



# Disaster Preparedness and Recovery Plan

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## **Overview**

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The Foundation has proven itself to be a cornerstone of support to the Hudson Valley region, especially in times of need and disaster. When emergencies or disasters strike, the Foundation must be well-prepared to restore itself to full functioning as quickly and effectively as possible so that we are in a position to respond to the needs of our grantees.

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## **Policy Statement**

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It is the Dyson Foundation's policy to maintain a comprehensive Disaster Preparedness and Recovery Plan for all critical organization functions. Each department head is responsible for ensuring compliance with this policy.

The Dyson Foundation Plan is written with the following objectives:

- To ensure the life/safety of all Dyson Foundation employees throughout the emergency condition and recovery process.
- To reestablish the essential organization related services provided by the Foundation within their required recovery window as identified in this recovery plan
- To suspend all non-essential activities until normal and full organization functions have been restored.
- To mitigate the impact to the Foundation's grantees through the rapid implementation of effective recovery strategies.
- To reduce confusion and misinformation by providing a clearly defined command structure and communication plan.

Please note that no two emergencies are identical. Therefore, no single plan of action can anticipate and address every possible circumstance. The instructions contained in this plan are intended to serve as guidelines only. They may not be appropriate in all cases. At no time should you risk your personal safety in complying with any of its provisions.

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## **Manual Distribution**

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All disaster recovery documentation is maintained electronically in Dropbox so that it may be accessed by all staff at any time, provided they have an internet connection. In the event of an internet outage, a hard copy will also be maintained in the supply room (copy room) facilities manual (shelf above the credenza, as well as in the emergency backpack stored in the reception area closet. Finally, the President, Director of Administration, Director of Finance and Information Technology Manager will maintain a hard copy at their homes.

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## **Event Scenarios and Risks**

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A disaster is defined as a disruption of normal organization functions where the expected time for returning to normalcy would impact the Foundation's ability to fulfill its commitments.

Risks to be considered include those from natural disasters (e.g. flood, tornado, hurricane, lightening), human error, facility/utility failures, terrorism or violence, and risks connected to IT and data security.

For the purpose of this plan, response will be based on the extent of the incident (short term, long term, full loss, partial loss, etc.) rather than the type of incident, because the recovery action will likely be similar regardless of the cause.

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### **Loss Prevention Preparedness**

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1. Heating, plumbing and air conditioning units will be regularly serviced.
2. Fire extinguishers will be maintained in the following locations: Basement stairwell, kitchen, and upstairs hallway.
3. A fire ladder is maintained in the upstairs hallway.
4. A first aid kit will be maintained in the 1<sup>st</sup> floor bathroom (main hallway).
5. Emergency exit signs, smoke detectors and security systems are tested annually.
6. Photographs of the building and its contents (for insurance purposes) will be maintained in Dropbox.

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### **Recovery Strategies**

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In order to facilitate a recovery in the event of a disaster, the Dyson Foundation has implemented the following recovery strategies. These strategies are categorized into three (3) levels. Each level is designed to provide an effective recovery solution appropriate for the duration of the emergency condition.

Level A – Short Term Outage	A business disruption of 1 to 5 business days requiring minimal restoration efforts and/or emergency recovery operations. Depending upon incident, the facility and primary IT systems may be intact, or there may need to be small-scale work-from-home arrangements.
Level B – Medium Term Outage	A crisis moderate in scope, resulting in a loss of some or all access to the facility and/or primary IT systems for up to four (4) weeks. Would likely involve work-from-home/alternate site arrangements and remote access.
Level C – Long Term Outage	A business disruption of more than four (4) weeks. A disaster including a complete loss of facility and/or primary IT systems. All critical business operations would be moved off-site. Would require large-scale work-from-home/alternate site and remote access. If building/operations could not be restored within two to three months, a permanent relocation would be considered.

During a disaster or emergency, the Foundation will endeavor to maintain ‘normal’ operations required to address time-sensitive, disaster-specific issues. No plan can anticipate or include procedures to address all the human, operational and regulatory issues raised during a disaster or emergency.

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### **Plan Activation**

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The Foundation President, an appointee, or successor may activate this Plan when it is necessary to manage and coordinate a disaster response. The decision to activate will be made in consultation with the Foundation management team (Director of Finance, Director of Programs, Director of Administration and Information Technology Manager), with possible consultation by the board of directors.

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## **Staff/Board Roles & Responsibilities**

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### **Board of Directors**

- Be available for emergency meetings, conference calls, approvals, etc.

### **President & CEO**

#### **Primary: President & CEO, Backup: Director of Administration**

- Along with the Director of Administration & IT Manager, assess the situation and determine what emergency response is required
- Make sure appropriate agencies are notified.
- Determine whether the office will be open or closed, and whether remote or offsite work is required
- For regional disasters, communicate with Town/County officials for an assessment of the situation
- As soon as possible, declare disaster Level (A/B/C) – appropriate business recovery/continuation plan will be followed
- Inform the Board of Directors and seek input as needed.
- Manage the overall response (delegating to management team as needed).
- Establish appropriate staffing for the recovery and monitor effectiveness.
- Approve the release of information by the Public Relation's Liaison
- Along with the Public Relations Liaison, act as the Foundation's "public face" to the community.
- Move Foundation toward stated recovery objectives.

### **Administration**

#### **Primary: Director of Administration, Backups: President & CEO, Director of Finance & Accounting**

- Assess damage to the facility and ensure that the Foundation's offices are returned to normal operations as quickly as possible.
- Assist in the development of alternate site or work-at-home arrangements as necessary.
- Oversee the investigation of property and equipment damage claims arising out of the event.
- Notify insurers and third party administrators as needed and initiate claims process. Collect and maintain documentation on all disaster information necessary for reimbursement from private insurance carriers, FEMA, SBA, and other agencies.
- Work with other staff to advise business partners and associates of the situation.
- As needed, reschedule meetings and events, notify/cancel delivery and maintenance services, and handle any other items pertaining to the administrative functioning of the office.
- If accessible, ensure that the website is updated with pertinent facts about the situation.
- In conjunction with IT Manager, arrange for resumption of disrupted services and for repair/replacement of damaged property and equipment

### **IT/Telecom**

#### **Primary: Information Technology Manager, Outside Support Services, Backup: Director of Administration**

- During duration of outage, implement and manage alternate IT services plan (rollover phones, establish emergency messaging, temporary workspace setup and relocation of equipment, etc.)
- Recover computer, telephone and other technology based on disaster recovery plan.

### **Program Department**

#### **Primary: Director of Programs, Backup: Sr. Program Officer**

- Determine if grant making will follow routine or disaster process, and proceed accordingly.
- Work with Public Relations liaison to communicate situation to grantees, the community, etc.

- Institute emergency grants and/or loan program for nonprofits in the affected areas.
- Liaise with other foundations, recovery organizations, and appropriate city and county offices.

## **Human Resources**

### **Primary: Director of Administration, Backups: President & CEO and Director of Finance & Accounting**

- Responsible for the “human” aspects of the disaster including post-event counseling, notification of next-of-kin, and answering questions related to compensation and benefits.
- Maintain current roster of personnel.
- Maintain emergency contact information.
- Ensure that any actions required for continuation of payroll and benefits are taken.
- Maintain a file of injuries and illnesses that includes results of investigations associated with the event.
- Oversee the investigation of injury claims arising out of the event.

## **Finance/Grants Management**

### **Primary: Director of Finance & Accounting, Backup: General Accountant**

- Contact financial institutions to determine accessibility of accounts and liquidity of assets.
- Maintain daily cash funding of all essential business processes.
- Prepare and maintain a cumulative cost report for the event.
- Ensure easy access to necessary capital.
- Process and track grants.
- Coordinate with President on all matters involving the need to exceed established purchase order limits.
- Establish and manage disaster accounts.
- Contact major, important, or recurring vendors for arrangements.

## **Public Relations**

### **Primary: Press Liaison, Backup: President & CEO**

- Will be briefed by the President and familiarize himself with the details of the event.
- Responsible for developing the media messages regarding the event and distributing to the current media list.
- As the primary media contact, be prepared to address a variety of questions.
- Monitor media coverage and provide rumor control.

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## **Vital Records**

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It is of critical importance that vital records be protected and accessible during a disaster and the subsequent restoration of business functions. The Foundation maintains a document retention policy for this purpose, which lists all vital business records and documents and the location where physical and/or electronic copies of the documents can be found (See [Appendix A](#)). Wherever possible, documentation should be scanned and stored electronically so that the Foundation is not dependent upon a hard copy which may be destroyed in the event of a disaster. A person or department has been assigned to oversee each set of records/documents, and it is the responsibility of that department or person to ensure that the Director of Administration is notified of any change in location of the data so that the record retention policy remains up to date.

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## **Disaster Notification/Communications**

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Communication among personnel regarding plan activation and event status may occur via one of three methods, depending on the circumstances of the particular emergency or outage.

- If the Foundation’s exchange server is functioning, communication may be made via email

- If the Foundation's phone system is operational, a message may be recorded on the dedicated inclement weather phone line (ext. 60). (See [Appendix B](#) for instructions)
- If neither option is available and/or depending upon the degree of urgency, calls will be made to the staff person's personal phone and/or texted to their mobile phone.

Communications with the public and grantees also need to be established. Depending on the emergency scenario and duration, the Foundation's information technology manager may activate an emergency recording providing information about the outage, and, once remote business functions have been reestablished, will forward callers to a staff person's cell or home phone.

### **Communications Contact Lists**

An emergency contact list for staff and board is maintained by the Director of Administration and will be updated annually.

Additionally, a record is maintained of other emergency services and facilities (i.e. fire, police, hospitals, etc.), as well as insurance companies and key vendors, etc.

(See [Appendix C](#) for lists)

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### **Building Evacuation**

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Any decision to evacuate the building will be made by the most senior staff person on site. If ordered to evacuate the building:

1. Remain calm.
2. Immediately proceed to the nearest, safe exit. Assist visitors and colleagues whenever possible without jeopardizing personal safety.
3. Take personal belongings with you. Assume you have no more than one minute to safely collect your belongings.
4. If possible, shut down critical equipment/operations quickly and safely before exiting.
5. Proceed to the Foundation's Parking lot. If the lot is inaccessible, meet at the foot of the driveway on Halcyon Road.
6. The Director of Administration is responsible for counting personnel.
7. Remain at the designated assembly area until instructions are received.
8. Don't interfere with emergency personnel.

An emergency backpack will be mounted on the wall inside the reception area closet. The Director of Administration is responsible for keeping this kit current, and grabbing it on the way out of the building. The backpack includes the following materials:

1. Current Foundation staff and board contact list and emergency services contact list
2. Flashlight and back up batteries
3. First aid kit
4. A battery powered radio with backup batteries.

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### **Business Recovery Locations**

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In the event of a Level 3 disaster in which the Foundation needs to establish a temporary work facility, a review of local facilities that may have the capacity to host us will be undertaken. Below are examples of the type of

facility that might be appropriate. Once the length of outage and technology needs required have been determined, the Director of Administration and Information Technology Manager will contact these (or other) organization's to determine the best location for setup of temporary headquarters. This list will be evaluated annually.

- 1.
- 2.
- 3.

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## **Information Technology/Operations Preparedness**

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### **Level A – Short Term Outage (1 to 5 Days)**

If the **Phone System** is down...

**If Email** is down...

If there is a **Server** outage...

If there is a **Power outage** restoration is the responsibility of the utility company. Each server is attached to a battery backup and will stay running for about an hour each....

If an **individual is unable to make a Remote Desktop (RD) connection** ...

If the **Fax Machine** fails...

### **Level B – Medium Term Outage (Up to 4 Weeks):**

If the **building is inaccessible and all technology still functions** (i.e.: large scale renovations), all users would access the network via Remote Desktop or Terminal Server

If the **building is accessible and all technology isn't functioning** ...

If **building, phones, and technology, are inaccessible** ...

If **power is out for an undetermined period of time** ...

### **Level C – Long Term Outage (More than 4 Weeks):**

If **building, phones, and technology, are indefinitely inaccessible** ...

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## **Emergency Grant Making Procedures**

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In preparation for responding to a community-wide disaster, the Dyson Foundation will:

- Maintain a list of grantee organizations by county that offer safety net services like food, shelter, water, and clothing (see [Appendix E](#)). This list may ensure the Dyson Foundation can quickly disseminate information about availability of emergency grant funds in an event of a crisis. As the disaster response



continues, the Dyson Foundation may accept emergency grant requests from other organizations in the community.

- Produce a list of current active grantees with approved grants/scheduled upcoming payments (can be accessed in Foundation Connect via internet access).

Grantmaking staff will determine the response to an emergency primarily based upon when key IT systems will be restored.

### **Short**

For a brief outage of 2-3 days that restricts or eliminates staff's access to Foundation Connect, grant payments will not reviewed, approved or processed until operations resume.

### **Medium/Long Term Outage**

Program staff will contact the grantees with upcoming payments to notify them of any anticipated delays and/or details about the Foundation emergency. Program staff will consult with the financial team to arrange payments if necessary and, depending upon the nature of the disaster, to determine whether ACH payments or paper check payments are appropriate.

In addition to the measures above, in the event of a long-term outage the following actions will be taken:

Program staff will consult with the President and CEO if and how to proceed during an emergency.

In the event of a widespread internet outage the normal grantmaking process will resume once internet is restored.

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## **Emergency Finance Procedures**

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### **Short Term Outage**

Based on the program procedure that no grants will be reviewed, approved or processed in the event of not being able to access Foundation Connect for a time period of 2-3 days, it will not be necessary for the finance department to resume operations during the outage in relation to grants.

If there are any purchases that need to be made before the office is able to reopen in relation to replacing or repairing equipment, department supervisors may use their Dyson Foundation Amex cards. Regular financial operations will resume when the office reopens.

### **Medium/Long Term Outage**

During an extended outage (more than a few days) wherein the interim we would desire to be operating in the capacity of making grant and vendor payments the following would need to be accessible:

#### *Ability to Make Funds Available:*

In order to replenish our accounts for payment purposes we need to be able to contact key individuals who can transfer and authorize the movement of funds from one account to another their information is listed below.

## **Insert list here**

A password protected document which summarizes all the information pertaining to the Dyson Foundation's investment accounts and associated contacts s included in the Dropbox Disaster Recovery...

### *Need to Set up Channels for Receiving Mail/Invoices*

To ensure we are receiving our mail at our new temporary location, given that our office is unavailable to us, we need to set up a change of forwarding address with the USPS. This can be done online by visiting:

<https://moversguide.usps.com/icoa/icoa-main-flow.do?execution=e1s1>

### *Tools Necessary for Processing Payments*

Depending upon the parameters of our situation (access to DF server, power outages, access to email/internet) will depend on how we respond in completing our goals. Below are some basic situations that could occur and the corresponding response mechanisms.

## **1. Insert**

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### **Emergency Personnel Policies**

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In the event of an emergency, and depending upon the nature of the disaster, the board compensation committee, along with the President and Director of Administration, may need to consider the following questions:

1. May employees work flexible or reduced hours?
2. Are employees paid during evacuation/displacement? For how long?
3. Once the Foundation office is reopened, do evacuated employees get charged vacation/personal leave?
4. How long do employees have to return to work before termination?
5. Eligibility of employees for unemployment insurance?
6. What are the options on coverage for the Foundation's benefit plans? Will the Foundation continue to pay for evacuated employees who have not returned to work and for how long?
7. What resources should the Foundation consider for the support of the employees and their families during the emergency or disaster?



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**APPENDIX B – Emergency Phone Line Instructions**

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**APPENDIX C – Communications Contacts Lists**

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**EMERGENCY CONTACTS**

<b>Contact Organization</b>	<b>Telephone Number</b>
Ambulance	
Fire	
Hospital:	
Hospital:	
Police: State	
Police:	
Police:	
Red Cross	

**FACILITY & TECHNOLOGY VENDORS / SERVICES**

<b>Facility</b>		
HVAC		
Alarm		
Electric Service		
Electrical Repair		
Office Cleaning		
Oil Delivery Service and Furnace Repair & Maintenance		
Plowing/Mowing/Gardens		
Plumbing		
Sanitation/Recycling		
Water System		

<b>Technology</b>		
Phone System:		
Cable Connection for data (internet)		
T-1 connectivity for phones and fail-over for data		
General technology issues and restoration of server systems		

### **CRITICAL VENDORS / SERVICES (OTHER)**

Accountant/CPA		
Bank (DF checking)		
Bank (Halcyon & 1687 Properties)		
Investments (DF)		
Investments (DF)		
Payroll		
Banking (DF - money movement)		
Insurance*  Property General Liability Workers Comp Automobile Liability Directors & Officers Liability Travel Accident		
Insurance  Directors & Officers Liability		
Website		

#### **\*Insurance Companies/Policy Numbers**

Automobile Liability	
Commercial General Liability Insurance	
Directors & Officers Liability/Employment	

Property Insurance/Global	
Travel Accident	
Workers Compensation and Employers Liability	

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## **APPENDIX D – Optimum’s Call Forwarding Feature**

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## **APPENDIX E - Regional Primary Safety Net & Animal Welfare Organizations**

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### **Regional**

**American Red Cross Mid-Hudson Valley Chapter**

### **County Specific**

<p>This sample policy or practice has been selected for inclusion in the <a href="#">Policy Central</a> section of the National Center for Family Philanthropy’s Knowledge Center. <a href="#">Please read our Samples Disclaimer Policy statement.</a></p>
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