Emergency Management & Business Continuity Program Self-Assessment Checklist

Self-assessment tool for evaluating preparedness based on NFPA 1600 "Standard on Disaster/Emergency Management and Business Continuity Programs," 2013 Edition.

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PREPAREDNESS

Emergency Management & Business Continuity Program Self-Assessment Checklist

This checklist was prepared by Donald L. Schmidt, ARM, CBCP, CBCLA, CEM®, Chair of NFPA's Technical Committee on Emergency Management and Business Continuity, which is responsible for NFPA 1600, "Standard on Disaster/Emergency Management and Business Continuity Programs. He is the editor of "Implementing NFPA 1600 National Preparedness Standard," which was published by the National Fire Protection in 2007. Mr. Schmidt is also an instructor for DRI International, having co-developed a professional development course that leads to a designation (CBCA or CBCLA) for auditors of emergency management and business continuity programs. The course has been certified by the American National Standards Institute for the auditors of certifying bodies evaluating the programs of private sector entities seeking certification under "PS-Prep."

This tool is based on the 2013 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/1600. This checklist is not "official," and it was not developed in conjunction with NFPA. The only "official" self-assessment checklist is contained within Annex C of the standard. However, as you will see with the depth of questions within this checklist will provide very detailed criteria to evaluate a preparedness program.

NFPA 1600, an American National Standard, has been adopted by U.S. Department of Homeland Security (DHS). It has also been designated by the DHS/Federal Emergency Management Agency for use as criteria for the certification of private sector preparedness programs under "PS-Prep."

Users of this checklist should assemble a team with the required knowledge of the entity's vision, mission, 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 properly evaluate the entity's preparedness efforts. The author provides 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 help develop, evaluate, and implement emergency management and business continuity programs using NFPA 1600. We also deliver training to educate users how to develop and implement a program.

Additional information on NFPA 1600 can be found on the "NFPA 1600" page of the Preparedness, LLC website. Links to numerous documents that can help with the development of your preparedness program can be found on the "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 conforming response would be answered "Yes." Any answer marked "No" or "Unknown" would indicate a nonconforming response or an area requiring further study. The check boxes are arranged so that you can quickly scan down the page to see the "No" or "Unknown" which are aligned closest to the right margin.

Self-Assessment Checklist Contents

Note: Numbering begins with 4 to coincide with the chapter numbering in NFPA 1600-2013.

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4. Program Management

4.1. Leadership and Commitment

4.1.1. Does senior management demonstrate commitment to the program by participating in important activities (e.g., meetings, training, drills, exercises, etc.)? .... ☐ Yes ☐ No ☐ Unknown

4.1.2. Does senior management provide adequate resources (see section 5.5) to support the program? .... ☐ Yes ☐ No ☐ Unknown

4.1.3. Does senior management ensure that the program is periodically reviewed and evaluated to ensure the program meets the needs of the entity? .... ☐ Yes ☐ No ☐ Unknown

4.2. Program Coordinator

4.2.1. Has a Program Coordinator been appointed and assigned responsibility for development, implementation, and keeping the program current? .... ☐ Yes ☐ No ☐ Unknown

4.2.2. Has the name of the Program Coordinator been communicated throughout the entity? .... ☐ Yes ☐ No ☐ Unknown

4.2.3. Has the role and responsibilities for the Program Coordinator been defined in writing? .... ☐ Yes ☐ No ☐ Unknown

4.2.4. Has the Program Coordinator been vested with sufficient authority to effectively develop, implement, and keep current the program? .... ☐ Yes ☐ No ☐ Unknown

4.2.5. Does the Program Coordinator have a demonstrated ability based on education, training, and experience to administer the program? .... ☐ Yes ☐ No ☐ Unknown

4.2.6. Is the Program Coordinator's performance evaluated? .... ☐ Yes ☐ No ☐ Unknown

4.2.7. Is the Program Coordinator held accountable for performance? .... ☐ Yes ☐ No ☐ Unknown

4.3. Program Committee

4.3.1. Has a Program Committee been established to oversee the development, implementation, and maintenance of the program? .... ☐ Yes ☐ No ☐ Unknown

4.3.2. Does the Program Committee have senior management support? .... ☐ Yes ☐ No ☐ Unknown

4.3.3. Does the Program Committee have a charter endorsed that defines its role for providing input or assisting with the development, implementation, evaluation, and revision of the program? .... ☐ Yes ☐ No ☐ Unknown

4.3.4. Does the Program Committee include knowledgeable representation from all important departments and functions of the entity? .... ☐ Yes ☐ No ☐ Unknown

    4.3.4.1.   Management
    4.3.4.2.   Operations
    4.3.4.3.   Facilities
    4.3.4.4.   Engineering
    4.3.4.5.   Purchasing/Supply Chain
    4.3.4.6.   Information Technology
    4.3.4.7.   Human Resources
    4.3.4.8.   Legal
    4.3.4.9.   Communications or Public Affairs
    4.3.4.10.   Environmental, Health & Safety
    4.3.4.11.   Security
    4.3.4.12.   Risk Management or Insurance
    4.3.4.13.   Finance
    4.3.4.14.   Sales & Marketing/Customer Service

4.3.5. Do all members of the Program Committee participate regularly in committee activities? .... ☐ Yes ☐ No ☐ Unknown

4.3.6. Has the committee solicited "external" representatives? .... ☐ Yes ☐ No ☐ Unknown

    4.3.6.1.   Law Enforcement
    4.3.6.2.   Fire department
    4.3.6.3.   Emergency Medical Services
    4.3.6.4.   Rescue service
    4.3.6.5.   Public Health
    4.3.6.6.   Emergency Management Agency or Homeland Security
    4.3.6.7.   Local Emergency Planning Committee
    4.3.6.8.   Environmental authorities
    4.3.6.9.   Contractors
    4.3.6.10.   Vendors & Suppliers

4.4.   Program Administration

4.4.1. Has the entity prepared an Executive Policy consistent with the entity's vision and mission? .... ☐ Yes ☐ No ☐ Unknown

4.4.2. Does the Executive Policy define roles, assign responsibilities, and vest authority for development, implementation, and maintenance of the program? .... ☐ Yes ☐ No ☐ Unknown

4.4.3. Has the Executive Policy been signed by senior management? .... ☐ Yes ☐ No ☐ Unknown

4.4.4. Has the Executive Policy been widely communicated throughout the entity? ..... ☐ Yes ☐ No ☐ Unknown

4.4.5.   Has a budget been established that provides adequate funding to develop, implement, and keep the program current? .... ☐ Yes ☐ No ☐ Unknown

4.4.6.   Does the program include a schedule with milestones that define the major phases and tasks to develop, implement, evaluate, and revise the program? .... ☐ Yes ☐ No ☐ Unknown

4.5.   Laws and Authorities

4.5.1.   Does the entity have a process to identify existing new and revised laws, regulations, standards, and industry codes of practice pertaining to the following? .... ☐ Yes ☐ No ☐ Unknown

      4.5.1.1.   Employee health and safety
      4.5.1.2.   Life safety
      4.5.1.3.   Environmental protection
      4.5.1.4.   Fire prevention and protection
      4.5.1.5.   Security including physical, operational, and cyber security
      4.5.1.6.   Vital records identification, confidentiality, and protection
      4.5.1.7.   Emergency management
      4.5.1.8.   Business continuity

4.5.2.   Has a determination been whether the program complies with entity policies and directives and applicable laws and regulations? .... ☐ Yes ☐ No ☐ Unknown

4.5.3.   Has a determination been made whether the program conforms to applicable standards and industry codes of practice? .... ☐ Yes ☐ No ☐ Unknown

4.5.4.   Has the entity implemented a strategy for addressing the need for revisions to laws, regulations, standards, and industry codes of practice? .... ☐ Yes ☐ No ☐ Unknown

4.6.   Finance and Administration

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

4.6.2.   Do procedures define the levels of authority and procedures for procurement of resources that are compliant with the entity's governance standards? .... ☐ Yes ☐ No ☐ Unknown

4.6.3.   Have procedures been established for expedited approval during or following an incident? .... ☐ Yes ☐ No ☐ Unknown

4.6.4.   Have finance and administration procedures been developed to support the program? .... ☐ Yes ☐ No ☐ Unknown

      4.6.4.1.   Program procurement procedures
      4.6.4.2.   Payroll
      4.6.4.3.   Accounting systems to track and document time and costs

4.6.4.4.   Management of funding from external sources

4.7. Records Management

4.7.1.   Is there a program to identify, backup, protect, and recover vital records and information—both electronic and hard copy—for business continuity, recovery purposes, and regulatory purposes? .... ☐ Yes ☐ No ☐ Unknown

4.7.2.   Do records management practices define who is responsible for recordkeeping? .... ☐ Yes ☐ No ☐ Unknown

4.7.3.   Does the process define the retention schedule for each type of record? .... ☐ Yes ☐ No ☐ Unknown

4.7.4.   Are records periodically reviewed to ensure records are properly completed and retained in accordance with the entity's policy and regulatory requirements? .... ☐ Yes ☐ No ☐ Unknown

5. Planning

5.1. Planning and Design Process

5.1.1.   Has the program planning and design process taken an "all-hazards" approach? .... ☐ Yes ☐ No ☐ Unknown

5.1.2.   Has strategic planning been completed to ensure the entity's vision, mission, and goals are incorporated into the program? .... ☐ Yes ☐ No ☐ Unknown

5.1.3.   Has crisis management planning addressed issues that threaten the strategic, reputational, and intangible elements of the entity? .... ☐ Yes ☐ No ☐ Unknown

5.1.4.   Does the planning process ensure that prevention, mitigation, emergency operations/response, business continuity, crisis communications, and crisis management plans are sufficiently integrated? .... ☐ Yes ☐ No ☐ Unknown

5.1.5.   In there a process to involve interested stakeholders where applicable? .... ☐ Yes ☐ No ☐ Unknown

5.2. Risk Assessment

5.2.1.   Does the entity have a systematic and documented process for assessing risks to: .... ☐ Yes ☐ No ☐ Unknown

5.2.1.1.   People
5.2.1.2.   Property
5.2.1.3.   Operations
5.2.1.4.   Environment
5.2.1.5.   Entity (reputation, image, relationships with stakeholders, and financial well-being)?

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5.2.2. Does the risk assessment process include: .... ☐ Yes ☐ No ☐ Unknown

    5.2.2.1.   Hazard identification
    5.2.2.2.   Vulnerability assessment
    5.2.2.3.   Impact analysis (people, property, operations, environment, and the entity itself)

5.2.3. Has a baseline risk assessment been completed for the entity and all facilities and operations? .... ☐ Yes ☐ No ☐ Unknown

5.2.4. Has the risk assessment been reviewed within the past 12 months to determine whether it is current? .... ☐ Yes ☐ No ☐ Unknown

5.2.5. Does the entity require conducting a risk assessment when there is new construction, renovation, introduction of a new process, or change to an existing process? .... ☐ Yes ☐ No ☐ Unknown

5.2.6. Does the risk assessment process follow accepted methodology for the type of hazard or process? .... ☐ Yes ☐ No ☐ Unknown

5.2.7. Are assessors competent to conduct the required risk assessment? .... ☐ Yes ☐ No ☐ Unknown

5.2.8. Were the following hazards evaluated during the risk assessment? .... ☐ Yes ☐ No ☐ Unknown

    5.2.8.1.   Natural hazards (geological, meteorological, and biological)
    5.2.8.2.   Human-caused events (accidental and intentional)
    5.2.8.3.   Technology caused event

    For an expanded list of potential hazards and threats, review NFPA 1600-2013, A.5.2.2.1.

5.2.9. Has the frequency or probability of occurrence for all hazards been estimated or quantified, where possible? .... ☐ Yes ☐ No ☐ Unknown

5.2.10. Have the vulnerabilities of people, property, operations, the environment, and the entity been identified and evaluated? .... ☐ Yes ☐ No ☐ Unknown

5.2.11. Are the vulnerabilities of people, property, operations, the environment, and the entity monitored on an ongoing basis? .... ☐ Yes ☐ No ☐ Unknown

5.2.12. Have the potential impacts of hazards on the following been analyzed and quantified? .... ☐ Yes ☐ No ☐ Unknown

    5.2.12.1.   Health and safety employees and visitors on-site
    5.2.12.2.   Health and safety of the community surrounding each facility
    5.2.12.3.   Health and safety of emergency responders
    5.2.12.4.   Buildings, facilities, and supporting infrastructure
    5.2.12.5.   Loss, corruption, or disruption to vital records, critical information, information technology, and connectivity
    5.2.12.6.   Business operations (e.g., production, service delivery, etc.)
    5.2.12.7.   Supply chain
    5.2.12.8.   Environment
    5.2.12.9.   Regulatory and contractual obligations

5.2.12.10.   Financial condition of the entity

5.2.12.11.   Reputation and image of the entity

5.2.13.   Have the potential effects of regional, national, or international incidents that could have cascading impacts been identified? .... ☐ Yes ☐ No ☐ Unknown

5.2.14.   Is the risk assessment documented and communicated to the program committee, program coordinator, and senior management? .... ☐ Yes ☐ No ☐ Unknown

5.2.15.   Has the adequacy of existing prevention and mitigation strategies been evaluated as part of the risk assessment? .... ☐ Yes ☐ No ☐ Unknown

5.3.   Business Impact Analysis (BIA)

5.3.1.   Has the entity conducted a BIA? .... ☐ Yes ☐ No ☐ Unknown

5.3.2.   Does the BIA evaluate the potential impacts resulting from interruption or disruption of individual business functions, processes, and computer applications? .... ☐ Yes ☐ No ☐ Unknown

5.3.3.   Does the BIA assess direct and indirect costs including the following? .... ☐ Yes ☐ No ☐ Unknown

5.3.3.1.   Damage to customer relations

5.3.3.2.   Loss of revenue

5.3.3.3.   Loss of market share

5.3.3.4.   Increased costs

5.3.3.5.   Contractual penalties

5.3.3.6.   Missed business opportunities

5.3.3.7.   Regulatory compliance

5.3.4.   Does the BIA identify the functions, processes, infrastructure, systems, and technology that are critical to the entity and the point in time [recovery time objective (RTO)] when the impact of the interruption or disruption becomes unacceptable to the entity? .... ☐ Yes ☐ No ☐ Unknown

5.3.5.   Does the impact analysis incorporate end-to-end business processes (e.g., supply through distribution)? .... ☐ Yes ☐ No ☐ Unknown

5.3.6.   Does the BIA identify dependencies and interdependencies across functions, processes, and applications to determine the potential for compounding impacts in the event of an interruption or disruption? .... ☐ Yes ☐ No ☐ Unknown

5.3.7.   Does the BIA evaluate the potential loss of information and the point in time [recovery point objective (RPO)] that defines the potential gap between the last backup of information and the time of the interruption or disruption? .... ☐ Yes ☐ No ☐ Unknown

5.4.   Resource Needs Assessment

5.4.1.   Has the entity identified and documented the resources needed to develop, implement, and maintain a program for prevention, mitigation, response, continuity, and recovery? .... ☐ Yes ☐ No ☐ Unknown

5.4.2.   Was the resource needs assessment based on the hazards identified in the risk assessment and the potential impacts identified in the business impact analysis? .... ☐ Yes ☐ No ☐ Unknown

5.4.3.   Do resource management objectives address? .... ☐ Yes ☐ No ☐ Unknown

5.4.3.1.   Personnel
5.4.3.2.   Equipment
5.4.3.3.   Training
5.4.3.4.   Facilities
5.4.3.5.   Funding
5.4.3.6.   Expert knowledge
5.4.3.7.   Materials
5.4.3.8.   Technology
5.4.3.9.   Information
5.4.3.10.   Intelligence

5.4.4.   Do resource management objectives address the following: .... ☐ Yes ☐ No ☐ Unknown

5.4.4.1.   Quantity
5.4.4.2.   Response time
5.4.4.3.   Capability
5.4.4.4.   Limitations
5.4.4.5.   Cost
5.4.4.6.   Liability connected with using the involved resource

5.4.5.   Does the entity have a documented system to locate, acquire, store, distribute, maintain, test, and account for services, personnel, resources, materials, and facilities procured or donated? .... ☐ Yes ☐ No ☐ Unknown

5.4.6.   Does the resource management system include the following? .... ☐ Yes ☐ No ☐ Unknown

5.4.6.1.   A system to describe, inventory, request, and track resources
5.4.6.2.   Activate systems prior to and during an incident
5.4.6.3.   Dispatch resources prior to and during an incident
5.4.6.4.   Deactivate or recall resources during or after incidents
5.4.6.5.   A contingency plan for resource shortfalls

5.4.7.   Has the inventory of available resources been compared to resource management objectives to identify any gaps? .... ☐ Yes ☐ No ☐ Unknown

5.4.8.   Is there a strategy to address any gaps between resource management objectives and available resources? .... ☐ Yes ☐ No ☐ Unknown

5.4.9.   Is an inventory of all resources maintained and kept up to date? .... ☐ Yes ☐ No ☐ Unknown

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5.4.10. Are resources audited to verify that they are available and in reliable condition for immediate use? .... ☐ Yes ☐ No ☐ Unknown

5.4.11. Are audit records maintained for review by the Program Coordinator and Program Committee? .... ☐ Yes ☐ No ☐ Unknown

5.4.12. Is there a system to inventory, acknowledge, maintain, distribute, retain, and return solicited or unsolicited donations including goods, services, personnel, and facilities? .... ☐ Yes ☐ No ☐ Unknown

5.4.13. Is this donations management system coordinated with public and not for profit agencies? .... ☐ Yes ☐ No ☐ Unknown

5.4.14. Has the need for mutual aid or partnership arrangements been determined? .... ☐ Yes ☐ No ☐ Unknown

5.4.15. If mutual aid or partnership arrangements is/are needed, have agreements been formalized and executed in writing? .... ☐ Yes ☐ No ☐ Unknown

5.4.16. Have all mutual aid and partnership arrangements been reviewed by legal counsel and others with responsibility for review of contracts? .... ☐ Yes ☐ No ☐ Unknown

5.4.17. Are the resources available from mutual aid and partnership arrangements agreements documented in program plans? .... ☐ Yes ☐ No ☐ Unknown

5.4.18. Are the facilities capable of supporting response, continuity, and recovery operations been identified? .... ☐ Yes ☐ No ☐ Unknown

5.5. Performance Objectives

5.5.1. Have program performance objectives been defined? .... ☐ Yes ☐ No ☐ Unknown

5.5.2. Are objectives measurable? .... ☐ Yes ☐ No ☐ Unknown

5.5.3. Has the entity established performance objectives for each of the program elements? .... ☐ Yes ☐ No ☐ Unknown

    5.5.3.1. Risk assessment
    5.5.3.2. Business impact analysis
    5.5.3.3. Prevention
    5.5.3.4. Mitigation
    5.5.3.5. Resources
    5.5.3.6. Emergency operations/response
    5.5.3.7. Crisis communications and public information
    5.5.3.8. Business continuity and recovery
    5.5.3.9. Training and education
    5.5.3.10. Exercises, evaluations, and corrective action

5.5.4. Do performance objectives address both short-term and long-term needs? ...... ☐ Yes ☐ No ☐ Unknown

5.5.5. Are the performance objectives periodically evaluated to determine whether they meet the needs of the entity? .... ☐ Yes ☐ No ☐ Unknown

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6. Implementation

6.1. Common Plan Requirements

6.1.1.   Are objectives clearly stated in all plans? .... ☐ Yes ☐ No ☐ Unknown

6.1.2.   Are planning assumptions documented in each plan? .... ☐ Yes ☐ No ☐ Unknown

6.1.3.   Are functional roles and responsibilities of internal and external agencies, organizations, departments, and positions identified in each plan? .... ☐ Yes ☐ No ☐ Unknown

6.1.4.   Are the lines of authority clearly defined? .... ☐ Yes ☐ No ☐ Unknown

6.1.5.   Are the lines of succession clearly defined? .... ☐ Yes ☐ No ☐ Unknown

6.1.6.   Are Liaisons to external entities clearly defined? .... ☐ Yes ☐ No ☐ Unknown

6.1.7.   Are resource and logistical requirements defined in each plan? .... ☐ Yes ☐ No ☐ Unknown

6.1.8.   Are plans accessible during emergencies when buildings may be inaccessible or uninhabitable? .... ☐ Yes ☐ No ☐ Unknown

6.1.9.   Does each plan specify when and who has authority to activate the plan? .... ☐ Yes ☐ No ☐ Unknown

6.1.10. Are there clearly defined thresholds to guide the notification and escalation sequence for emergency response, business continuity, crisis management, and recovery activities? .... ☐ Yes ☐ No ☐ Unknown

6.1.11. Are procedures established for communicating information and coordinating decision making between the senior leadership team, emergency response teams, business continuity teams, or managers that might become involved in the incident? .... ☐ Yes ☐ No ☐ Unknown

6.1.12. Have plans been distributed to or do those with defined responsibilities in the plans have access to plans? .... ☐ Yes ☐ No ☐ Unknown

6.2. Prevention

6.2.1.   Have prevention strategies been developed to prevent incidents that threaten life, property, and the environment? .... ☐ Yes ☐ No ☐ Unknown

6.2.2.   Is there an ongoing process of intelligence collection and analysis of developing threats and emerging hazards to keep prevention strategies current? .... ☐ Yes ☐ No ☐ Unknown

6.2.3.   Are prevention strategies based on the results of hazard identification and risk assessment, an analysis of impacts, program constraints, operational experience, and a cost- benefit analysis? .... ☐ Yes ☐ No ☐ Unknown

6.2.4.   Is there a process to monitor identified hazards and adjust the level of preventive measures to be commensurate with the risk? .... ☐ Yes ☐ No ☐ Unknown

6.3. Mitigation

6.3.1.   Have mitigation strategies been documented in a plan that includes measures to limit or control the consequences, extent, or severity of an incident that cannot be prevented? .... ☐ Yes ☐ No ☐ Unknown

6.3.2.   Do mitigation strategies include interim and long-term actions to reduce vulnerabilities? .... ☐ Yes ☐ No ☐ Unknown

6.3.3.   Are mitigation strategies supported by senior management and sufficiently funded? .... ☐ Yes ☐ No ☐ Unknown

6.3.4.   Do mitigation strategies incorporate the following where applicable? .... ☐ Yes ☐ No ☐ Unknown

6.3.4.1.   The use of applicable building construction standards
6.3.4.2.   Hazard avoidance through appropriate land-use practices
6.3.4.3.   Relocation, retrofitting, or removal of structures at risk
6.3.4.4.   Removal or elimination of the hazard
6.3.4.5.   Reduction or limitation of the amount or size of the hazard
6.3.4.6.   Segregation of the hazard from that which is to be protected
6.3.4.7.   Modification of the basic characteristics of the hazard
6.3.4.8.   Control of the rate of release of the hazard
6.3.4.9.   Provision of protective systems or equipment for both cyber or physical risks
6.3.4.10.   Establishment of hazard warning and communication procedures
6.3.4.11.   Redundancy or duplication of essential personnel, critical systems, equipment, information, operations, or materials

6.4. Crisis Communications and Public Information

6.4.1.   Does the entity have a crisis communications plan and procedures to disseminate information to and respond to requests for information from the following audiences before, during, and after an incident? .... ☐ Yes ☐ No ☐ Unknown

6.4.1.1.   Internal audiences, including employees
6.4.1.2.   External audiences, including the media, functional needs populations, and other stakeholders

6.4.2.   Does the entity have a crisis communications plan and procedures for communicating with the news media and providing information to the public who may be affected by the incident? .... ☐ Yes ☐ No ☐ Unknown

6.4.3.   Are persons assigned to speak to the news media properly trained including realistic practice? .... ☐ Yes ☐ No ☐ Unknown

6.4.4.   Does the crisis communications plan include dissemination of information to employees and their families? .... ☐ Yes ☐ No ☐ Unknown

6.4.5. Do crisis communications plans and procedures identify stakeholders including customers, regulators, suppliers, investors, and other stakeholders? .... ☐ Yes ☐ No ☐ Unknown

6.4.6. Do procedures identify who should speak with each stakeholder or group of stakeholders? .... ☐ Yes ☐ No ☐ Unknown

6.4.7. Have provisions been made for monitoring media coverage during an incident? .... ☐ Yes ☐ No ☐ Unknown

6.4.8. Does the entity have a crisis communications or public information capability that includes the following: .... ☐ Yes ☐ No ☐ Unknown

   6.4.8.1.   Central contact facility or communications hub
   6.4.8.2.   Physical or virtual information center
   6.4.8.3.   System for gathering, monitoring, and disseminating information
   6.4.8.4.   Procedures for developing and delivering coordinated messages
   6.4.8.5.   Protocol to clear information for release

6.5.   Warning, Notifications, and Communications

6.5.1. Do emergency operations/response and business continuity plans include procedures for alerting and notification of: .... ☐ Yes ☐ No ☐ Unknown

   6.5.1.1.   Members of emergency response, business continuity, and crisis communications team(s)
   6.5.1.2.   Public emergency services and agencies
   6.5.1.3.   Senior management

6.5.2. Do emergency operations/response procedures include procedures for warning persons at risk or potentially at risk from the incident? .... ☐ Yes ☐ No ☐ Unknown

6.5.3. Have procedures been implemented for issuing warnings through authorized agencies if required by law? .... ☐ Yes ☐ No ☐ Unknown

6.5.4. Have pre-scripted information bulletins or templates been developed for communications with internal and external audiences? .... ☐ Yes ☐ No ☐ Unknown

6.5.5. 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 ☐ No ☐ Unknown

6.5.6. Have communications systems been identified, configured, and tested for communications between members of emergency response and business continuity teams and others? .... ☐ Yes ☐ No ☐ Unknown

6.5.7. Have communications protocols and procedures been established and tested? .... ☐ Yes ☐ No ☐ Unknown

6.5.8.   Has the interoperability of communication systems and technologies been evaluated and tested where available? Where not available, have alternate strategies been developed to enable communication between all internal and external responders? .... ☐ Yes ☐ No ☐ Unknown

6.5.9.   Are the names, telephone numbers, and emergency contact instructions for management, emergency response team members, business continuity team members, crisis communications team members, public agencies, contractors, suppliers, and others who support the program compiled, immediately accessible, and up to date? .... ☐ Yes ☐ No ☐ Unknown

6.6.   Operational Procedures

6.6.1.   Have operational procedures been coordinated between emergency response, business continuity, and others that have a defined role or responsibility for emergency management or business continuity? .... ☐ Yes ☐ No ☐ Unknown

6.6.2.   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 ☐ No ☐ Unknown

6.6.3.   Do emergency procedures include assignment of persons and building specific procedures for the following protective actions? .... ☐ Yes ☐ No ☐ Unknown

      6.6.3.1.   Evacuation and accounting of persons following an emergency
      6.6.3.2.   Sheltering-In-Place
      6.6.3.3.   Lockdown

6.6.4.   Do emergency procedures address the safety of first responders? .... ☐ Yes ☐ No ☐ Unknown

6.6.5.   Do emergency procedures include actions to protect property? .... ☐ Yes ☐ No ☐ Unknown

6.6.6.   Do emergency procedures include actions to protect the environment? .... ☐ Yes ☐ No ☐ Unknown

6.6.7.   Do procedures include the following? .... ☐ Yes ☐ No ☐ Unknown

      6.6.7.1.   Control of access to the area affected by the incident
      6.6.7.2.   Identification of personnel engaged in activities at the incident
      6.6.7.3.   Accounting for personnel engaged in incident activities
      6.6.7.4.   Mobilization and demobilization of resources

6.6.8.   Do emergency response and business continuity procedures define criteria and include procedures for initiating mitigation and recovery efforts when safe? .... ☐ Yes ☐ No ☐ Unknown

6.7.   Incident Management

6.7.1.   Does the entity have an incident management system (IMS) to direct, control, and coordinate response, continuity, and recovery operations? .... ☐ Yes ☐ No ☐ Unknown

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6.7.2.   Does the entity utilize a recognized incident management system such as the National Incident Management System (NIMS)/Incident Command System (ICS) for management of incidents? .... ☐ Yes ☐ No ☐ Unknown

6.7.3.   Does the IMS define organizational roles, titles, and responsibilities for each function? .... ☐ Yes ☐ No ☐ Unknown

6.7.4.   Does the incident management system include appointment of a capable Incident Commander? .... ☐ Yes ☐ No ☐ Unknown

6.7.5.   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 ☐ No ☐ Unknown

6.7.6.   Is a capable person assigned responsibility to command emergency response functions under the "Operations" section of the Incident Command System or equivalent? .... ☐ Yes ☐ No ☐ Unknown

6.7.7.   Are capable persons assigned responsibility for planning, logistics, and finance as defined in the Incident Command System or equivalent? .... ☐ Yes ☐ No ☐ Unknown

6.7.8.   Is a capable person assigned to oversee the safety of any response? .... ☐ Yes ☐ No ☐ Unknown

6.7.9.   Is a capable person assigned to liaise with public agencies, vendors, or contractors who may become involved in an incident? .... ☐ Yes ☐ No ☐ Unknown

6.7.10. Does the incident management system incorporate procedures for coordination of activities with stakeholders directly involved in response, continuity, and recovery operations? .... ☐ Yes ☐ No ☐ Unknown

6.7.11. Does the incident management system incorporate procedures for coordination of activities and unification of command during response, continuity, and recovery operations? .... ☐ Yes ☐ No ☐ Unknown

6.7.12. Does the incident management system incorporate procedures and assign responsibility for conducting a situation analysis that includes the following? .... ☐ Yes ☐ No ☐ Unknown

      6.7.12.1.   Resource needs assessment
      6.7.12.2.   Damage assessment

6.7.13. Does the IMS include procedures for development and use of an incident action plan or management by objectives to guide response/recovery? .... ☐ Yes ☐ No ☐ Unknown

6.7.14. Does the IMS include the following resource management tasks? .... ☐ Yes ☐ No ☐ Unknown

      6.7.14.1.   Describing, inventorying, requesting, and tracking resources
      6.7.14.2.   Typing/categorizing resources by size, capacity, capability, and skill
      6.7.14.3.   Mobilizing and demobilizing resources
      6.7.14.4.   Planning for resource deficiencies
      6.7.14.5.   Maintaining an inventory of internal and external resources

6.7.14.6. Managing donations of human resources, equipment, material, and facilities

6.7.15. Do plans define the process for managing the flow of information internally and externally? .... ☐ Yes ☐ No ☐ Unknown

6.7.16. Have criteria been established and procedures documented for notification of governmental and regulatory authorities when required by statute or regulation (e.g., notification of environmental authorities for a hazardous materials spill or notification of OSHA if a workplace fatality occurs.) .... ☐ Yes ☐ No ☐ Unknown

6.7.17. Have primary and alternate emergency operations centers (EOCs) been established to support response and recovery efforts? .... ☐ Yes ☐ No ☐ Unknown

6.7.18. Are the primary and alternate EOCs located or arranged so both are not rendered inaccessible or unusable as a result of the same incident? .... ☐ Yes ☐ No ☐ Unknown

6.7.19. Are EOCs property constructed, configured, equipped, staffed, and supported to meet the needs of the entity to manage response and recovery operations for an extended period? .... ☐ Yes ☐ No ☐ Unknown

6.7.20. Is the location of or access to [virtual] EOCs provided to all emergency response and business continuity teams and others who must have access? .... ☐ Yes ☐ No ☐ Unknown

6.8. Emergency Operations/Response Plan

6.8.1. Does the emergency operations/response plan define what constitutes an emergency and when the plan should be activated? .... ☐ Yes ☐ No ☐ Unknown

6.8.2. Has management defined the entity's policy for responding to emergencies that defines the following? .... ☐ Yes ☐ No ☐ Unknown

    6.8.2.1. Functions of the emergency response team
    6.8.2.2. Level of response (e.g., incipient stage firefighting or advanced interior structural firefighting)
    6.8.2.3. Staffing
    6.8.2.4. Equipment
    6.8.2.5. Training
    6.8.2.6. Requirements to meet local needs and conditions

6.8.3. Does the emergency operations/response plan address life safety, property conservation, and incident stabilization actions for the hazards and threats identified during the risk assessment including the following? .... ☐ Yes ☐ No ☐ Unknown

    6.8.3.1. Fires
    6.8.3.2. Medical emergencies
    6.8.3.3. Natural hazards (e.g., tornado, hurricane, flooding, etc.)
    6.8.3.4. Security threats (e.g., bomb threats, act of violence, etc.)
    6.8.3.5. Hazardous materials spills or releases
    6.8.3.6. Rescue

6.8.3.7.   Utility outages

6.8.3.8.   Acts of terrorism

6.8.3.9.   Other types of emergencies

For an expanded list of potential hazards and threats, review NFPA 1600-2013, A.5.2.2.1.

6.8.4.   Are the emergency response team's organization, staffing, training, and equipment compliant with regulatory requirements including but not limited to the following? .... ☐ Yes ☐ No ☐ Unknown

6.8.4.1.   Occupational Safety & Health Administration (Federal or State)

6.8.4.2.   Fire Prevention Code

6.8.4.3.   Environmental regulations

6.9.   Business Continuity and Recovery

6.9.1.   Have business continuity and recovery strategies been established to maintain critical or time-sensitive functions and processes identified during the business impact analysis when there is an interruption or disruption? .... ☐ Yes ☐ No ☐ Unknown

6.9.2.   Does the continuity plan identify the following? .... ☐ Yes ☐ No ☐ Unknown

6.9.2.1.   Stakeholders that need to be notified

6.9.2.2.   Critical and time- sensitive applications

6.9.2.3.   Alternative work sites

6.9.2.4.   Vital records

6.9.2.5.   Contact lists

6.9.2.6.   Functions, and processes that must be maintained

6.9.3.   Does the business continuity plan define the timeframes when critical functions must be restored before there is an unacceptable impact? .... ☐ Yes ☐ No ☐ Unknown

6.9.4.   Does the business continuity plan identify the personnel, procedures, and resource requirements for alternate strategies and the timeframes when resources must be made available? .... ☐ Yes ☐ No ☐ Unknown

6.9.5.   Does the business continuity plan include the protocols and procedures for alerting of the business continuity team? .... ☐ Yes ☐ No ☐ Unknown

6.9.6.   Does the business continuity plan define procedures for partial and full activation of the plan? .... ☐ Yes ☐ No ☐ Unknown

6.9.7.   Is there a process for damage assessment? .... ☐ Yes ☐ No ☐ Unknown

6.9.8.   Is the business continuity plan connected to and coordinated with emergency operations/response and crisis communications plans? .... ☐ Yes ☐ No ☐ Unknown

6.10.   Employee Assistance and Support

6.10.1.   Does the entity have an employee assistance and support plan that includes the following? .... ☐ Yes ☐ No ☐ Unknown

      6.10.1.1.   Pre-incident and post-incident awareness

      6.10.1.2.   Procedures to communications emergency information to employees before, during and following an emergency or disaster

      6.10.1.3.   Employee contact information, including emergency contact outside the anticipated hazard area

      6.10.1.4.   Procedures for accounting for persons affected, displaced, or injured by the incident

      6.10.1.5.   Temporary, short-term, or long-term housing and feeding and care of those displaced by an incident

      6.10.1.6.   Mental health and physical well-being of individuals affected by the incident

      6.10.1.7.   Promotion of family preparedness education and training for employees

6.10.2.   Does the entity have a plan that includes 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 ☐ No ☐ Unknown

7. Training & Education

7.1.   Curriculum

7.1.1.   Has a training and educational curriculum been established to support all who have a role in the program? .... ☐ Yes ☐ No ☐ Unknown

7.1.2.   Does the curriculum address the needs of: .... ☐ Yes ☐ No ☐ Unknown

      7.1.2.1.   Persons who may be impacted by hazards (i.e., hazard awareness and protective actions training for all employees or persons on-site)

      7.1.2.2.   Emergency response and business continuity teams

      7.1.2.3.   Crisis communications team and spokesperson(s)

      7.1.2.4.   Senior management/crisis management team

      7.1.2.5.   Others who support the program?

7.1.3.   Is training provided for all employees to make them aware of emergency response plans, business continuity procedures, vital records protection, security, etc.? .... ☐ Yes ☐ No ☐ Unknown

7.2.   Goal of Curriculum

7.2.1.   Does the curriculum create awareness and enhance the knowledge, skills, and abilities required to implement, support, and maintain the program? .... ☐ Yes ☐ No ☐ Unknown

7.3. Scope and Frequency of Instruction

7.3.1. Have the scope of the training and education curriculum and the frequency of instruction been identified? .... ☐ Yes ☐ No ☐ Unknown

7.3.2. Is training provided for all employees upon hire? .... ☐ Yes ☐ No ☐ Unknown

7.3.3. Is training provided for emergency response and business continuity teams upon assignment? .... ☐ Yes ☐ No ☐ Unknown

7.3.4. Is training provided when the plan or procedures are changed or when a person's responsibilities under the plan change? .... ☐ Yes ☐ No ☐ Unknown

7.3.5. Is training provided as often as needed to maintain competency and certifications (e.g., first aid/CPR)? .... ☐ Yes ☐ No ☐ Unknown

7.3.6. Is the scope and frequency of training compliant with regulations including OSHA standards, fire prevention and life safety codes, and industry practices? .... ☐ Yes ☐ No ☐ Unknown

7.4. Incident Management System Training

7.4.1. Are personnel trained in the entity's incident management system (IMS) and other components of the program to the level of their involvement? .... ☐ Yes ☐ No ☐ Unknown

7.5. Recordkeeping

7.5.1. Are records of training and education maintained as required by the entity's records management program and in accordance with regulatory requirements? .... ☐ Yes ☐ No ☐ Unknown

7.6. Regulatory and Program Requirements

7.6.1. Does the training and education curriculum comply with applicable regulatory and program requirements? .... ☐ Yes ☐ No ☐ Unknown

7.7. Public Education

7.7.1. Has a public education program been implemented to communicate the following to the population at risk from an event at the entity's facility? .... ☐ Yes ☐ No ☐ Unknown

    7.7.1.1. The potential impacts of a hazards
    7.7.1.2. Preparedness information
    7.7.1.3. Information needed to develop a preparedness plan

8. Exercises & Tests

8.1. Program Evaluation

8.1.1. Are program plans, procedures, training, and capabilities evaluated
through periodic exercises and tests? .... ☐ Yes ☐ No ☐ Unknown

8.1.2. Do members of emergency response and business continuity teams
participate in drills and exercises to familiarize them with activation and
execution of plans, use of equipment, and operating under the entity's
incident management system? .... ☐ Yes ☐ No ☐ Unknown

8.1.3. Have metrics for program evaluation been developed? .... ☐ Yes ☐ No ☐ Unknown

8.1.4. Are post incident critiques conducted promptly after response to an incident
has been terminated? .... ☐ Yes ☐ No ☐ Unknown

8.1.5. Do the Program Coordinator, Program Committee, or others seek lessons
learned or after action reports from others to assess the program? .... ☐ Yes ☐ No ☐ Unknown

8.1.6. Are exercises and tests documented? .... ☐ Yes ☐ No ☐ Unknown

8.2. Exercise and Test Methodology

8.2.1. Do exercises provide an opportunity to practice procedures and interact
with others in one of the following controlled settings? .... ☐ Yes ☐ No ☐ Unknown

    8.2.1.1.   Workshops or orientation seminars
    8.2.1.2.   Tabletop exercises
    8.2.1.3.   Functional exercises
    8.2.1.4.   Full-scale exercises

8.2.2. Are exercises designed to assess the maturity of program plans,
procedures, and strategies? .... ☐ Yes ☐ No ☐ Unknown

8.2.3. Are tests designed to demonstrate capabilities? .... ☐ Yes ☐ No ☐ Unknown

8.2.4. Are information technology disaster recovery plans tested and validated
periodically? .... ☐ Yes ☐ No ☐ Unknown

8.3. Design of Exercises and Tests

8.3.1. Are exercises designed to accomplish the following objectives? .... ☐ Yes ☐ No ☐ Unknown

    8.3.1.1.   Ensure the safety of people, property, operations, and the environment
                  involved in the exercise or test
    8.3.1.2.   Evaluate the program
    8.3.1.3.   Identify planning and procedural deficiencies
    8.3.1.4.   Test or validate recently changed procedures or plans
    8.3.1.5.   Clarify roles and responsibilities

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8.3.1.6.   Obtain participant feedback and recommendations for program improvement

8.3.1.7.   Measure improvement compared to performance objectives

8.3.1.8.   Improve coordination among internal and external teams, organizations, and entities

8.3.1.9.   Validate training and education

8.3.1.10.   Increase awareness and understanding of hazards and the potential impact of hazards on the entity

8.3.1.11.   Identify additional resources and assess the capabilities of existing resources, including personnel and equipment needed for effective response and recovery

8.3.1.12.   Assess the ability of the team to identify, assess, and manage an incident

8.3.1.13.   Practice the deployment of teams and resources to manage an incident

8.3.1.14.   Improve individual performance

8.3.2.   Does the scope and frequency of exercises reflect the nature, scale, and complexity of the entity; its operational environment; and its exposure to hazards? .... ☐ Yes ☐ No ☐ Unknown

8.3.3.   Are exercises crafted by competent persons experienced in the design and conduct of exercises and knowledgeable in the policies, plans, and procedures of the entity? .... ☐ Yes ☐ No ☐ Unknown

8.3.4.   Are exercise objectives clearly defined and documented? .... ☐ Yes ☐ No ☐ Unknown

8.3.5.   Are exercise assumptions adequately defined and aligned with the exercise objectives? .... ☐ Yes ☐ No ☐ Unknown

8.3.6.   Are exercise scenarios realistic and customized to the entity's facilities, operations, and resources? .... ☐ Yes ☐ No ☐ Unknown

8.4.   Exercise and Test Evaluation

8.4.1.   Are exercises evaluated using a formal process that includes evaluation forms and a "hot wash" or other facilitated discussion documented in an After-Action Report (AAR)?.. ☐ Yes ☐ No ☐ Unknown

8.4.2.   Are copies of the AAR provided to the program coordinator, program committee, and management? .... ☐ Yes ☐ No ☐ Unknown

8.4.3.   Are recommendations from exercises evaluated by the program coordinator, program committee, and others to revise the program? .... ☐ Yes ☐ No ☐ Unknown

8.5.   Frequency

8.5.1.   Are exercises and tests conducted on the frequency needed to establish and maintain required capabilities? .... ☐ Yes ☐ No ☐ Unknown

8.5.2.   Does the frequency of exercises reflect the nature, scale, and complexity of the entity; its operational environment; and its exposure to hazards? .... ☐ Yes ☐ No ☐ Unknown

8.5.3.   Are protective action drills (e.g., evacuation, shelter-in-place, and lockdown) conducted at least annually or as frequently as required by law? .... ☐ Yes ☐ No ☐ Unknown

9. Program Maintenance & Improvement

9.1.   Program Reviews

9.1.1.   Are program policies, procedures, and capabilities evaluated through periodic reviews using the program's performance objectives as criteria? .... ☐ Yes ☐ No ☐ Unknown

9.1.2.   Has responsibility for evaluating the program been assigned to persons with authority and the resources necessary to complete the evaluation? .... ☐ Yes ☐ No ☐ Unknown

9.1.3.   Has a method for evaluating the program been defined? .... ☐ Yes ☐ No ☐ Unknown

9.1.4.   Do program reviews evaluate the implementation of changes resulting from preventive and corrective action? .... ☐ Yes ☐ No ☐ Unknown

9.1.5.   Are evaluations conducted on a regularly scheduled basis and when the situation changes to question the effectiveness of the existing program? .... ☐ Yes ☐ No ☐ Unknown

9.1.6.   Is the program re-evaluated when a change in any of the following impacts the program? .... ☐ Yes ☐ No ☐ Unknown

    9.1.6.1.   Regulations
    9.1.6.2.   Hazards and potential impacts
    9.1.6.3.   Resource availability or capability
    9.1.6.4.   Entity's organization
    9.1.6.5.   Funding changes
    9.1.6.6.   Infrastructure, including technology environment
    9.1.6.7.   Economic and geographic stability
    9.1.6.8.   Entity operations

9.1.7.   Do program reviews include determination whether corrective action from post-incident analyses, lessons learned, and past program reviews? .... ☐ Yes ☐ No ☐ Unknown

9.1.8.   Are records of program reviews and evaluations maintained in accordance with records management policies and procedures? .... ☐ Yes ☐ No ☐ Unknown

9.1.9.   Are documentation, records, and reports provided to management for review and follow-up? .... ☐ Yes ☐ No ☐ Unknown

9.2.   Corrective Action.

9.2.1.   Is there a documented corrective action process? .... ☐ Yes ☐ No ☐ Unknown

9.2.2. Does the corrective action process prioritize deficiencies? .... ☐ Yes ☐ No ☐ Unknown

9.2.3. Are all deficiencies assigned to a responsible person or department, tracked, and followed until satisfactorily resolved? .... ☐ Yes ☐ No ☐ Unknown

9.2.4. Are high priority deficiencies elevated to a level of management with authority to ensure prompt attention? .... ☐ Yes ☐ No ☐ Unknown

9.2.5. Does senior management support corrective action? .... ☐ Yes ☐ No ☐ Unknown

9.2.6. Has the entity taken corrective action on identified deficiencies? .... ☐ Yes ☐ No ☐ Unknown

9.2.7. Is root cause analysis used to determine the root causes of recurring and underlying problems? .... ☐ Yes ☐ No ☐ Unknown

9.3. Continuous Improvement

9.3.1. Does the entity have a continuous improvement or change management process that would trigger program reviews and corrective action? .... ☐ Yes ☐ No ☐ Unknown