 1600” published by the National Fire Protection Association, and he teaches a two-day professional development seminar on emergency management and business continuity for NFPA. Preparedness, LLC can evaluate your program and provide a prioritized list of recommendations that can serve as a blueprint for program enhancement.



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