

Note: This checklist is not designed as a substitute for a comprehensive Disaster Recovery Plan; nor does it contain specific recovery procedures designed for your company. This material suggests high level issues that you should consider if you are in response mode. SunGard Planning is providing this as a public service.

Incident Management Checklist

Incident Detection and Preliminary Assessment:

An incident is detected and Company Emergency Response Procedures are followed:

- Sound fire alarm, evacuate building

Preliminary assessment personnel will be immediately alerted and dispatched to the affected site.

An initial incident assessment will be performed.

- Security will alert Facilities and Safety personnel and conduct a preliminary assessment of the incident

Activate Initial Response Personnel:

If the incident warrants, the personnel conducting the preliminary assessment, will notify the Initial Response members of the Incident Management Team (IMT), including the Incident Manager. The preliminary assessment personnel will provide as much detail as possible about the incident to the Incident Manager.

Once notified, the Incident Manager, with assistance from the Recovery Coordinator, will take control of the situation and oversee all remaining IMT tasks.

If necessary, the Incident Manager will direct Initial Response personnel to begin implementation of support procedures which include critical vendor and external notifications.

Incident Management Checklist

Conduct Damage Assessment Inspection:

The IMT Initial Response members led by the Incident Manager, with assistance from critical vendors, will conduct a damage assessment inspection and determine initial response activities.

Establish Incident Command Center:

Based on the extent of the incident and the results of the damage assessment inspection, the Incident Manager will determine the most feasible Incident Command Center location.

With assistance from the Recovery Coordinator, the Incident Manager will establish the Incident Command Center. Once the Incident Command Center is established, the Recovery Coordinator will oversee its continued operation.

Notify Remaining IMT Members :

The Incident Manager and Recovery Coordinator will notify the remaining IMT members and request assembly at the Incident Command Center.

Once all members of the IMT have assembled at the Incident Command Center, the Incident Manager will conduct a team briefing and provide all known facts regarding the incident.

Incident Management Checklist

Develop Recovery Recommendations :

Based on the incident circumstances, the IMT led by the Incident Manager, will develop Recovery Recommendations for review and approval by Executive Management.

The Recovery Recommendations should include:

- IMT Organization Assignment List
- Incident Objectives and Strategies Statement
- Incident Status Summary

Activate Recovery Plan:

Upon approval of the Recovery Recommendations by Executive Management, the IMT will perform the following Recovery Plan activation activities:

- Contact Recovery Sites and perform all necessary formal “Disaster Declaration” activities
- Activate Business Unit Management Team personnel

Perform IMT Support Responsibilities:

As directed by the Incident Manager, and identified in the IMT Organization Assignment List, designated IMT support personnel will implement their support procedures and provide recovery support to all affected Business Units.

The following IMT Support will be provided:

Incident Management Checklist

Recovery Manager

- Assess incident situation
- Authorize activation of incident response activities:
 - Damage assessment
 - Communications
 - Personnel issues
- Develop business recovery recommendations
- Direct IMT activity
- Manage incident operations

Recovery Coordinator

- Gather and organize information about the incident and corresponding recovery requirements (MARC reports)
- Maintain and disseminate incident status summary reports
- Assist the IMT in developing and revising incident objectives and strategies
- Maintain incident status logs and reporting
- Manage all incoming and outgoing communications between the IMT and affected business units

Security

- Investigate event occurrence
- Perform initial notification and escalation procedures
- Provide security for the affected facility and all alternate operating locations

Facilities

- Perform facility damage assessment
- Acquire replacement office space in the event of a long-term disaster
- Document proof of losses
- Manage salvage and restoration activities
- Notify tenants of the incident and provide periodic updates regarding the condition of their affected office space

Incident Management Checklist

Environmental & Safety

- Ensure the health and safety of the public and employees
- Ensure that response activities to address fire, spills and/or medical emergencies are performed in accordance with regulatory guidelines
- Perform an initial assessment of the affected area with the Incident Manager and facilities personnel
- Develop a course of action to address incident circumstances
- Notify regulatory agencies within *four* hours of the incident as applicable.
- Enlist the assistance of vendors and agencies to assist in support activities as appropriate.

Corporate Communications

- Coordinate all media communications
- Review and approve all statements regarding the incident
- Develop both internal and external communications
- Coordinate recovery related advertising with external vendors

Incident Management Checklist

Information Technology (IT)

- Perform computer system and telecommunications damage assessment
- Activate alternate operating locations (system recovery)
- Recover computer systems and network environment(s)
- Acquire and install replacement personal computer equipment
- Re-establish data network connections to external resources (branch locations, vendors)
- Implement all telephone response actions (re-routing critical telephone numbers)
- Arrange for all alternate site telephone installations

Human Resources / Medical

- Monitor the condition and location of the injured in coordination with Medical
- Manage all next-of-kin notification
- Coordinate employee communications with Corporate Communications
- Coordinate additional or temporary staffing for recovery effort
- Provide access to counseling services based on the needs of personnel and their families
- Administer company personnel policies as they apply to response and recovery
- Provide triage for injured personnel
- Monitor the condition and location of the injured in coordination with Human Resources

Finance

- Ensure fund availability for recovery and business expenses
- Ensure that any recovery expenditures are properly documented with the expense account number

Incident Management Checklist

Legal

- Manage all required regulatory notifications
- Provide legal counsel for response and recovery operations
- Review and approve new contracts acquired as a result of the event occurrence, before implementation

Audit

- Consult/Provide central advice on changes to standard operating procedures performed during the recovery effort
- Ensure that the following standards and policies are maintained during the recovery effort:
 - Financial data processing security and control policy
 - Anti-fraud policy
 - Information handling standards
- Provide reports and recommendations to the IMT as required
- Provide additional resources to other business units during the recovery effort as needed

Offices Services (Mailroom, Shipping / Receiving)

- Re-establish mail and shipping services
- Re-direct all mail and parcel receipts to the alternate operating location

Purchasing

- Manage all incident related purchasing
- Acquire office supplies, forms and equipment for affected business units
- Implement any necessary short-term financial tracking controls, utilizing the designated expense account number

Incident Management Checklist

Insurance

- Coordinate with insurance broker on all insurance matters
- Coordinate with insurance broker on the preparation and filing of all insurance claims
- Document proof of losses
- Submit claims

Records Management

- Coordinate with IT to ensure the recovery of the Records Management System
- Coordinate with Business Units in retrieving all off site backup records
- Lead records reclamation effort

Distribution

- Coordinate notification of the incident to Distribution Centers and Direct Operations
- Provide support in the event of a Distribution Center incident

Transportation

- Implement any required local shuttle services as required
- Provide transportation during response and recovery activities as required

Food Services

- Provide food services to recovery personnel at the alternate operating locations

Track Incident Status and Recovery Progress:

Throughout the duration of the recovery effort, the status of the incident and recovery progress will be tracked by the Recovery Coordinator.

Periodic status updates will be provided to the Incident Manager who will then disseminate information to all internal and external parties involved in the recovery effort.