

**Subject Area #6**  
**Developing and Implementing BC Plans**  
**March 10, 2008**

**DRII/BCI Professional Practice:**

- Design, develop, and implement Business Continuity and Crisis Management plans that provide continuity within the recovery time objective and recovery point objective.

**Generally Accepted Practices (GAP) Notice:**

- This document is to serve as a repository of knowledge which is to be applied across various verticals
- This document contains a conceptual basis for Program development vs. an auditable checklist

<b>Subject Area 6 – Developing and Implementing BC Plans</b>				
<b>Sub Topic #1 PRE-PLANNING ACTIVITIES</b>	<b>#</b>	<b>What</b>	<b>How</b>	<b>Points of Reference</b>
<b>Pre-Planning Activities</b>	1	Ensure that an executive sponsor is assigned with oversight and budget authority for plan development and implementation.	<ul style="list-style-type: none"> <li>• Identify the highest level of management with oversight for the business process, function, or technology being covered by the continuity plan.</li> <li>• Request a person at that level be directly appointed or designate a direct report to sponsor development of the business continuity plan(s).                             <ul style="list-style-type: none"> <li>□ Executive officers such as the CFO, CIO, and market Presidents / Executives are the preferred sponsors.</li> </ul> </li> <li>• Meet with executive sponsor. Review the planning process, expected deliverables, resource requirements, and communication flow for status reporting.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Subject Area #1 : Project Initiation and Management</b></li> <li>• <u>NFPA 1600:2007</u>, Chapter 4, Program Management.</li> <li>• <u>HB 221:2004</u>, Introduction and Chapter 2.1-Developing the BCM Program, Step 1: Commencement.</li> <li>• <u>HB 292: 2006</u>, Chapter 2, Commencement of BCM; and Section 2.3, Gaining the Commitment of Management, Section 2.6, Gaining the Commitment of Others.</li> <li>• <u>BS 25999-1:2006</u>, Chapter 5 (BCM Programme Management)</li> <li>• <u>NIST SP 800-34: 2002, Contingency Planning for Information Technology Systems.</u>)</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>Determine how, when and by what means they wish to be informed of issues, completion milestones, cost, and progress in plan development.</li> </ul>	
	2	Ensure that a business continuity policy is defined.	<ul style="list-style-type: none"> <li>The business continuity planning process should be guided by a policy for the organization as a whole.</li> <li>Areas to be addressed in the Business Continuity Policy include:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Purpose</li> <li><input type="checkbox"/> Goals</li> <li><input type="checkbox"/> Scope</li> <li><input type="checkbox"/> Triggers &amp; Activation</li> <li><input type="checkbox"/> Implementation Process</li> <li><input type="checkbox"/> Compliance Requirements</li> <li><input type="checkbox"/> Glossary</li> </ul> </li> <li>The policy should be applicable across the enterprise. It should also provide high-level directives and implementation requirements for next-level organizations.</li> </ul>	<ul style="list-style-type: none"> <li><u>NFPA 1600:2007</u>, Chapter 4 (Program Management).</li> <li><u>BS 25999-1:2006</u>, Section 4 (The Business Continuity Policy)</li> <li><u>HB 221:2004</u>, Introduction and Chapter 2.1 (Developing the BCM Program, Step 1: Commencement)</li> <li><u>HB 292: 2006</u>, Chapter 2 (Commencement of BCM)</li> <li><u>Federal Executive Branch Continuity of Operations (COOP)</u>, FPC-65, June 15, 2005</li> <li><u>NIST SP 800-34: 2002</u>, Contingency Planning for Information Technology Systems.)</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• Where one does not exist, the executive sponsor should form a team with representatives from key departments to determine the organization's business continuity goals and the process that will be used to achieve them.</li> <li>• The Business Continuity Policy is usually written by a team including representatives from:                             <ul style="list-style-type: none"> <li>❑ Legal</li> <li>❑ Human Resources</li> <li>❑ Finance</li> <li>❑ Risk Management</li> <li>❑ Business Continuity</li> <li>❑ key lines of business</li> </ul> </li> </ul>	
	3	Define, clarify, and develop sponsor communication.	<ul style="list-style-type: none"> <li>• Communication with sponsors should update them on key issues and milestones in plan development.</li> <li>• If the organization does not have a pre-defined format for progress reports, confer with the sponsor, or designee, to determine what information needs to be included in the communication, how often it</li> </ul>	<ul style="list-style-type: none"> <li>• Subject Area 1. Project initiation and Management</li> <li>• <u>HB 292: 2006</u>, Section 2.6, Gaining the Commitment of Others; and Section 2.13, The Commencement Checklist.</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<p>should be provided, and what methods should be used to present the information</p> <ul style="list-style-type: none"> <li>• Topics to consider in the sponsor's status report include:                             <ul style="list-style-type: none"> <li>○ progress on plan completion</li> <li>○ major obstacles to plan completion and action needed to overcome them</li> <li>○ requests for approval to change scope, budget and / or scheduled completion dates</li> </ul> </li> <li>• Appropriate reviews / approvals for planning effort and content may be established using a RACI table.                             <ul style="list-style-type: none"> <li>○ RACI tables listing the reporting requirements along with the names of those responsible (R), accountable (A), consulted (C), and informed (I) in the process.</li> </ul> </li> </ul>	
	4	Define scope of activity required to develop the Business Continuity Plan(s).	<ul style="list-style-type: none"> <li>• Determine which locations, operations and departments business continuity plans will be developed for. (The BIA can be used to determine this.)</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004</a>, Introduction, and Chapter 2.1- Developing the BCM Program, Step 1: Commencement.</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• Identify key assumptions the business continuity plans are based on.</li> <li>• Identify any locations, operations, and departments not being included in the planning process, as determined from interviews with executive management.</li> <li>• Develop list of all plans required to ensure integrated recovery of business and technology infrastructure.                             <ul style="list-style-type: none"> <li>□ Business functions are recovered using the business continuity plans which are developed by the business departments.</li> <li>□ Technology infrastructure is recovered using the Disaster Recovery Plan, which is developed by the Information Technology.</li> </ul> </li> <li>• Incorporate above information into a statement of scope and present to executive sponsor for formal signoff.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 292: 2006, Chapter 2, Commencement of BCM; and Section 2.7, Establishing the Infrastructure of BCM.</a></li> <li>• <a href="#">NIST SP 800-34: 2002, Contingency Planning for Information Technology.</a></li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
	5	Review the organizational structure and identify those in the management hierarchy who will have overall responsibility for business continuity plan development at each level of the organization.	<ul style="list-style-type: none"> <li>• Identify executive and management owners for all mission-critical business activities.                             <ul style="list-style-type: none"> <li>❑ Mission critical activities are usually those that cannot be delayed or deferred.</li> <li>❑ They are activities considered vital to the organization's survival.</li> </ul> </li> <li>• Identify managers of operations and support functions with dependencies on these mission-critical activities.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004</a>, Chapter 8, Section 8.04, Identifying Stakeholders and their needs, and Section 8.5, Using IRACI.</li> </ul>
	6	Identify team members to be involved in the development of each business continuity plan.	<ul style="list-style-type: none"> <li>• The Business Continuity team should include                             <ul style="list-style-type: none"> <li>❑ Executive Sponsor</li> <li>❑ Line-of-Business Leaders</li> <li>❑ Department Heads and/ or Functional Managers</li> <li>❑ Process Leaders / Owners</li> <li>❑ Representatives from Mission-Critical Vendors and / or Suppliers</li> </ul> </li> <li>• The Business Continuity Team should be lead by a Project Manager.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004</a>, Chapter 2, Section 2.09, Resource Allocation.</li> <li>• <a href="#">Federal Executive Branch Continuity of Operations (COOP)</a>, FPC-65, June 15, 2005.</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• The Project Manager should review team composition to ensure each member has sufficient resources to complete the work assigned. Consider:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Availability</li> <li><input type="checkbox"/> Bandwidth</li> <li><input type="checkbox"/> Technical Expertise</li> <li><input type="checkbox"/> Knowledge of the Business</li> </ul> </li> </ul>	
	7	<p>Obtain formal approval of executive sponsor for project scope, schedule, resources and metrics.</p> <p>This information is usually contained in a document called the Project Plan or Project Charter.</p>	<ul style="list-style-type: none"> <li>• Develop the document that identifies:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Project Goal and Objectives</li> <li><input type="checkbox"/> Project Description</li> <li><input type="checkbox"/> Project Scope                                     <ul style="list-style-type: none"> <li>▪ Include outsourced and contract support services as well as those provided internally (e.g. IT)</li> </ul> </li> <li><input type="checkbox"/> Project Resources                                     <ul style="list-style-type: none"> <li>▪ Staffing for plan development, implementation, and maintenance</li> <li>▪ Tools &amp; Equipment</li> </ul> </li> <li><input type="checkbox"/> Business Case</li> <li><input type="checkbox"/> Metrics</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004, Template 11, The BCM Checklist.</a></li> <li>• <a href="#">Subject Area 3: Business Impact Analysis</a></li> <li>• <a href="#">HB 221:2004, Chapter 2.1- Developing the BCM Program, Step 5 Developing Resource and Interdependency Requirements; Template 5, Minimum Resource Requirements Worksheet.</a></li> <li>• <a href="#">HB 292: 2006, Chapter 4, Section 4.4, Identify Resource</a></li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>□ Communications, including project reporting schedule</li> <li>□ Project Timeline</li> <li>• Develop forms and templates required to track and monitor status of development and implementation activities, target dates, issue resolution and overall progress of the project.</li> <li>• Develop a presentation to review key elements of Project Plan / Project Charter with the Executive Sponsor and key members of the management team.</li> <li>• Obtain Executive Sponsor's approval.</li> </ul>	<p>Requirements; Template for Determining IT Application Dependencies.</p> <ul style="list-style-type: none"> <li>• FPC 65: 2002, Federal Preparedness Circular, Federal Executive Branch Continuity of Operations (COOP).</li> </ul>
	8	Develop plan format and content guidelines.	<ul style="list-style-type: none"> <li>• Develop Table of Contents, templates and format samples for the business continuity plans.</li> <li>• Identify level of detail required to complete the plan.</li> </ul>	
	9	Assemble plan development and implementation teams.	<ul style="list-style-type: none"> <li>• Develop contact list for plan development and implementation team(s).</li> </ul>	<ul style="list-style-type: none"> <li>• <u>HB 221:2004</u>, Chapter 2.1- Developing the BCM Program, Step 5 Developing Resource and Interdependency Requirements; Chapter 2.2-The BCM Workbook, Template 5,</li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
				Minimum Resource Requirements Worksheet.  <ul style="list-style-type: none"> <li>• <u>HB 292: 2006</u>, Chapter 4, Section 4.4, Identify Resource Requirements; Chapter 6, Assessing and Collating Resource Requirements; and Appendix G, Example of Consolidated Resource Mapping.</li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
Review Data Needed for Plan Development	1	Review risk assessment and/or Business Impact Analysis to validate which business functions and/or processes should be included in the plan.	<ul style="list-style-type: none"> <li>• Define threats to the business and its critical functions, e.g.:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> hurricane</li> <li><input type="checkbox"/> tornado</li> <li><input type="checkbox"/> flood</li> <li><input type="checkbox"/> wild fire</li> <li><input type="checkbox"/> civil unrest</li> <li><input type="checkbox"/> acts of terrorism</li> <li><input type="checkbox"/> mass transportation breakdowns</li> <li><input type="checkbox"/> utility failures, etc.</li> </ul> </li> <li>• Assess the impact of these treats. Areas of impact may include:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> regulatory</li> <li><input type="checkbox"/> legal</li> <li><input type="checkbox"/> operations</li> <li><input type="checkbox"/> technology</li> <li><input type="checkbox"/> financial</li> <li><input type="checkbox"/> information and data</li> <li><input type="checkbox"/> physical plant,</li> <li><input type="checkbox"/> brand and image</li> <li><input type="checkbox"/> Regulatory compliance impacts</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>NFPA 1600:2007</u></a>, Chapter 5, 5.3 Risk Assessment.</li> <li>• <a href="#"><u>PAS 56:2003</u></a>, <a href="#"><u>Guide to Business Continuity Management</u></a>, Section 6.3, Risk Assessment.</li> <li>• <a href="#"><u>HB 221:2004</u></a> Chapter 2.1-Developing the BCM Program, Step 2 Risk and Vulnerability Analysis.</li> <li>• <a href="#"><u>HB 292: 2006</u></a>, Chapter 3, Section 3.05, Identifying Risks; Section 3.13, The Risk Assessment Checklist; and Appendix B, Sources of Risk.</li> <li>• NIST SP 800-34: 2002, Contingency Planning for Information Technology Systems.)</li> <li>• Subject Area 3: Business Impact Analysis</li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• Assess probability using a percentage if known.</li> <li>• If not known, use a scale of 1-3 or 1-5 to rate likelihood of occurrence on a scale of low to high, or on rate of occurrence in a 5, 10, 25 or 50 year timeframe</li> <li>• Assess impact using a dollar value to estimate short and long-term financial loss.</li> <li>• If not known, use a scale of 1-3 or 1-5 to estimate severity of impact on the organization's reputation, its ability to meet regulatory/compliance requirements and its ability to meet contractual obligations.</li> <li>• Calculate the risk. Risk = Probability * Impact                             <ul style="list-style-type: none"> <li>□ Note: Where impact is seasonal or varies with time, use 'worst case' value, i.e. maximum impact.</li> </ul> </li> <li>• Incorporate results into a Risk Matrix.</li> <li>• Prioritize business continuity plan development based on risk.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004, Standards Chapter 2.1- Developing the BCM Program, Table 1, Examples of Disruption Impacts on the Organization.</a></li> <li>• <a href="#">HB 292: 2006, Chapter 3, Section 3.6, Analyzing Risk.</a></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	2	<ul style="list-style-type: none"> <li>➤ Utilize the Business Impact Analysis (BIA) to determine recovery goals, objectives and timeframes to be addressed in the business continuity plan(s).</li> </ul>	<ul style="list-style-type: none"> <li>• Identify and review information contained in the BIA with management team to determine which recovery goals, objectives and timeframes need to be addressed., including but not limited to:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> all critical business processes and/or systems,</li> <li><input type="checkbox"/> Recovery Time Objectives (RTOs),</li> <li><input type="checkbox"/> Recovery Point Objectives (RPOs),</li> <li><input type="checkbox"/> dependencies (vendors, internal/external suppliers) and</li> <li><input type="checkbox"/> cost of operation and recovery during prolonged outages.</li> </ul> </li> <li>• If any changes are needed, obtain approval from management team and document those changes in the BIA.</li> <li>• Identify most appropriate strategy and/or combination of strategies to recover the people, processes, and supporting technology critical to the business. These strategies may include:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Alternative site or business facility</li> <li><input type="checkbox"/> Warm site</li> <li><input type="checkbox"/> Cold Site</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Subject Area 3: Business Impact Analysis</a></li> <li>• <a href="#">BS 25999-1</a>. Chapter 6 (Understanding the Organization).</li> <li>• <a href="#">HB 221:2004, Standards</a>. Chapter 2.1- Developing the BCM Program, Step 3 Business Impact Analysis.</li> <li>• <a href="#">HB 292: 2006</a>. Chapter 4, Section 4.3, Confirming Critical Business Functions; 4.7, Identify Maximum Acceptable Outage Times and Recovery Objectives; and 4.11, The BIA Checklist.</li> <li>• <a href="#">NIST SP 800-34: 2002, Contingency Planning for Information Technology Systems</a>.</li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li><input type="checkbox"/> Drop Ship/Quick ship agreements</li> <li><input type="checkbox"/> Hot-Site Third party service providers</li> <li><input type="checkbox"/> Manual Procedures</li> <li><input type="checkbox"/> Mitigation</li> <li><input type="checkbox"/> Mobile Trailer</li> <li><input type="checkbox"/> Reciprocal agreements</li> <li><input type="checkbox"/> Warm Site</li> <li><input type="checkbox"/> Work from Home (telecommute)</li> </ul> <ul style="list-style-type: none"> <li>• Review recovery strategy with management team.</li> <li>• If changes are needed, document them in business continuity plan goals, objectives and assumptions.</li> </ul>	
	3	Document the dependencies with all processes identified as mission critical.	<ul style="list-style-type: none"> <li>• Identify dependencies between critical processes and support functions.</li> <li>• Document internal and external dependencies required to achieve the recovery objectives, including:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Hardware and software infrastructure</li> <li><input type="checkbox"/> LAN, WAN and telecommunications</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Subject Area 1: Project Initiation and Management</li> <li>• <a href="#"><u>Subject Area 3: Business Impact Analysis</u></a></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li><input type="checkbox"/> Vendor and 3<sup>rd</sup> party products or services</li> <li><input type="checkbox"/> Products and services produced internally</li> <li><input type="checkbox"/> Personnel and facilities</li> <li>• Develop a document that summarizes, or illustrates, the dependencies between mission-critical activities and the processes required to support them.</li> <li>• Include dependencies on other departments internal to the organization as well as those that are external.</li> </ul> <p>This summary should</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> State the Recovery Goal</li> <li><input type="checkbox"/> Review Critical Processes and Dependencies</li> <li><input type="checkbox"/> Identify the Recovery Goal for each Critical Process</li> <li><input type="checkbox"/> Identify the Strategy (or Combination of Strategies) Selected to Meet that Goal</li> </ul>	
	4	Identify and list vital records critical to business recovery.	<ul style="list-style-type: none"> <li>• Identify Vital Records required for recovery.</li> <li>• Identify retention periods for vital</li> </ul>	<ul style="list-style-type: none"> <li>• <u>ANSI / ARMA 5-2003.</u></li> <li>• <u>Subject Area 3: Business Impact</u></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
		<p>Vital Records (as defined by the ANSI/ARMA Vital Records Standard) contain information necessary to</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> continue operation or survival of an organization immediately following a crisis</li> <li><input type="checkbox"/> recreate the organization's legal and financial status</li> <li><input type="checkbox"/> preserve the rights and obligations of stakeholders, including employees, customers, investors, and citizens.</li> </ul>	<p>records including electronic and paper.</p> <ul style="list-style-type: none"> <li>• Review vital records backup, storage, and retrieval process to ensure consistency with RTO and RPO needs of the business.</li> <li>• Develop list of vital records required by business continuity plan.</li> <li>• Review and update periodically as part of routine plan maintenance.</li> </ul>	<p><u>Analysis</u></p> <ul style="list-style-type: none"> <li>• <u>ANSI / ARMA 5-2003</u></li> </ul>
	5	<p>Identify and itemize vendors critical to the organization's mission, core business processes and/or functions as validated in Step 3 above.</p>	<ul style="list-style-type: none"> <li>• Develop list of vendors and contractors whose services will be required by the business continuity plan.</li> <li>• Review and validate list with management team.</li> <li>• Include name, location, primary and backup contacts for each vendor / contractor on the list.</li> <li>• Review and update periodically as part of routine plan maintenance.</li> </ul>	<ul style="list-style-type: none"> <li>• <u>Subject Area 3: Business Impact Analysis</u></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	6	Identify key customers who will require notification when the business continuity plan is activated.	<ul style="list-style-type: none"> <li>• Develop list of key customers to be notified when the business continuity plan is activated.</li> <li>• Review/confirm list with management team.</li> <li>• Include name, location, primary and backup contacts for each customer on the list.</li> <li>• Review and update periodically as part of routine plan maintenance.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>Subject Area 3: Business Impact Analysis</u></a></li> </ul>
	7	<p>Document processes required to achieve Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO).</p> <p><u>Note:</u> other phrases which are consistent with RTO are Maximum Acceptable Outage Time (MAO) and Maximum Down Time.</p> <p>Maximum Acceptable Outage (MAO) is the maximum amount of time a system can be unavailable before its loss will compromise the organization's objectives or survival.</p>	<ul style="list-style-type: none"> <li>• Document tasks and activities required to achieve recovery objectives and timeframes for completion.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>Subject Area 3: Business Impact Analysis</u></a></li> <li>• <a href="#"><u>HB 292: 2006</u></a>, Chapter 4, Section 4.2, Developing Communications for the BIA and Table on Communication and the BIA.</li> </ul>

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Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
<b>Plan Documentation Components And Applying Finalized Data to Plan Content</b>	1	Define key areas that MUST be addressed in the Plan.	Plans must address the organization's: <ul style="list-style-type: none"> <li>• Legal &amp; Regulatory Requirements</li> <li>• Contractual Obligations</li> <li>• Work Area Recovery Requirements</li> <li>• IT and Telecommunication System Recovery Requirements</li> <li>• Staffing</li> <li>• Recovery Procedures</li> <li>• Disaster analysis, definition, notification and escalation procedures</li> <li>• Backups and alternate worksites.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>NFPA 1600 : 2007</u></a>, Section 5.8.3, Plans.</li> <li>• <a href="#"><u>PAS 56:2003. Guide to Business Continuity Management</u></a>, Section 8, Developing and Implementing BCM Plans.</li> <li>• <a href="#"><u>HB 221:2004</u></a> Chapter 2.2-The BCM Workbook, Template 6, Continuity Plan Worksheet.</li> <li>• <a href="#"><u>HB 292: 2006</u></a>, Chapter 7, Section 7.3, Contents of Plans: Specific), and Table on Assurance Issues and Evidence.</li> </ul>
	2	General	<ul style="list-style-type: none"> <li>• Identify plan and plan contents as "Confidential".</li> <li>• If plan is for government or defense departments, apply appropriate security classifications to each section of the document.</li> <li>• Documentation should be understandable and actionable by individuals with expertise in a particular area in the event that key personnel are not available.</li> </ul>	

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Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
	3	Assumptions	<ul style="list-style-type: none"> <li>• Document the assumptions that business continuity plan and recovery is based on.                             <ul style="list-style-type: none"> <li>❑ For example, if a subscription recovery facility is used, the assumption is that the facility will be available in the event of an event requiring relocation of services.</li> </ul> </li> <li>• Assumptions should clearly define                             <ul style="list-style-type: none"> <li>❑ RTO, RPO, and MAO</li> <li>❑ availability of recovery site or alternate work environment</li> <li>❑ notification and response times of support required to implement the business continuity plan.</li> </ul> </li> </ul>	
	4	Exclusions	<ul style="list-style-type: none"> <li>• Identify which activities are not covered by the business continuity plan.</li> <li>• Identify, with explanation of reason for doing so, which support processes and resources are specifically excluded from the business continuity plan.</li> <li>• Review exclusions with the management team and obtain approval to develop the plan with these exclusions.</li> </ul>	

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Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
	5	Compliance Statements	<ul style="list-style-type: none"> <li>• Identify any compliance requirements associated with development, maintenance and implementation of the plan.</li> <li>• Flag items in the plan which address key legal and/or regulatory requirements. (This aids audit, reporting and compliance requirements.)</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">BS 25999-2 : 2007</a> Section 5.1 (Internal Audit)</li> <li>• <a href="#">HB 292: 2006</a>, Chapter 9, Maintenance of BCM, Table on Assurance Issues and Evidence.</li> <li>• <a href="#">Federal Executive Branch Continuity of Operations (COOP)</a>, FPC-65, June 15, 2005.</li> </ul>
	6	Teams	<p>Identify team members, roles, responsibilities and contact information for all teams involved in implementing the plan, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Names of team leads, members and alternates</li> <li>• Reporting structure</li> <li>• Definition of roles &amp; responsibilities</li> <li>• Contact information including address (with zip code), primary and backup phone numbers in case of emergency,</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Subject Area 4: Developing Business Continuity Strategies</a></li> </ul>
	7	Declaration & Escalation	<ul style="list-style-type: none"> <li>• Document the disaster notification and declaration process including but not limited to                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Plan activation</li> </ul> </li> </ul>	

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li><input type="checkbox"/> Team activation</li> <li><input type="checkbox"/> Disaster Declaration authority</li> <li><input type="checkbox"/> Team notification and call-out procedure(s)</li> <li><input type="checkbox"/> Call Trees</li> </ul>	
	8	Supporting Resources	<ul style="list-style-type: none"> <li>• Identify each supporting resource</li> <li>• Identify which upstream and which downstream resources are required for the plan to meet its recovery objectives</li> <li>• Identify the interface requirements for each supporting resource                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Identify critical metrics (physical, timing, etc.) for each resource</li> </ul> </li> <li>• Reference external documents by title, section and page number as needed to balance plan detail with overall document size.</li> <li>• Use terminology commonly known by members of the business continuity team</li> <li>• Define any terms not commonly known in a glossary and include as appendix material to the plan.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>Subject Area 3: Business Impact Analysis</u></a></li> <li>• <a href="#"><u>Subject Area 4: Developing Business Continuity Strategies</u></a></li> </ul>

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
	9	Controls	<ul style="list-style-type: none"> <li>• Document recovery activities and Plan components requiring controls.</li> <li>• Explain objective and purpose of the control. Identify metrics and team member responsible for implementing the control(s)</li> <li>• Identify and/or cite authority (policy, regulatory, compliance, etc., and person) requiring the control</li> <li>• Identify incident management and controls required during plan implementation. For example:                             <ul style="list-style-type: none"> <li>❑ Expense reporting and signature authority limits</li> <li>❑ Inventory control and tracking</li> </ul> </li> </ul>	
	10	Recovery Process Flow	<ul style="list-style-type: none"> <li>• If the sequence of events in the business continuity plan can be displayed graphically, it will help to illustrate when different parts of the plan are executed and when resources are needed.</li> <li>• Identify upstream and downstream dependencies                             <ul style="list-style-type: none"> <li>❑ Upstream dependencies are defined by the organization's need fore goods and services in</li> </ul> </li> </ul>	

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<p>recovering its mission-critical business activities and implementing the plan.</p> <ul style="list-style-type: none"> <li>□ Downstream dependencies are defined by the need of clients, customers, and others requiring goods and services from the organization.</li> <li>• Identify each external supporting resource (to include supply chain)</li> <li>• Use product and process flows, graphics, and illustrations as needed to identify the sequence of activities in plan implementation.</li> <li>• Validate product and process flows with the management team to ensure they are accurate and consistent with the business activities being recovered.</li> </ul>	
	11	Plan and Sub-Plan Organization	<ul style="list-style-type: none"> <li>• Where necessary to simplify or segregate the work required for the recovery of mission-critical activities, complex plans and recovery procedures may be broken into sub plans that can be executed by individual teams.</li> <li>• Each sub plan should provide specific information for its team(s) and define their procedures for:</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Subject Area 4: Developing Business Continuity Strategies</a></li> <li>• Subject Area 5: Emergency Response and Operations</li> <li>• Subject Area 9: Public relations and Crisis Coordination</li> <li>• <a href="#">NFPA 1600 : 2007.</a></li> </ul>

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li><input type="checkbox"/> Notification and Activation</li> <li><input type="checkbox"/> Command and Control</li> <li><input type="checkbox"/> Internal Communication (e.g. employees and members of the organization)                             <ul style="list-style-type: none"> <li>▪ This should include a set of pre-scripted and pre-approved messages for scenarios most likely to cause business interruption.</li> </ul> </li> <li><input type="checkbox"/> External Communication (e.g. Media and the press)                             <ul style="list-style-type: none"> <li>▪ This should include a set of pre-scripted and pre-approved messages for scenarios most likely to cause business interruption.</li> </ul> </li> <li><input type="checkbox"/> Recovery of technology infrastructure &amp; tools plan</li> <li><input type="checkbox"/> Recovery of work area</li> <li><input type="checkbox"/> Recovery of staff and human resources</li> <li><input type="checkbox"/> Recovery of mission critical operations, including workarounds</li> </ul>	<p>Section 5.8.3, Plans.</p> <ul style="list-style-type: none"> <li>• <a href="#"><u>BS 25999-2 : 2007</u></a>, Section 4.3 (Developing and Implementing a BCM Response).</li> <li>• <a href="#"><u>HB 221 : 2004</u></a>, Chapter 2.2-The BCM Workbook, Step 6: Developing Continuity Plans; Template 6, Continuity Plan Worksheet; and Template 9: Minimum Standard for Content of BCM Plan. .</li> <li>• <a href="#"><u>HB 292 : 2006</u></a>, Chapter 7, Writing the Plan, Section 7.2, Contents of Plans: Generic, and Section 7.3, Contents of Plans: Specific, and Table on Assurance Issues and Evidence.</li> </ul>

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>❑ Recovery from supply chain disruption</li> </ul>	
	12	Appendix Material	<ul style="list-style-type: none"> <li>• Plans and sub plans may require additional material for ease of reference in plan implementation. This includes information related to:                             <ul style="list-style-type: none"> <li>❑ Validation schedule</li> <li>❑ Key contacts</li> <li>❑ Lists of vendors and suppliers</li> <li>❑ Off-site locations and vendor contacts for                                     <ul style="list-style-type: none"> <li>▪ retrieval of vital records</li> <li>▪ activation of hot-site, alternate workplaces and facilities where personnel will relocate</li> </ul> </li> <li>❑ Graphics that will assist in plan implementation including:                                     <ul style="list-style-type: none"> <li>▪ maps</li> <li>▪ floor &amp; site layouts,</li> <li>▪ photos</li> <li>▪ organization charts,</li> <li>▪ process and recovery flows</li> </ul> </li> </ul> </li> </ul>	

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #3 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>❑ Inventories of equipment and supplies</li> <li>❑ Requirements for                             <ul style="list-style-type: none"> <li>▪ Expense reporting and record keeping</li> <li>▪ Event tracking</li> <li>▪ Regulatory and legal compliance.</li> </ul> </li> </ul>	

## Subject Area 6: Developing and Implementing BC Plans

Sub Topic #4 FOLLOW-UP ACTIVITIES	#	What	How	Points of Reference
<b>Plan Maintenance and Update  (i.e. Continuous Improvement)</b>	1	Perform scheduled and/or unscheduled plan review <ul style="list-style-type: none"> <li>• <u>Scheduled reviews are conducted annually or bi-annually</u></li> <li>• <u>Unscheduled reviews are conducted</u> as major changes occur in product, process, personnel, and/or facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Schedule regular review of plans and recovery procedures.</li> <li>• Schedule audit of recovery and continuity plans.</li> <li>• Document changes to plans and sub plans.</li> </ul>	<ul style="list-style-type: none"> <li>• BS 25999-2 : 2007. Section 6.2 (Continual Improvement)</li> </ul>
	2	Post-Incident Documentation	<ul style="list-style-type: none"> <li>• Once teams have deactivated, debrief Emergency Response, Crisis Management and Business Continuity teams.</li> <li>• Review status reports and gather data.</li> <li>• Identify and prioritize key learnings.</li> <li>• Gather cost accounting detail.</li> <li>• Gather visual records of event, e.g. digital or hardcopy photos, newspaper reports, internal and external communications.</li> </ul>	

## External References: Standards, Guidelines & National Practice Publications

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AS/NZS 4360:2004 – Risk Management. Standards Australia /Standards New Zealand, August 2004. (ISBN: 0-7337-5904-1. Source: <http://www.saiglobal.com/>.)

BS 25999-1: 2006 – Business Continuity Management – Part 1: Code of Practice. BSI Business Information, November 2006. (ISBN: 0 580 49601 5. Source: <http://www.bsi-global.com/>.)

BS 25999-2: 2007 – Business Continuity Management – Part 2: Specification. BSI Business Information, November 2007. (ISBN: 978-0-580-59913-2. Source: <http://www.bsi-global.com/>.)

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Federal Information System Controls Audit Manual (FISCAM), January 1999. GAO. (Source: <http://www.gao.gov/special.pubs/>.)

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ISO/IEC 27001:2005 - Information technology -- Security techniques -- Information security management systems -- Requirements. International Standards Organization, October 2005. (Source: <http://www.27001.com/>.)

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Open for Business, Disaster Protection and Recovery Planning Toolkit for Small to Mid-Sized Business Owners. Institute for Business and Home Safety (IBHS), 2007. (Source: [http://www.disastersafety.org/business\\_protection/](http://www.disastersafety.org/business_protection/).)

PAS 56: 2003. Guide to Business Continuity Management.  
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(ISBN: 1-930699-45-X. Source: <http://www.pmi.org>.)

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