

# PROFESSIONAL PRACTICES FOR BUSINESS CONTINUITY PLANNERS: DEVELOPING AND IMPLEMENTING BC PLANS

## **SUBJECT AREA 6: DEVELOPING AND IMPLEMENTING BUSINESS CONTINUITY**

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

### **A. The Professional's Role is to:**

#### **1. Identify the Components of the Planning Process**

- a. Planning methodology
- b. Plan organization
- c. Direction of efforts
- d. Staffing requirements

#### **2. Control the Planning Process and Produce the Plan**

#### **3. Implement the Plan**

#### **4. Test the Plan**

#### **5. Maintain the Plan**

### **B. The Professional Should Demonstrate a Working Knowledge in the Following Areas:**

#### **1. Determine Plan Development Requirements**

- a. Roles and responsibilities
- b. Develop action plans/checklists
- c. Review and evaluate tools, e.g., business continuity planning software
- d. Acquire business processes and technology matrices and flowcharts
- e. Develop forms to acquire information
- f. Determine requirements for information database
- g. Identify other supporting documentation

#### **2. Define Continuity Management and Control Requirements**

- a. Define scope
  - (1) Identify incidents/events process may be utilized for
  - (2) Suggest severity criteria that may be used to create a definition
  - (3) Design escalation criteria
- b. Identify and agree on approach to key phases for continuity; document-agreed approach

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- c. Establish procedure to transition from emergency response plan to crisis management and/or business continuity plans.

### **3. Identify and Define the Format and Structure of Major Plan Components**

- a. Plan designs and structures
  - (1) Define how plan structures are tied to the organization
  - (2) Document structure and design of plans
  - (3) Ensure built-in mechanisms to ease maintenance
  - (4) Define the process for gathering data required for plan completion
- b. Allocate tasks and responsibilities
  - (1) Identify tasks to be undertaken
  - (2) Identify necessary teams to perform required tasks
  - (3) Assign responsibilities to teams
  - (4) Identify and list key contacts, suppliers, and resources

### **4. Draft the Plans**

- a. Select appropriate tools for plan development and maintenance
- b. Draft the Plans, ensuring adequate and appropriate involvement of personnel required to implement the plan
- c. Continue gathering data as needed to ensure BCP is complete and accurate

### **5. Define Business Continuity and Crisis Management Procedures**

- a. Locate and catalogue organization information
  - (1) Identify and confirm processing and documentation critical to the organization's key business
  - (2) Identify and determine which information/processes should be replicated
  - (3) Identify storage requirements
  - (4) Identify key suppliers
  - (5) Select or recommend appropriate methods of business backup including understanding of retention periods and duplication/replication schedules, etc.
- b. Information continuity
  - (1) Recommend and develop appropriate procedures taking into account:
    - a) Business requirements
    - b) Technology requirements
    - c) Legislative requirements
- c. Process continuity
  - 1) Recommend alternative ways to conduct when normal resources are unavailable following a disaster or other disruptive event that will be effective until continuity procedures are successfully implemented.
  - 2) Recommend method/procedures to easily transfer business functions from any alternative, temporary, or emergency operation into the new replaced or re-installed service.
  - 3) Identify critical equipment; acquisition and/or reconditioning mainframes.

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## **6. Damage Assessment/Restoration Strategy**

- (1) Create an action plan for assessing damage including:
  - (2) Understand economics of repair versus replacement
  - (3) Understand the capabilities of salvage specialists in selecting and applying relevant methods of contamination analysis
  - (4) Understand the criteria for selecting appropriate subcontractors for salvage operations
  - (5) Clearly relate damage assessment to business continuity of organization
- b. Define restoration strategy
- (1) Employ a logical, but relevant, and practical approach to business recovery requirements
  - (2) Demonstrate ability to reduce consequential losses
  - (3) Agree upon restoration methods for business assets (e.g., equipment, electronics, documents, data, furnishings, premises, plant, computers, etc.)
  - (4) Understand the approval process for restoration, and especially, the implications of warranties
  - (5) Define a strategy for restoration

## **7. Develop General Introduction or Overview**

- a. General information
- (1) Introduction
  - (2) Scope
  - (3) Objectives
  - (4) Assumptions
  - (5) Responsibility overview
  - (6) Testing
  - (7) Maintenance
- b. Plan activation
- (1) Notification
    - (a) Primary
    - (b) Secondary
  - (2) Disaster declaration procedures
  - (3) Mobilization procedures
  - (4) Damage assessment concepts
    - (a) Initial
    - (b) Detailed
    - (c) Team members
- c. Team organization
- (1) Team description
  - (2) Team organization
  - (3) Team leader responsibilities
- d. Policy statement
- e. Emergency Operations Center

## **8. Develop Administration Team Documentation**

- a. Identify continuity functions for the following, including qualifications, responsibilities and resources required
- (1) Communications (public relations/media, client and employee)
  - (2) Personnel/human resources

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- (3) Security
- (4) Insurance/risk management
- (5) Equipment/supplies purchasing
- (6) Transportation
- (7) Legal
  
- b. Other specialist coordinator/team responsibilities
  - (1) Relations/liaison with regulatory bodies
  - (2) Investor relations
  - (3) Relations with other involved groups (e.g., customers and suppliers)
  - (4) Labor relations
  
- c. Develop specific procedures for each function or building identified above:
  - (1) Department/individual/building plans
  - (2) Checklists
  - (2) Technical procedures

### **9. Develop Business Operations Team Documentation**

- a. Operating department plans
  - (1) Essential business functions
  - (2) Information protection and recovery
  - (3) Activation actions
  - (4) Disaster site recovery/restoration actions
  - (5) End-user computing needs
  
- b. Action sections
  - (1) Recovery team
    - (a) Personnel
    - (b) Responsibilities
    - (c) Resources
  
- c. Action plans
  - (1) Specific department/individual plans
  - (2) Checklists
  - (3) Technical procedures

### **10. Develop Information Technology Recovery Team Documentation**

- a. Recovery site activation
  - (1) Management
  - (2) Administration/logistics
  - (3) New equipment
  - (4) Technical services
  - (5) Application support
  - (6) Network communications
  - (7) Network engineering
  - (8) Operations
  - (9) Inter-site logistics and communications
  - (10) Data preparation
  - (11) Production control
  - (12) End-user liaison
  
- b. End-user requirements

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- c. Identify components of vital records program
- d. Action sections
  - (1) Recovery team
    - (a) Personnel
    - (b) Responsibilities
    - (c) Resources
- e. Action plans
  - (1) Specific department/individual plans
  - (2) Checklists
  - (3) Technical procedures

### **11. Develop Communication Systems**

- a. Voice communications recovery plans
  - (1) Phone lines, including in-bound, toll-free (1-800) lines, and fax lines
  - (2) Voice mail, voice response units, and other voice-based services
  - (3) Alternate arrangement for automated voice response during a disaster
- b. Data communications recovery plans
  - (1) Data communications with mainframe-based information systems
  - (2) Local area network (LAN) recovery for work area recovery
  - (3) Wide area network (WAN) recovery for restoring global connectivity
  - (4) E-mail, groupware, and other data communications-based work support
- c. Emphasize and ensure detailed and up-to-date documentation of voice and data communications networks throughout the enterprise

### **12. Develop End-User Applications Plans**

- a. Plan design and structure
  - (1) Identify examples of alternative plans and structures
  - (2) Define how plan structure is tied to the organization
  - (3) Document structure and design of departmental continuity plans
  - (4) Ensure built-in mechanisms to ease maintenance
  - (5) Plan and implement the gathering of data required for plan completion
- b. Identify and agree on approach to key phases of recovery; document-agreed approach
- c. Allocate tasks and responsibilities
  - (1) Differentiate between recovery teams and departmental teams
  - (2) Identify tasks to be undertaken
  - (3) Identify necessary teams to perform required tasks
  - (4) Assign responsibilities to teams
  - (5) Identify and list key contacts, suppliers, and resources

### **13. Implement the Plans**

- a. Ensure that required tasks are completed for plan implementation
  - (1) Acquiring additional equipment
  - (2) Contractual arrangements
  - (3) Preparing backup and offsite storage
  - (4) Appropriate documentation for plans in place

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- b. Develop test plans, schedules, and test reporting procedures
  - (1) Acquiring additional equipment
  - (2) Contractual arrangements
  - (3) Preparing backup and off-site storage
- c. Develop maintenance, updating, and reporting procedures

### **14. Establish Plan Distribution and Control Procedures**

- a. Establish procedures for distribution and control of business continuity plans
- b. Establish procedures for distribution and control of results of plan exercises
- c. Establish procedures for distribution and control of plan changes and updates