

**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.

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Subject Area 6 – Developing and Implementing BC Plans				
Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
Pre-Planning Activities for Developing a Plan	1	Ensure that an executive sponsor is assigned as oversight and authority for the plan development and implementation process. If this was accomplished as part of the Initiate Project phase, this will be a validation step.	<ul style="list-style-type: none"> <li>Identify the highest level management for the process, business function, or technology that is being targeted for the planning effort and request that level of management’s support either directly or by appointed designee. (Preferred sponsor is executive level management, e.g. CFO, CIO, market Presidents/Executives)</li> <li>Meet with designated executive sponsor. Review the planning process, the expected deliverables, resource requirements, and communication flow for status reporting and review of issues as the plan development effort proceeds.</li> <li>If the organization does not have a reporting format established, develop one that management agrees will meet its need for information on status, planned activities, risks, constraints and potential problems.</li> <li>If sponsor has not reviewed the project plan details for plan creation, review the approach to be taken for the plan development phase and when specific scope, schedule and cost information will</li> </ul>	<ul style="list-style-type: none"> <li>NFPA 1600:2004. <u>Standard on Disaster/Emergency Management and Business Continuity Programs</u>. Chapter 4, Program Management.</li> <li>PAS 56:2003. <u>Guide to Business Continuity Management</u>. Introduction and Figure 2: BCM Relationships.</li> <li>HB 221:2004, <u>Standards Australia /Standards New Zealand, Business Continuity Management</u>. Introduction and Chapter 2.1-Developing the BCM Program, Step 1: Commencement.</li> <li>HB 292: 2006, <u>Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management</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>NIST SP 800-34: 2002, <u>Contingency Planning for Information Technology</u></li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
			be provided.	Systems.)
	2	Ensure that a business continuity policy is defined.	<ul style="list-style-type: none"> <li>Ideally, there should be a policy for the organization as a whole but if one does not exist, then request the executive sponsor to issue a general policy statement for the process and functional areas being covered by this planning effort. (The Policy should be an enterprise Policy with attached executive directive and the next level organizations clarifying implementation and directive as required.)</li> </ul>	<ul style="list-style-type: none"> <li><u>NFPA 1600:2004. Standard on Disaster/Emergency Management and Business Continuity Programs.</u> Chapter 4 (Program Management).</li> <li><u>PAS 56:2003. Guide to Business Continuity Management.</u> Section 5.2 (Policy)</li> <li><u>HB 221:2004, Standards Australia /Standards New Zealand. Business Continuity Management.</u> Introduction and Chapter 2.1 (Developing the BCM Program, Step 1: Commencement)</li> <li><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management.</u> Chapter 2 (Commencement of BCM)</li> <li><u>Federal Executive Branch Continuity of Operations (COOP), FPC-65, June 15, 2005</u></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
	3	Define, clarify, and develop sponsor communication.	<ul style="list-style-type: none"> <li>• Request approval of strategy from executive sponsor and senior leadership team(s).</li> <li>• Seek advice on content from process or functional leaders for each organizational tier that is in scope and establish appropriate QA reviews/approvals for planning effort and content.</li> <li>• Communication should include BCP implementation stages and status for clarification and support potential assurance.</li> <li>• Communication/report requirements should identify and track function by who's responsible, who's accountable, who's consulted and who's informed.</li> <li>• Communication/report requirements can be mapped out using a RACI table identifying function (responsible / accountable / consulted / informed) per #5 below.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management, Section 2.6, Gaining the Commitment of Others; and Section 2.13, The Commencement Checklist.</a></li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
	4	Develop, present, and obtain approval for preliminary planning assumptions and exclusions.	<ul style="list-style-type: none"> <li>• Prepare a formal scope statement that outlines the assumptions and constraints for the BCP.</li> <li>• Obtain assumptions and exclusions from executive management and verify with Plan development interviewees</li> <li>• Review any additional assumptions and exclusions obtained from interviewees with executive management prior to inclusion,</li> <li>• The planning effort should address all plans required to ensure overall integrated continuity/disaster recovery.</li> <li>• Present scope statement for formal signoff.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004, Standards Australia /Standards New Zealand, Business Continuity Management, Introduction, and Chapter 2.1-Developing the BCM Program, Step 1: Commencement.</a></li> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management, 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>
	5	Review the organizational structure and document the management hierarchy that will be in scope of the planning effort.	<ul style="list-style-type: none"> <li>• Identify functional leaders</li> <li>• Identify process owners</li> <li>• Verify organizational/structural analysis with executive sponsor and/or senior leadership team(s)</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">PAS 56:2003. Guide to Business Continuity Management, Annex A, RACI Participants in the BCM Cycle.</a></li> <li>• <a href="#">HB 221:2004, Standards Australia /Standards New Zealand, Business Continuity Management, Chapter 8, Section 8.04, Identifying Stakeholders and their needs, and Section 8.5, Using IRACI.</a></li> </ul>

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Sub Topic #1 PRE-PLANNING ACTIVITIES	#	What	How	Points of Reference
	6	Ensure that contact information, availability to the project, and supervisory approval have been obtained for those who will be involved in BC Plan development.	<ul style="list-style-type: none"> <li>• The professional practitioner should be sufficiently familiar with the organization to build a preliminary list of contacts for the team that is needed to support the plan development process.</li> <li>• The team members may be process leaders or functional area managers. (Clients and/or suppliers of functional areas should be interviewed as required.)</li> <li>• Review/confirm team members with executive sponsor and/or senior leadership team(s) to ensure that those resources will be authorized and responsive to work on the planning effort.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004, Standards Australia /Standards New Zealand, Business Continuity Management, Chapter 2, Section 2.09, Resource Allocation.</a></li> <li>• <a href="#">Federal Executive Branch Continuity of Operations (COOP), FPC-65, June 15, 2005.</a></li> </ul>
	7	Define project scope, schedule and reporting points and obtain management approval.	<ul style="list-style-type: none"> <li>• Refer to assumptions and exclusions above.</li> <li>• Develop a succinct project outline and presentation for management to review, discuss and approve.</li> <li>• Ensure that all supporting components of critical processes are included in the Plan, including but not limited to IT, business processes, workplace, staff, suppliers, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management, Template 11, The BCM Checklist.</a></li> </ul>

## Developing and Implementing BC Plans

Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
<b>Gathering Data to Use for Further Analysis and Consolidation</b>	1	Complete a risk assessment for the processes and/or areas to be included in the Plan.	<ul style="list-style-type: none"> <li>• Identify and define all potential risks to the process/functions to include regulatory, legal, operational, technological, financial, informational and physical security. Geographic characteristics may also need to be factored in.</li> <li>• Define applicable treats to the enterprise: these could include such factors as areas subject to hurricanes, tornados, floods, wild fires, civil unrest, acts of terrorism, mass transportation breakdowns, utility failures, and so forth.</li> <li>• Assess the probability of the threat occurring</li> <li>• Assess the impact from the threat occurring</li> <li>• Quantify/qualify the treat into a risk matrix.</li> <li>• Identify potential mitigations to reduce, eliminate or transfer the risk.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>NFPA 1600:2004. Standard on Disaster/Emergency Management and Business Continuity Programs. Chapter 5, Program Elements, Risk Assessment.</u></a></li> <li>• <a href="#"><u>PAS 56:2003. Guide to Business Continuity Management. Section 6.3, Risk Assessment.</u></a></li> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. Chapter 2.1-Developing the BCM Program, Step 2 Risk and Vulnerability Analysis.</u></a></li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 3, Section 3.05, Identifying Risks; Section 3.13, The Risk Assessment Checklist; and Appendix B, Sources of Risk.</u></a></li> <li>• <a href="#"><u>NIST SP 800-34: 2002, Contingency Planning for Information Technology Systems.)</u></a></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	2	Utilize the completed Business Impact Analysis (BIA) to confirm all critical business processes and/or systems, Recovery Time Objectives (RTOs), Recovery Point Objectives (RPOs), dependencies (vendors, internal/external suppliers) and financial impact for prolonged outages.	<ul style="list-style-type: none"> <li>• Review/confirm with the executive sponsor and/or senior leadership team(s) as a part of the Plan development scope.</li> <li>• Ensure all input is documented for use later on in writing the plan and ensure any new or modified information is included with the BIA documentation.</li> <li>• Outline planning assumptions to give to the process owners on the scope and parameters of the planning effort.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">PAS 56:2003. Guide to Business Continuity Management.</a> Section 6.2, Business Impact Analysis.</li> <li>• <a href="#">HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management.</a> Chapter 2.1-Developing the BCM Program, Step 3 Business Impact Analysis.</li> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management.</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
	3	Validate and/or clarify statements from senior management about the mission, vision, and goals of the process/functions being covered by the planning effort.	<ul style="list-style-type: none"> <li>Document mission, vision, and goals of the organization's process and functions as determined by validation process.</li> <li>Confirm with business unit or process owners, or their senior managers.</li> </ul>	
	4	Identify mission critical processes and any other processes that support the mission critical ones and may have potential impacts on them.	<ul style="list-style-type: none"> <li>Write executive summary covering the mission critical processes and their dependencies on other processes, internal or external.</li> <li>Review/confirm with management.</li> <li>Document process flow for use in Plan validation recommendations.</li> </ul>	
	5	Validate information about recovery goals, preliminary Recovery Time Objectives (RTO's) and Recovery Point Objectives (RPO's) with management to ensure that the scope and size of the plan development effort will meet the organization's information requirements.	<ul style="list-style-type: none"> <li>Review/confirm RTO's and RPO's with management.</li> <li>Review/confirm recovery strategies are aligned with the RTO's and RPO's, and if not, clarify and confirm the risk level exposure management is willing to take.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management, Chapter 4, Section 4.2, Developing Communications for the BIA and Table on Communication and the BIA.</a></li> </ul>



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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	6	Establish requirements for resources and organizational commitment to complete the plan development and implementation effort.	<ul style="list-style-type: none"> <li>• Resources will be needed to review and evaluate all data gathered prior to initiating the plan documentation process.</li> <li>• Resources will be needed to complete and verify the plan components.</li> <li>• Resources will be needed to review the finished plan.</li> <li>• Resources will be needed to implement the finished plan.</li> <li>• Resources will be needed to exercise the plan as part of implementation.</li> <li>• Resources will be needed to maintain the plan.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management.</u></a> Chapter 2.1-Developing the BCM Program, Step 5 Developing Resource and Interdependency Requirements; Template 5, Minimum Resource Requirements Worksheet.</li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia/Standards New Zealand, Practitioners Guide to Business Continuity Management.</u></a> Chapter 4, Section 4.4, Identify Resource Requirements; Template for Determining IT Application Dependencies.</li> <li>• FPC 65: 2002, Federal Preparedness Circular, Federal Executive Branch Continuity of Operations (COOP).</li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	7	Make sure that all impacts have been analyzed and recorded if not captured by the BIA.	<ul style="list-style-type: none"> <li>• Customer impacts</li> <li>• Financial impacts</li> <li>• Legal impacts</li> <li>• Operational impacts</li> <li>• Regulatory compliance impacts</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management, Chapter 2.1-Developing the BCM Program, Table 1, Examples of Disruption Impacts on the Organization.</u></a></li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management, Chapter 3, Section 3.6, Analyzing Risk.</u></a></li> </ul>

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Sub Topic #2 GATHERING DATA	#	What	How	Points of Reference
	8	Identify and itemize vital records critical to the organization to include any critical tools or processes used in the retention process.	<ul style="list-style-type: none"> <li>• Identify policy for vital records. If policy does not exist, work with executive sponsor to develop one.</li> <li>• Identify Vital Records throughout the organization</li> <li>• Understand retention periods for vital records including electronic and paper.</li> <li>• Review/confirm appropriate backup and/or storage for vital records.</li> <li>• Review/confirm system and data back up strategies will meet the RPO from the BIA requirements for each critical system identified.</li> <li>• Review vital records list to ensure that all records needed for mission critical processes are covered in the back up and retention adequately to meet the RPO.</li> <li>• Compliance with record keeping standards needs to be maintained at time of business interruption or disaster.</li> <li>• Review/confirm list with management.</li> <li>• Review and update regularly.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>ARMA 5-2003, Vital Records: Identifying, Managing, and Recovering Business-Critical Records.</u></a></li> </ul>
	9	Identify and itemize vendors critical to the organization's mission, core business processes and/or functions as validated in Step 3 above.	<ul style="list-style-type: none"> <li>• Review/confirm list with management to include name, location, contact information and alternates to each.</li> <li>• Review and update regularly.</li> </ul>	

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<b>Sub Topic #2 GATHERING DATA</b>	<b>#</b>	<b>What</b>	<b>How</b>	<b>Points of Reference</b>
	10	Identify key customers for whom notification will be required at time of disaster or for whom a business work-around will be essential. Include required escalation procedures and parameters.	<ul style="list-style-type: none"> <li>• Review/confirm list of key customers with management.</li> <li>• Document your key customer interfaces.</li> <li>• Keep list to use later.</li> </ul>	

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Sub Topic #3 DATA ANALYHSIS & CONSOLIDATION	#	What	How	Points of Reference
<b>Complete Data Analysis and Consolidation for Use in Plan Content</b>	1	Confirm that overall recovery time objectives are achievable with recovery performance capabilities.	<ul style="list-style-type: none"> <li>• Ensure total RTO meets Plan and customer objectives.</li> <li>• Validate information received with exercise times.</li> <li>• Ensure that up and downstream processes and components align with provided RTO's</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>PAS 56:2003. Guide to Business Continuity Management. Section 6.2, Business Impact Analysis.</u></a></li> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. Chapter 2.1-Developing the BCM Program, Step 3 Business Impact Analysis</u></a></li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 4, Section 4.3, Confirming Critical Business Functions; 4.7, Identify Maximum Acceptable Outage Times and Recovery Objectives; and Template on Determining the Minimum Acceptable Outage Time.</u></a></li> </ul>

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Sub Topic #3 DATA ANALYHSIS & CONSOLIDATION	#	What	How	Points of Reference
	2	Confirm that overall recovery point objectives are achievable with recovery performance capabilities.	<ul style="list-style-type: none"> <li>• Ensure total RPO meets Plan and customer objectives.</li> <li>• Validate information received with exercise times.</li> <li>• Ensure that up and downstream processes and components align with provided RPO's</li> </ul>	

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Sub Topic #3 DATA ANALYHSIS & CONSOLIDATION	#	What	How	Points of Reference
	3	Finalize personnel and resource requirements to develop and implement the plan.	<ul style="list-style-type: none"> <li>• Develop contact list for plan development/implementation team(s).</li> <li>• Develop action plan such as a project plan or a Team Action Record to track and monitor status of the plan development and implementation activities, target dates, responsibility, issues, progress, and comments.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management</u></a>. Chapter 2.1-Developing the BCM Program, Step 5 Developing Resource and Interdependency Requirements; Chapter 2.2-The BCM Workbook, Template 5, Minimum Resource Requirements Worksheet.</li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management</u></a>. 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 #3 DATA ANALYSIS & CONSOLIDATION	#	What	How	Points of Reference
	4	Review, clarify and understand the recovery alternatives available for each critical business function as well as cost analysis.	<p>Review/confirm selected recovery solutions such as:</p> <ul style="list-style-type: none"> <li>• Alternative site or business facility</li> <li>• Warm site</li> <li>• Cold Site</li> <li>• Drop Ship/Quick ship agreements</li> <li>• Hot-Site Third party service providers</li> <li>• Manual Procedures</li> <li>• Mitigation</li> <li>• Mobile Trailer</li> <li>• Reciprocal agreements</li> <li>• Warm Site</li> <li>• Work from Home (telecommuting)</li> </ul> <p>Note: See Strategies Best Practices</p>	<ul style="list-style-type: none"> <li>• <a href="#">PAS 56:2003. Guide to Business Continuity Management. Section 7, BCM Strategies.</a></li> <li>• <a href="#">HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. (Chapter 2.2-The BCM Workbook, Template 3, Strategy Development Worksheet.</a></li> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 4, Section 4.8, Determining Alternate Workarounds.</a></li> </ul>



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Sub Topic #3 DATA ANALYHSIS & CONSOLIDATION	#	What	How	Points of Reference
	5	Consider various approaches to developing the BCP documentation and effort.	<ul style="list-style-type: none"> <li>• Vertical integrated planning is based upon hierarchical or functional tiers with each tier mapped to the tier above and below it.</li> <li>• Tiers may also require to be horizontally integrated as co-processes or interdependencies.</li> <li>• Tiers should incorporate references to other plans relevant to the plan you are working on, such as IT, third party service providers, work area, network, etc.</li> <li>• Consider the operational and response issues for Plan implementation.</li> <li>• Include confidentiality and Plan distribution considerations in the Plan format.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management</a>. Chapter 7, Writing the Plan, Guiding Principles: The Framework of Plans.</li> </ul>
	6	Determine if a Business Case Analysis needs to be completed and documented for the recovery plan strategy.	<ul style="list-style-type: none"> <li>• This is part of the Strategies phase but should be verified as part of the Plan development and validation phases. The final strategy of mitigation or recovery should have this analysis as input and used in the strategy decision.</li> <li>• Make sure that the proposed solution costs are consistent with the risk adjusted loss from an event. (See Risk Assessment section above)</li> </ul>	

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Sub Topic #3 DATA ANALYSIS & CONSOLIDATION	#	What	How	Points of Reference
	7	Review/confirm recovery site selection and build-out requirements.	<ul style="list-style-type: none"> <li>• Use this information to document the component recovery phase processes. Also impacts RTO.</li> <li>• It is possible that this particular step may require a sub-team to gather and document detailed specifications.</li> </ul>	

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Sub Topic #3 DATA ANALYSIS & CONSOLIDATION	#	What	How	Points of Reference
	8	Define key parameters that the Plan MUST address.	<p>Key parameters may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Legal &amp; Regulatory Requirements</li> <li>• Contractual &amp; Agreements</li> <li>• Plans should draw distinction between recovering business process (including workplace and personnel) vs. technology</li> <li>• Workplace</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 1600:2004. Standard on Disaster/Emergency Management and Business Continuity Programs. Section 5.7.2, Plans.</u></a></li> <li>• <a href="#"><u>PAS 56:2003. Guide to Business Continuity Management. Section 8, Developing and Implementing BCM Plans.</u></a></li> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. Chapter 2.2-The BCM Workbook, Template 6, Continuity Plan Worksheet.</u></a></li> <li>• <a href="#"><u>HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 7, Section 7.3, Contents of Plans: Specific), and Table on Assurance Issues and Evidence.</u></a></li> </ul>

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Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
<b>Plan Documentation Components And Applying Finalized Data to Plan Content</b>	1	Overview and Scope	<ul style="list-style-type: none"> <li>• Include confidentiality statement and associated authority</li> <li>• Plans MUST honor all required “Confidentiality”</li> <li>• Plans should define activities for each phase of the Recovery (response, decision process, post event &amp; pre-recovery, DR production and “back to normal”)</li> <li>• If government or defense departments, apply appropriate security classifications to each section of the document.</li> </ul>	
	2	Assumptions	<ul style="list-style-type: none"> <li>• Document the assumptions that went into the planning effort. (e.g. 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> <li>• These items should clarify and define any issues related to, but not limited to, RTO, RPO, notification and recovery or mitigation ‘environment’, limitations or support expected.</li> <li>• Include any references that support the Plan implementation such as vendor BCP parameters, etc.</li> <li>• Identify any impact they may have on the Plan implementation.</li> </ul>	

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Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>Documentation should be understandable and actionable for individuals with expertise in a particular area in the event that key personnel are not available.</li> </ul>	
	3	Exclusions	<ul style="list-style-type: none"> <li>Clearly outline what the plan is not intended to cover.</li> <li>Specifically identify, with explanation of exclusion, what is excluded or supporting processes or resources not included.</li> <li>Identify any potential impact they may have.</li> </ul>	
	4	Compliance Statements	<ul style="list-style-type: none"> <li>Document Plan components that address specific key legal and/or regulatory issues. This aids audit, reporting and compliance requirements.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">PAS 56:2003. Guide to Business Continuity Management. Section 10.3, Audit.</a></li> <li><a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 9, Maintenance of BCM, Table on Assurance Issues and Evidence.</a></li> <li><a href="#">Federal Executive Branch Continuity of Operations (COOP), FPC-65, June 15, 2005.</a></li> </ul>
	5	Teams	Document the following team information:	

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Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• Key contacts</li> <li>• Reporting structure</li> <li>• Roles &amp; responsibilities</li> <li>• Contact information including but not limited to name, address (with zip code) phones numbers, emergency contacts and alternates.</li> <li>• For clarity, team names should match up and downstream Plan parameters.</li> </ul>	
	6	Declaration & Escalation process	<ul style="list-style-type: none"> <li>• Document the disaster identification and declaration process including but not limited to Declaration authorities and the initial Notification Procedure and/or checklist</li> </ul>	
	7	Supporting resources	<ul style="list-style-type: none"> <li>• These will normally be call back lists showing personnel and contact information.</li> <li>• Document the up and downstream resources for each process to ensure requirements are met</li> <li>• Document the interface requirements for each supporting resource</li> <li>• Identify critical metrics (physical, timing, etc.) for each resource</li> <li>• Reference detailed documentation as required to minimize Plan size,</li> </ul>	

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Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<p>especially resources with frequent changes or time constrained. Use known terminology and add a glossary as necessary</p> <ul style="list-style-type: none"> <li>Identify each external supporting resource</li> </ul>	
	8	Controls	<ul style="list-style-type: none"> <li>Document each Plan component requiring a control point, give a brief explanation of the objective and purpose of the control, the metrics and team responsible for the control</li> <li>Identify the control authority (policy, regulatory, compliance, etc., and person) as appropriate</li> <li>Identify incident management (reporting, audit, budget, etc.) and tracking (inventory control, reporting, etc) controls and the associated authority and policy or regulation.</li> </ul>	
	9	Recovery flow	<ul style="list-style-type: none"> <li>If the sequencing of events can be displayed graphically, it can help to understand when different part of the plan is executed and also when resources are needed.</li> <li>Develop the Plan structure to support the Process Operational and Recovery flow</li> </ul>	

## Developing and Implementing BC Plans

Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
			<ul style="list-style-type: none"> <li>• Document the Plan for each sub-component and functional area to allow appropriate distribution and support required Confidentiality.</li> <li>• Identify up and downstream requirements and dependencies</li> <li>• Document any component assumptions</li> <li>• Use graphics as appropriate for clarification and for inclusion in the Plan validation process</li> <li>• Identify each external supporting resource (to include supply chain).</li> </ul>	



## Developing and Implementing BC Plans

Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
	10	Plan Overviews	<p>Provide an overview of each sub-component of the overall Plan, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Command and Control</li> <li>• Communication plan (internal and external)</li> <li>• Media Interface plan (pre-scripted and approved messages)</li> <li>• Technology &amp; tools plan</li> <li>• Workplace plan</li> <li>• Staffing plan</li> <li>• Operational procedures plan for each phase of the recovery, such as interim work-arounds</li> <li>• Supply chain plan dependencies and work-arounds</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">NFPA 1600:2004. Standard on Disaster/Emergency Management and Business Continuity Programs. Section 5.7.2, Plans.</a></li> <li>• <a href="#">PAS 56:2003. Guide to Business Continuity Management. Section 8, Developing and Implementing BCM Plans; and Annex B.5, Developing and Implementing BCM Plans.</a></li> <li>• <a href="#">HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. 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.</a></li> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. 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.</a></li> </ul>

## Developing and Implementing BC Plans

Sub Topic #4 DOCUMENTATION & APPLYING DATA TO PLAN	#	What	How	Points of Reference
	11	Appendices	<ul style="list-style-type: none"> <li>• Validation schedule</li> <li>• Key internal contacts detailed information</li> <li>• Vendor &amp; suppliers detailed information</li> <li>• Off-site resource information (vital records, hot-site, workplace relocation, etc.)</li> <li>• Graphics (maps, floor &amp; site layouts, photos, organization charts, process and recovery flow, etc)</li> <li>• Inventories</li> <li>• Sub-plan details as applicable</li> <li>• Reporting requirements</li> <li>• Event tracking requirements</li> <li>• Compliance requirements and references</li> </ul>	

## Developing and Implementing BC Plans

Sub Topic #5 FOLLOW-UP ACTIVITIES	#	What	How	Points of Reference
<b>Follow-up Activities</b>	1	Plan status report	<ul style="list-style-type: none"> <li>• Document a summary of the current state of the Business Continuity Program including processes included, excluded, and any open items (or planning gaps). Emphasis should be given to potential issues and the results expected with Plans as developed.</li> <li>• Provide schedule for periodic audit of overall program.</li> <li>• Document changes to plan components.</li> </ul>	
	2	Plan recommendations report to include but not limited to: <ul style="list-style-type: none"> <li>• Confidentiality</li> <li>• Plan Maintenance &amp; distribution</li> <li>• Validation process</li> <li>• Audit process</li> <li>• Training requirements</li> <li>• Awareness program</li> <li>• Command and control</li> </ul>	<ul style="list-style-type: none"> <li>• This report should be guidelines for each of the aforementioned items and/or issues.</li> <li>• Validate issues with appropriate teams and review with and obtain approval from the executive sponsor for this plan development effort.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#"><u>NFPA 1600:2004. Standard on Disaster/Emergency Management and Business Continuity Programs. Chapter 13, Exercises, Evaluations and Corrective Actions.</u></a></li> <li>• <a href="#"><u>PAS 56:2003. Guide to Business Continuity Management. Annex b, Section 7 – Exercising, Maintenance and Audit.</u></a></li> <li>• <a href="#"><u>HB 221:2004, Standards Australia/Standards New Zealand, Business Continuity Management. Section 2.1, Step 8,</u></a></li> </ul>

## Developing and Implementing BC Plans

Sub Topic #5 FOLLOW-UP ACTIVITIES	#	What	How	Points of Reference
				<p>Training, Maintaining and Testing Plans; and Template 10: Training and Testing Development Worksheet.</p> <ul style="list-style-type: none"> <li>• <a href="#">HB 292: 2006, Standards Australia /Standards New Zealand, Practitioners Guide to Business Continuity Management. Chapter 9, Maintenance of BCM; Section 9.3, Performance and 9.6, The Maintenance Checklist.</a></li> </ul>
	3	Post-Incident Documentation	<ul style="list-style-type: none"> <li>• Once teams have been deactivated, debrief Emergency Response, Crisis Management and Business Recovery 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

ANSI / ARMA 5-2003 – Vital Records: Identifying, Managing, and Recovering Business-Critical Records. ARMA International, March 2003. (ISBN: 1-931786-12-7. Source: <http://www.arma.org/>.)

ANSI / NFPA 1600:2004 – Standard on Disaster Management and Business Continuity Programs. National Fire Protection Association, January 2004. (Source: <http://www.nfpa.org>.)

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>.)

Business Continuity Guideline, A Practical Approach to Emergency Preparedness, Crisis Management, and Disaster Recovery. ASIS International, 2005. (Source: <http://www.asisonline.org/guidelines/guidelinesbc.pdf>.)

FFIEC – Business Continuity Planning Booklet. Federal Financial Institutions Examination Council (FFIEC), March 2003. (Source: [http://www.ffiec.gov/ffiecinfobase/booklets/bcp/bus\\_continuity\\_plan.pdf](http://www.ffiec.gov/ffiecinfobase/booklets/bcp/bus_continuity_plan.pdf).)

Federal Information System Controls Audit Manual. General Accounting Office (GAO), July 1999. (Source

HB 292: 2006 – Practitioners Guide to Business Continuity Management. Standards Australia /Standards New Zealand, June 2006. (ISBN: 0-7337-7472-5. Source: <http://www.saiglobal.com>.)

HB 293: 2006 – Executive Guide to Business Continuity Management. Standards Australia /Standards New Zealand, June 2006. (ISBN: 0-7337-7488-1. Source: <http://www.saiglobal.com>.)

ISO/IEC 17799:2005 – Information Technology Security Techniques - Code of Practice for Information Security Management. International Standards Organization, June 2005. (Source: <http://www.iso.org>.)

NARA – Primer on Disaster Preparedness, Management, and Response for Paper-Based Materials. National Archives and Records Administration (NARA), October 1993. (Source: <http://www.archives.gov/preservation/emergency-prep/disaster-prep-primer.pdf>.)

NIST 800-30 – Risk Management Guide for Information Technology Systems. National Institute of Standards and Technology (NIST), July 2002. (SP 800-30. Source: <http://csrc.nist.gov/publications/nistpubs/800-30/sp800-30.pdf>.)

Open for Business, Disaster Planning Toolkit for Small to Mid-Sized Business Owners. Institute for Business and Home Safety (IBHS), January 2005. (Source: <http://www.ibhs.org/docs/OpenForBusiness.pdf>.)

RiskWatch - RiskWatch Information Security product Suite includes software for vulnerability assessments, risk analyses and compliance reviews of information systems specifically for ISO 17799-2005), GLBA-FFIEC, HIPAA, and SOX.  
(Source: <http://www.riskwatch.com/>.)

TR 19: 2005 – Technical Reference for Business Continuity Management. SPRING Singapore, 2005.  
(ISBN: 981-4154-13-X. Source: <http://www.spring.gov.sg>.)