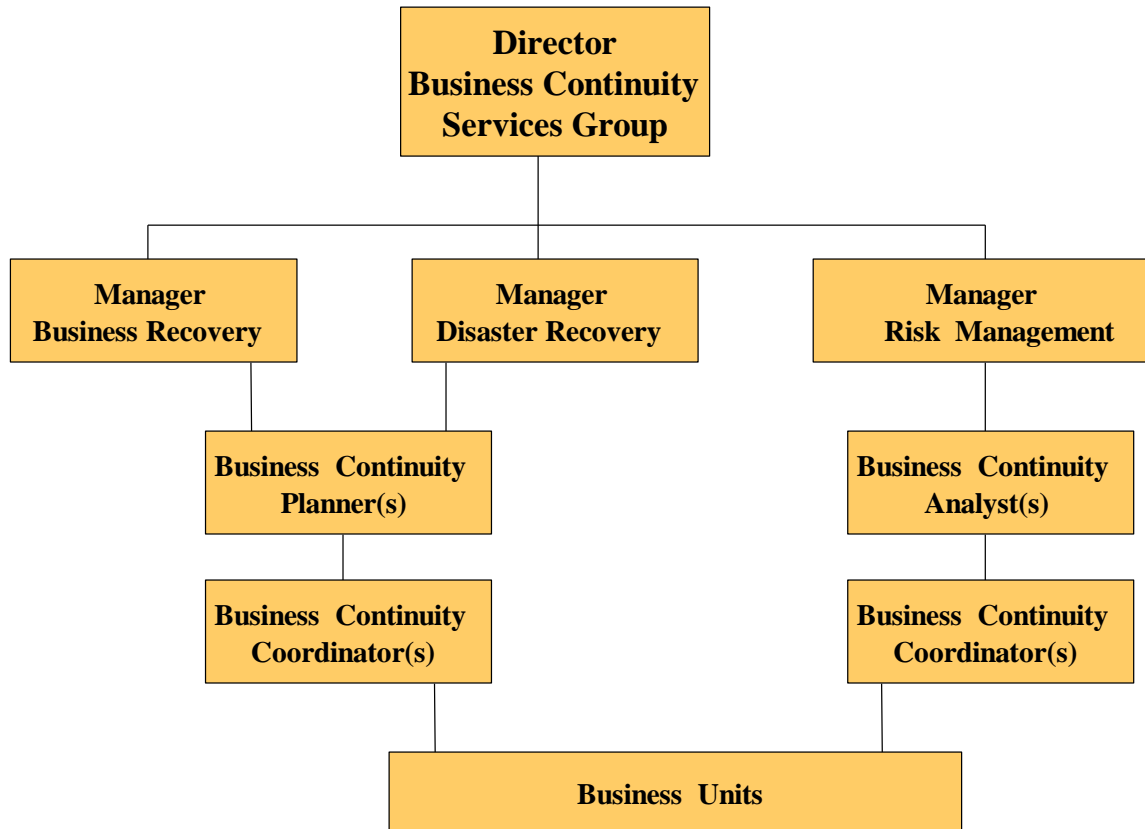


## **Business Continuity and Disaster Recovery Job Descriptions**

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## Business Continuity Services Organization Chart

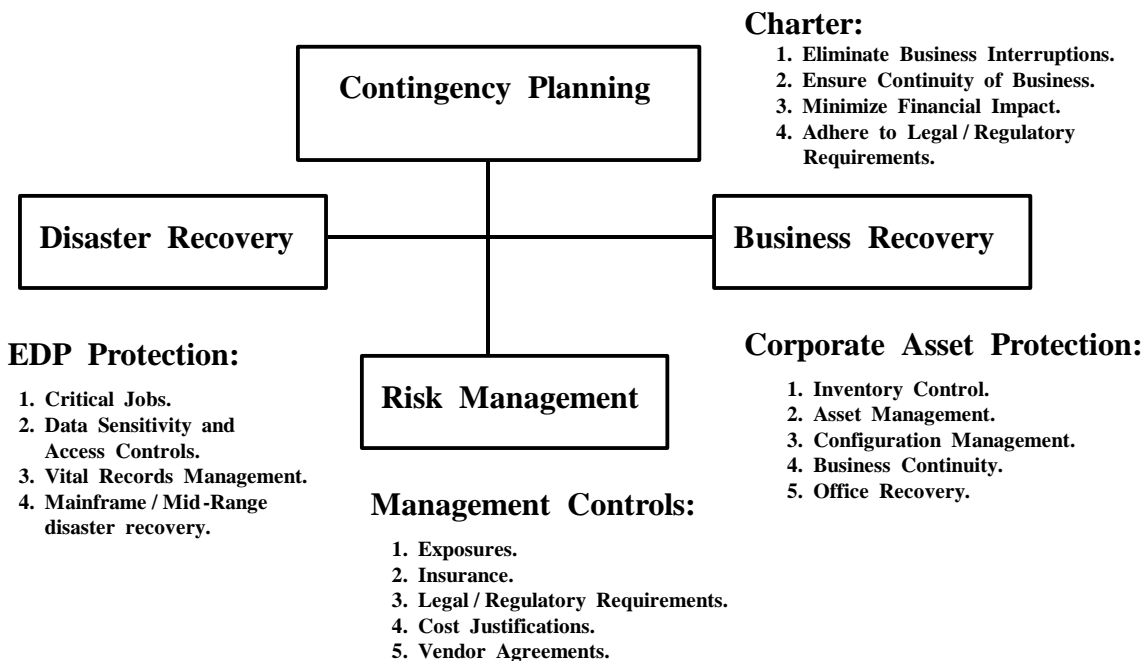


The following document contains job descriptions for the positions listed above. It is intended to assist managers responsible for providing Business Continuity Planning, Support, and Maintenance services throughout the organization.

## Director – Business Continuity Services Group

### Description:

Manage the implementation and day-to-day functions related to creating Business Continuity Plans and Procedures, while also managing Disaster Recovery operations within the firm. Responsible for interfacing with senior management and regulatory auditors, while also implementing and supporting the services listed below.



**Contingency Planning** – Identify potential Business Interruptions, develop safeguards against these interruptions, and implement recovery procedures in the event of a business interruption. Provide documentation and training on Contingency Planning concepts and procedures.

**Disaster Recovery** – Safeguard data processing operations by identifying potential problem areas and single points of failure that may result in interruptions to critical data processing operations. Develop and implement Disaster Recovery, Data Sensitivity, Library Management, Back-up and Recovery, and Disaster Recovery Plans and Procedures.

**Business Recovery** – Develop safeguards and Business Recovery Plans and Procedures governing the remote Business Offices and Operations associated with the organization. Insure that Corporate Asset Protection procedures cover critical Business Resources located at Business Offices.

**Risk Management** – Identify and Categorize outage exposures that could cause a business interruption, then obtain Insurance and Vendor agreements to safeguard against a disaster event. Responsible for insuring that Business and Regulatory Requirements are adhered to and that implemented recovery procedures and contracts are cost justifiable.

## **Recovery Program Coordination Functions:**

A	Assume ownership and management of the overall business recovery process
B	Assume responsibility for ensuring the development of EACH of the recovery plans by each of the recovery team leaders
C	Schedule and conduct project planning sessions as required
D	Perform a company-wide Business Impact Assessment (BIA)
E	Monitor the business recovery plan development and scheduled deliverables from each team
F	When complete, publish the plan and distribute to: the appropriate team leaders, backups, other staff, and a copy to offsite storage
G	Ensure maintenance of the plans through annual review and team leader updates as changes take place. A periodic and comprehensive assessment to ascertain the program effectiveness is required (semi-annually)
H	Develop and give overview presentations internally and provide training to ensure continued awareness
I	Review and reconcile recovery plans
J	Schedule, attend, coordinate and conduct planned tests <ul style="list-style-type: none"><li>• Document problems</li><li>• Assign problem resolution to individual(s)</li><li>• Monitor to ensure correction</li></ul>
K	Provide reports to management
L	Most important, ensure that all plans are backed up weekly and rotated to off site storage
M	Perform a business wide Hazard Identification and Risk Assessment
N	Ensure that a Hazard Mitigation process is in place
O	Ensures that a mechanism is in place for logistically tracking resources and that a Business Recovery Command Center or Emergency Operations Center has been established
P	Work with Help Desk, Operations Control Center, and Network Control Center personnel to ensure that problems are escalated to disaster event status when appropriate and to allow Help Desk personnel to initiate recovery procedures when appropriate

The Business Continuity services Group is responsible for developing, testing, implementing, supporting, and maintaining Business Recovery Plans. These plans all consist of five stages, which are:

### **Contingency Plan Stages**

Each recovery team plan is divided into five (5) major stages. Generally:

**STAGE 1 – Response** - Activity immediately following the event that will include life, health and safety actions. If possible, contain the source of the problem. Provide first aid, evacuate, phone emergency services, phone other team leaders, etc.

**STAGE 2 – Recovery** of work area and resources. When safe, or at another location, you must now start to restore your work environment. Until this has been completed, you cannot resume your business functions.

STAGE 3 – **Resumption** of business functions. At this stage, you are ready to resume certain business functions. Depending on the situation some or all of the functions will resume operation in a systematic and prioritized fashion. Also of note, if a function is resumed, it may be limited in scope for a period of time.

STAGE 4 – **Reconstruction** of damaged facility. This stage documents the steps you will need to take to get ready to relocate back to your reconstructed building.

STAGE 5 – **Relocation** back to your rebuilt facility. This stage documents the process you will take to move back.

## **Manager of Business Recovery Services**

### **Business Continuity Services Group - Overview**

The Business Continuity Services Group is chartered with analyzing recovery requirements associated with business units located externally from the data center. This group is responsible for providing an alternate facility, core computing systems equipment and support necessary to effect business continuance in the event of a disaster or some other emergency situation which would preclude normal operations at one of the company's primary business sites. The focus is on providing a comprehensive ability to recover systems and operations with minimal operating risk, positioning the company for future changes in geography, products and technology while minimizing expenses.

The group is also responsible for the development of and compliance with corporate guidelines for the company's business contingency planning efforts. These responsibilities encompass all operational, risk management, or trading floor and non-trading floor entities of the company. The group is to assure, in the event of a business interruption disrupting normal business processes or warranting relocation of any business unit, that the proper planning and testing have been accomplished to facilitate a timely restoration of business operations or relocation to an adequate alternate facility.

The Business Continuity Services Group is composed of three separate yet integrated functions designed to accomplish contingency planning goals on a firm-wide basis: Risk Management, Data Center Relocation, and Business Recovery.

### **Position Description**

The manager will provide leadership in coordinating, assessing, developing & communicating recovery environment requirements and contingency plans associated with the company's Business Units to protect the firm in the event that facilities or technology resources are unavailable due to an unforeseen disruption. Provide very complex project leadership between the technology groups and other company business units, emphasizing regular direct communication with application support management.

This position will provide the incumbent with an opportunity to manage the team responsible for planning and implementation of the Business Unit contingency plans that are responsible for providing manual / off-line procedures development to mitigate any risk associated with complete or partial failure of facilities, technology systems, or applications related to an unforeseen disruption.

With minimal supervision, coordinate and facilitate all business continuity planning activities. The person who fills this position is expected to interact with the critical business units and support groups for the purpose of planning, directing, controlling, and maintaining the contingency planning effort. A strong business continuity background is a necessary

requirement. This background will enable the applicant to be more effective in a management role. It will enable the candidate to bring to bear the necessary knowledge to interact with the various business units to facilitate their plan development. The incumbent would be the primary interface to the BCP Project Office, Disaster Recovery, and Business Unit Recovery functions.

### **Responsibilities:**

- Assume management responsibility for Business Contingency planning efforts with a major focus on assuring the adequacy of business unit contingency plans for critical business areas, functions and applications. To maintain continued operations, asset protection, and loss mitigation in the event of a disruption, coordinating activities of technology resources with the company's business units and development groups, as required.
- Work with business unit management to enhance contingency plans, mitigating the effect of a technology system or application failure or problem. Key objectives are that business units can continue to manage the firm's assets, satisfy our regulatory obligations, and maintain our presence in the market place.
- Provide direct communications between the BCP Project Office, Information technology Operations, Technology architecture and Engineering Systems, and Systems Application Program Management. Participate in appropriate business unit and development planning meetings and activities. Facilitate timely identification, escalation, resolution, and follow-up for all outstanding issues.
- Assist the department in enhancing, formalizing, and standardizing the business planning process, including forecasting and tracking mechanisms, across all business units, to facilitate timely accommodation of future company recovery requirements and opportunities.
- Assume leadership role in developing, coordinating, and maintaining comprehensive business contingency plans and validation methodology, to ensure the firm's ability to recovery, in the event of an unforeseen disruption to facilities, technology systems, or applications.
- Perform all departmental administrative activities, including staff meeting attendance, monthly status reporting, budgeting, strategic planning, expense processing, documentation, and other activities, as assigned, in a timely manner.
- Provide Business Continuity Planning documentation and training to all employees having a need to understand the Business Continuity Planning process.
- Perform periodic reviews and tests of established Business Continuity Plans and procedures, reporting findings to management and making recommendations for improvements as needed.

## **Manager of Disaster Recovery Services**

### **Business Continuity Services Group**

The Business Continuity Services Group is chartered with providing the alternate facility, core computing systems equipment and support necessary to effect business continuance in the event of a disaster or some other emergency situation which would preclude normal operations at one of the company's primary processing sites. The focus is on providing a comprehensive ability to recover systems and operations with minimal operating risk, positioning the company for future changes in geography, products and technology while minimizing expenses.

The group is also responsible for the development of and compliance with corporate guidelines for the company's business contingency planning efforts. These responsibilities encompass all data processing and business operational areas of the company. The group is to assure, in the event of a business interruption disrupting normal business processes or warranting relocation of any business data processing unit, that the proper planning and testing have been accomplished to facilitate a timely restoration of data processing and business operations or relocation to an adequate alternate facility.

The Business Continuity Services Group is composed of three separate yet integrated functions designed to accomplish contingency planning goals on a firm-wide basis: Data Center Relocation, Trading Floor Recovery, and Business Recovery.

### **Position Description**

The manager will provide leadership in coordinating, assessing, developing & communicating recovery environment requirements and contingency plans associated with the company's Data Center current, in plan, and new activities, to appropriate technology groups, resulting in recommendations to enable timely, effective decisions regarding hardware / software recovery planning. Provide very complex project leadership between the technology groups and other company business units, emphasizing regular direct communication with mainframe application support management.

This position will provide the incumbent with an opportunity to manage the department responsible for planning and implementation of a highly advanced mainframe disaster recovery program. The incumbent will be exposed to disk mirroring technology, wave division multiplexed networks using private, dark fiber services, and operational control strategies and other communications technology as implemented by the firm. The final implementation of the program will put the company in the industry forefront of recovery capabilities nationwide.

With minimal supervision, coordinate and facilitate all business continuity planning mainframe activities. The person who fills this position is expected to interact with the various mainframe support groups for the purpose of planning, directing, controlling, and maintaining the mainframe Disaster Recovery program. A strong MVS mainframe and Networking



background is a necessary requirement. This background will enable the applicant to be more effective in a management role. It will enable the candidate to focus on the Mainframe and network communications Disaster Recovery process.

### **Responsibilities:**

- Assume management responsibility for Data Center and Communications Network Recovery planning efforts with a major focus on achieving all financial estimates, assuring adequacy of end-state production recovery environments, meeting all strategic planning deliverables, coordinating activities of technology resources with other company business units and development groups, as required.
- Lead in performing data center and communications network recovery capacity planning coordination with company technology groups in support of specific business unit current, in plan, and new initiatives, with a major focus on proactively assuring an adequate recovery network and processing environment, as well as, accurate, predictive budgeting.
- Provide direct communications between the BCP Project Office, Information technology Operations, Technology architecture and Engineering Systems, and Systems Application Program Management. Participate in appropriate business unit and development planning meetings and activities. Facilitate timely identification, escalation, resolution, and follow-up for all outstanding issues.
- Assist the department in enhancing, formalizing, and standardizing the business planning process, including forecasting and tracking mechanisms, across all business units, to facilitate timely accommodation of future company recovery requirements and opportunities.
- Assume leadership role in developing, coordinating, and maintaining comprehensive data center recovery plans and a testing program, to ensure the ability to recovery, in the event of an unforeseen disruption to facilities, technology systems, or applications.
- Perform all departmental administrative activities, including staff meeting attendance, monthly status reporting, budgeting, strategic planning, expense processing, documentation, and other activities, as assigned, in a timely fashion.
- Produce all related documentation and provide training on Disaster Recovery procedures to employees as needed.
- Perform periodic audits of existing Disaster Recovery Plans and report to management on any improvements that need to be made.

## Manager of Computer Risk Management Services

### Business Continuity Services Group

The Manager of Computer Risk Management is responsible for evaluating exposures reported to him via the Business Recovery and Disaster Recovery Managers that would impact normal business operations. He is also responsible for determining the Business, Legal, and Regulatory Requirements that the corporation must adhere to and to then ensure that precautions have been enacted to protect against violation of these regulations.

The Computer Risk Manager evaluates exposures, rates them as to severity, identify insurance that would mitigate disaster event financial exposures, justifies the purchase of insurance and manages vendor agreements associated with disaster recovery plans.

### Position Description

The manager will provide leadership in coordinating, assessing, developing and communicating recovery environment requirements associated with the company's data processing and Business Unit recovery plans. Provide very complex project leadership between the technology groups and other company business units, emphasizing regular direct communication with Business Recovery Planning and Senior Management.

This position will provide the incumbent with an opportunity to manage the team responsible for planning and implementation of the Computer Risk Management contingency plans for providing manual / off-line procedures development to mitigate any risk associated with complete or partial failure of facilities, technology systems, or applications related to an unforeseen disruption.

With minimal supervision, coordinate and facilitate all computer risk management contingency planning activities. The person who fills this position is expected to interact with the critical business units and support groups for the purpose of planning, directing, controlling, and maintaining the computer risk management effort. A strong business continuity and financial services background is a necessary requirement. This background will enable the applicant to be more effective in a management role. It will enable the candidate to bring to bear the necessary knowledge to interact with the various business units to facilitate their plan development.

### Responsibilities:

- Assume management responsibility for the Computer Risk Management function with a focus on achieving all financial estimates, assuring the adequacy of end-state production recovery environments, meeting all strategic planning deliverables, coordinating activities of technology resources with the company business units and developing groups, as required.

- Lead in performing computer risk management recovery planning coordination with company technology groups in support of specific business unit current, in plan, and new initiatives, with a major focus on proactively assuring adequate recovery network and processing environment, as well as accurate, predictive budgeting.
- Assist the department in enhancing, formalizing, and standardizing the business planning process, including forecasting and tracking mechanisms, across all business units, to facilitate timely accommodation of future company recovery requirements and opportunities.
- Assume leadership role in developing, coordinating, and maintaining comprehensive Computer Risk Management and Testing plans and validation methodology, to ensure the firm's ability to recovery, in the event of an unforeseen disruption to facilities, technology systems, or applications.
- Perform all departmental administrative activities, including staff meeting attendance, monthly status reporting, budgeting, strategic planning, expense processing, documentation, and other activities, as assigned, in a timely fashion.
- Document all Computer Risk Management requirements, standards, and procedures.
- Provide training on Computer Risk Management to employees.
- Conduct periodic reviews of the Computer Risk Management function and deliverables.

## **Business Continuity Planner**

Provides professional, specialized skills, including: business continuity planning, project management, and problem analysis and resolution.

Participates in major project assignments to:

- Assist business partners in resolving business issues related to work area (business function) recovery planning and recovery plan development / enhancements.
- Capitalize on business opportunities to refine production processes to mitigate exposure during disruptions of service, and, possibly, improve day-to-day operations.

Facilitates and coordinates the development of work area (business function) business continuity plans for all Consumer & Commercial business units.

### **Responsibilities include, but are not limited to, the following:**

- Assist business units with:
  - Assessment of potential business impact (Business Impact Analysis),
  - Definition of Critical, time-sensitive functions,
  - Design, development, and documentation of work area (business function) business continuity plans.
- Recommend recovery strategies and options, and assist with the implementation of recovery solutions.
- Coordinate business continuity plan exercises.
- Develop schedules for training / awareness for business partner associates.
- Coordinate development of business unit schedules for annual business continuity documentation maintenance and update, exercises, and independent review and validation.
- Report the business continuity status of business units to senior management.
- Provide expertise and support to management and business functional areas, as requested, when a business disruption occurs.

### **Qualification include:**

- 2-3 years experience in banking, business continuity, or related fields,
- Strong analytical, organizational, and decision-making skills,
- Strong verbal / written communications. Must be able to interface and coordinate work efficiently and effectively with business partners in remote locations,
- Strong administrative skills, with effectiveness in developing tasks and managing resources to achieve target dates,
- Must be a leader and a productive team player,
- Strong PC skills (Microsoft Office, Word, Excel, PowerPoint, etc.),
- Travel and off-hour on-call support required.

## Business Continuity Coordinator

The position of Business Continuity Coordinator may entail any, or all, of the following responsibilities:

- **Development** – Directing or assisting in the development of Business Continuity Plans and Procedures, and providing regular status updates to the Business Continuity Steering Committee.
- **Change Management** – Assessing the Business Continuity implications of proposed technological or organizational changes, and coordinating any revisions to existing Business Continuity Plans and Procedures necessitated by such changes.
- **Administration** – Coordinating routine updates to the detailed information supporting the Business Continuity Procedures (e.g., contact lists, personnel assignments, hardware and software specifications, network diagrams, vital records management and inventory lists, off-site back-up schedules, etc.). Coordinating electronic access to, and hard copy distribution of, the Business Continuity Plans and Procedures. Administering contracts and service agreements with Business Continuity service providers.
- **Training and Awareness** – Ensuring all personnel with specific Business Continuity responsibilities are adequately trained to fulfill their assigned responsibilities. Ensuring all employees maintain their familiarity with the relevant provisions of the Business Continuity Plans.
- **Testing and Exercising** – Ensuring that all technical components of the Business Continuity Plans are successfully tested at least annually, or whenever significant changes are made to those components. Planning and coordinating at least one simulation exercise a year, involving all critical business units. Documenting the results of all tests and exercises, and identifying any recommended enhancements to the Business Continuity Plans and Procedures.
- **Execution** – Providing 7x24 on-call support for any emergency, which may require activation of all or part of the Business Continuity Plans. In the event that activation is required, serving as liaison between the Crisis Management Team (i.e., senior management) and the Business Continuity Teams (i.e., the teams recovering operations at the alternate facilities and the teams restoring operations at the home facility).