

SUBJECT AREA OVERVIEW

Subject Area	Title and Description
1	<p>Project Initiation and Management</p> <p>Establish the need for a Business Continuity Plan (BCP), including obtaining management support and organizing and managing the project to completion within agreed upon time and budget limits.</p>
2	<p>Risk Evaluation and Control</p> <p>Determine the events and environmental surroundings that can adversely affect the organization and its facilities with disruption as well as disaster, the damage such events can cause, and the controls needed to prevent or minimize the effects of potential loss. Provide cost-benefit analysis to justify investment in controls to mitigate risks.</p>
3	<p>Business Impact Analysis</p> <p>Identify the impacts resulting from disruptions and disaster scenarios that can affect the organization and techniques that can be used to quantify and qualify such impacts. Establish critical functions, their recovery priorities, and inter-dependencies so that recovery time objective can be set.</p>
4	<p>Developing Business Continuity Strategies</p> <p>Determine and guide the selection of alternative business recovery operating strategies for recovery of business and information technologies within the recovery time objective, while maintaining the organization's critical functions.</p>
5	<p>Emergency Response and Operations</p> <p>Develop and implement procedures for response and stabilizing the situation following an incident or event, including establishing and managing an Emergency Operations Center to be used as a command center during the emergency.</p>
6	<p>Developing and Implementing Business Continuity Plans</p> <p>Design, develop, and implement the Business Continuity Plan that provides recovery within the recovery time objective.</p>
7	<p>Awareness and Training Programs</p> <p>Prepare a program to create corporate awareness and enhance the skills required to develop, implement, maintain, and execute the Business Continuity Plan.</p>

Subject	Title and Description
8	<p>Maintaining and Exercising Business Continuity Plans</p> <p>Pre-plan and coordinate plan exercises, and evaluate and document plan exercise results. Develop processes to maintain the currency of continuity capabilities and the plan document in accordance with the organization’s strategic direction. Verify that the Plan will prove effective by comparison with a suitable standard, and report results in a clear and concise manner.</p>
9	<p>Public Relations and Crisis Coordination</p> <p>Develop, coordinate, evaluate, and exercise plans to handle media during crisis situations. Develop, coordinate, evaluate, and exercise plans to communicate with and, as appropriate, provide trauma counseling for employees and their families, key customers, critical suppliers, owners/stockholders, and corporate management during crisis. Ensure all stakeholders are kept informed on an as-needed basis.</p>
10	<p>Coordination with Public Authorities</p> <p>Establish applicable procedures and policies for coordinating response, continuity, and restoration activities with local authorities while ensuring compliance with applicable statutes or regulations.</p>

SUBJECT AREA 1 - PROJECT INITIATION and MANAGEMENT

Establish the need for a Business Continuity Plan (BCP), including obtaining management support and organizing and managing the project to completion within agreed upon time and budget limits.

The professional's role is to

- 1. Lead Sponsors in Defining Objectives, Policies, and Critical Success Factors**
 - Scope and objectives
 - Legal and requirements reasons
 - Case histories
- 2. Coordinate and Organize/Manage the BCP Project** using a steering committee and project task force. Understand the difference between disaster recovery, response, mitigation/avoidance, contingency planning, business continuity, and crisis management.
- 3. Oversee the BCP Project Through Effective Control Methods and Change Management**
- 4. Present (Sell) the Project to Management and Staff**
- 5. Develop Project Plan and Budget**
- 6. Define and Recommend Project Structure and Management**
- 7. Manage the Process**

The professional should demonstrate a working knowledge in the following areas.

1. Establish the Need for Business Continuity

- a. Reference relevant legal/regulatory/statutory/contractual requirements and restrictions
- b. Reference relevant regulations of industry trade bodies or associations, where appropriate
- c. Reference current recommendations of relevant authorities (define these)
- d. Relate legislation, regulations, and recommendations to organizational policy
- e. Identify any conflicts between organizational policies and relevant external requirements
- f. Identify any audit records
- g. Propose methods, which may include a BCP, to resolve any conflicts between organizational policies and relevant external requirements
- h. Identify business practices (e.g., just-in-time inventory) that may adversely impact the organization's ability to recover following a disaster event

2. Communicate the Need for a Business Continuity Plan

- a. Develop awareness by means of formal reports and presentations
- b. State the benefits of the BCP and relate the benefits to organizational mission, objectives, and operations
- c. Gain organizational commitment to the BCP project
- d. Develop a mission statement/charter for the BCP project

3. Involve Executive Management in the BCP Project

- a. Explain executive management's role in the BCP project
- b. Explain and communicate management's accountability and liability

4. Establish a Planning/Steering Committee: Roles and Responsibilities, Types of Organization, Control and Development, and Membership

- a. Select appropriate personnel
- b. Define their roles and responsibilities
- c. Develop an overall project plan with realistic time estimates and schedule
- d. Develop a suitable set of objectives for the BCP

5. Develop Budget Requirements

- a. Clearly define resource requirements
- b. Obtain estimates of financial requirement
- c. Verify the validity of resources requirements
- d. Validate the estimates of financial requirements

- e. Negotiate resource and financial requirements with management

6. Identify Planning Team(s) and Responsibilities

- a. Emergency management /crisis response/crisis management team
- b. Business continuity planning teams (multi-location, multi-divisions, etc.)
- c. Recovery/response and restoration teams

7. Develop and Coordinate Action Plans

8. Develop Project Management and Documentation Requirements

9. Report to Senior Management and Obtain Senior Management Approval/ Commitment

- a. Set up a schedule to report the progress of the BCP project to senior managers
- b. Develop regular status reports for senior management that contain concise, pertinent, accurate, and timely information on key parameters of interest or information of which senior management should be made aware

10. Project Management

- a. Identify and develop business continuity plan phases similar to classical project plan phases: problem investigation, problem definition, feasibility study, systems description, implementation, installation, and review
- b. Establish business continuity plan project characteristics: goals, tasks, resources, time schedules, and critical success factors
- c. Execute generally accepted responsibilities of a business continuity planning project manager:
 - 1. Define the business continuity planning project
 - 2. Assess the business continuity planning project risk
 - 3. Organize the business continuity planning project
 - 4. Plan the business continuity planning project in detail, including time management and project scheduling (milestone, Gantt, and/or PERT/CPM charts, use of computer-based software for scheduling)
 - 5. Monitor and manage the business continuity planning project activities
 - 6. Track and report the business continuity planning project progress
 - 7. Manage change associated with the business continuity planning project

SUBJECT AREA 2 - RISK EVALUATION and CONTROL

Determine the events and environmental surroundings that can adversely affect the organization and its facilities with disruption as well as disaster, the damage such events can cause, and the controls needed to prevent or minimize the effects of potential loss. Provide cost-benefit analysis to justify investment in controls to mitigate risks.

The professional's role is to

- 1. Understand the Function of Probabilities and Risk Reduction/Mitigation Within the Organization**
- 2. Identify Potential Risks to the Organization**
 - Probability
 - Consequences
- 3. Identify Outside Expertise Required**
- 4. Identify Vulnerabilities/Threats/Exposures**
- 5. Identify Risk Reduction/Mitigation Alternatives**
- 6. Identify Credible Information Sources**
- 7. Interface with Management to Determine Acceptable Risk Levels**
- 8. Document and Present Findings**

The professional should demonstrate a working knowledge in the following areas.

1. Understand Loss Potentials

- a. Identify threats from both internal and external sources. These should include, but not be limited to, the following:
 - 1. Natural, man-made, technological, or political disasters
 - 2. Accidental versus intentional
 - 3. Internal versus external
 - 4. Controllable risks versus those beyond the organization's control
 - 5. Events with prior warnings versus those with no prior warnings
- b. Determine the probability of events
 - 1. Information sources
 - 2. Credibility
- c. Create methods of information gathering
- d. Develop a suitable method to evaluate probability versus severity
- e. Establish ongoing support of evaluation process
- f. Identify the relevant key security and legislative issues
- g. Establish cost benefit analysis to be associated with the identified loss potential

2. Determine the Organization's Vulnerability to Loss Potentials

- a. Identify primary threats the organization may face, and secondary/collateral events that could materialize because of such threats (e.g., hurricane threat could result in several events including high winds, flood, fire, building and roof collapse, etc.)
- b. Select vulnerabilities most likely to occur and with greatest impact

3. Identify Controls and Safeguards to Prevent or Minimize the Effect of the Loss Potential

- a. Location(s) and security considerations. The actions taken and facilities installed to reduce the probability of occurrence of incidents that would impair the ability to conduct business.

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1. Physical protection
 - (a) Understand the need to restrict access to buildings, rooms, and other enclosures where circumstances demand a “3-dimensional” consideration
 - (b) Understand the need for barriers and strengthened structures to deter willful and accidental and/or unauthorized entry
 2. Physical presence
 - (a) Understand the need for the use of specialist personnel to conduct checks at key entry points
 - (b) Understand the need for manned and/or recorded surveillance equipment to control access points and areas of exclusion
 3. Logical protection
 - (a) Understand the need for system-provided protection of data stored, in process, or in translation
 4. Location of assets
 - (a) Understand the inherent protection afforded key assets by virtue of their location relative to sources of risk.
- b. Location: physical construction, geographic location, corporate neighbors, facilities infrastructure, community infrastructure
 - c. Protection: detection, notification, suppression
 - d. Security and access controls, tenant insurance, leasehold agreements
 - e. Personnel procedures
 - f. Procedural controls
 - g. Information backup and protection
 - h. Information security: hardware, software, data, network
 - i. Preventive maintenance and equipment preplanning
 - j. Utilities: duplication of utilities, redundancies in utilities
 - k. Interface with outside agencies
 - l. Services: electricity, air conditioning, water, communications, maintenance, equipment replacement and spares, documentation

4. Evaluate, Select, and Use Appropriate Risk Analysis Methodologies and Tools

- a. Identify alternative risk analysis methodologies and tools
 - 1. Qualitative and quantitative methodologies
 - 2. Advantages and disadvantages
 - 3. Reliability/confidence factor
 - 4. Basis of mathematical formulas used
- b. Select appropriate methodology and tool(s) for company-wide implementation

5. Identify and Implement Information Gathering Activities

- a. Develop a strategy consistent with business issues and organizational policy
- b. Develop a strategy that can be managed across business divisions and organizational locations
- c. Employ credible information sources
- d. Create organization-wide methods of information collection and distribution
 - 1. Forms and questionnaires
 - 2. Interviews
 - 3. Meetings
 - 4. Documentation review
 - 5. Analysis
- e. Use software

6. Evaluate the Effectiveness of Controls and Safeguards

- a. Develop communications flow with other internal departments/divisions
- b. Establish business continuity service level agreements for both supplier and customer organizations and groups
- c. Develop preventive and pre-planning options
 - 1. Cost/benefit
 - 2. Implementation priorities, procedures, and control
 - 3. Testing
 - 4. Audit functions and responsibilities

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- d. Understand options for risk management and selection of appropriate or cost-effective response, i.e. risk avoidance, transfer, or acceptance of risk

- e. Develop interface with suppliers and utilities
- f. Develop security practices
- g. Identify methods to minimize the effects of the loss potential
- h. Brief participants, ensuring they understand their objectives and reporting structure

7. Risk Evaluation and Control

- a. Establish disaster scenarios based on risks to which the organization is vulnerable. The disaster scenarios should be based on these type of criteria: severe in magnitude, occurring at the worst possible time, resulting in severe impairment to the organization's ability to conduct business.
- b. Evaluate risks and classify them according to relevant criteria, including: risks under the organization's control, risks beyond the organization's control, threats with prior warnings (such as tornadoes and hurricanes), and threats with no prior warnings (such as earthquakes).
- c. Evaluate impact of risks and threats on those factors essential for conducting business operations: availability of personnel, availability of information technology, availability of communications technology, status of infrastructure (including transportation), etc.
- d. Evaluate controls and recommend changes, if necessary, to reduce impact due to risks and threats
 - 1. Controls to inhibit impact threats: preventive controls (such as passwords, smoke detectors, and firewalls)
 - 2. Controls to compensate for impact of threats: reactive controls (such as hot sites)

8. Security

- a. Identify the organization's possible security exposures, including the following specific categories of security risks
 - 1. Physical /plant security
 - 2. Information security - computer room and media storage area security
 - 3. Communications security - voice and data communications security
 - 4. Network security - intranet security, Internet security
- b. Advise on feasible, cost-effective security measures required to prevent/reduce security-related risks and threats

9. Backup and Restoration Procedures

- a. Identify vital record needs in the organization, including paper and electronic records
- b. Evaluate existing backup and restoration procedures for vital records
- c. Advise on and implement feasible, cost-effective backup and restoration procedures for all forms of the organization's vital records

SUBJECT AREA 3 - BUSINESS IMPACT ANALYSIS

Identify the impacts resulting from disruptions and disaster scenarios that can affect the organization and techniques that can be used to quantify and qualify such impacts. Establish critical functions, their recovery priorities, and inter-dependencies so that recovery time objective can be set.

The professional's role is to

- 1. Identify Organization Functions**
- 2. Identify Knowledgeable and Credible Functional Area Representatives**
- 3. Identify and Define Criticality Criteria**
- 4. Present Criteria to Management for Approval**
- 5. Coordinate Analysis**
- 6. Identify Interdependencies**
- 7. Define Recovery Objectives and Timeframes, including recovery times, expected losses, and priorities**
- 8. Identify Information Requirements**
- 9. Identify Resource Requirements**
- 10. Define Report Format**
- 11. Prepare and Present**

The professional should demonstrate a working knowledge in the following areas.

1. Establish the Project

- a. Identify and obtain a project sponsor for the Business Impact Analysis (BIA) activity
- b. Define objectives and scope for the BIA project
- c. Choose an appropriate BIA project planning methodology/tool
- d. Identify and inform participants of the BIA project and its purpose
- e. Identify training requirements
- f. Establish a training schedule and undertake training
- g. Ensure the project leader has a sound understanding of the purposes of the organization
- h. Obtain agreement on final project time schedule and initiate the BIA project

2. Assess Effects of Disruptions, Loss Exposure, and Business Impact

- a. Effects of disruptions
 1. Loss of assets: key personnel, physical assets, information assets, intangible assets
 2. Disruption to the continuity of service and operations
 3. Violation of law/regulation
 4. Public perception
- b. Impact of disruptions on business
 1. Financial
 2. Customers and suppliers
 3. Public relations/credibility
 4. Legal
 5. Regulatory requirements/considerations
 6. Environmental
 7. Operational
 8. Personnel
 9. Other resources
- c. Determine Loss Exposure
 1. Quantitative
 - (a) Property loss
 - (b) Revenue loss
 - (c) Fines
 - (d) Cash flow
 - (e) Accounts receivable
 - (f) Accounts payable
 - (g) Legal liability

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(h) Human resources

(i) Additional expenses/increased cost of working

2. Qualitative
 - (a) Human resources
 - (b) Morale
 - (c) Confidence
 - (d) Legal
 - (d) Social and corporate image
 - (e) Financial community credibility

3. Business Impact Analysis (BIA) - A Suggested Methodology
Understand Assessment Techniques: Quantitative and Qualitative Methods

- a. BIA data collection methodologies
 1. Finalize an appropriate data collection method (e.g., questionnaires, interviews, workshop, or in agreed combination)
 2. Recommend and obtain agreement as to how potential financial and non-financial impact can be quantified and evaluated
 3. Identify and obtain agreement on requirements for non-quantifiable impact information and gain agreement
 4. Develop questionnaire (if used) and completion instructions
 5. Determine data analysis methods (manual or computer)
- b. Data collection via questionnaires
 1. Understand the need for appropriate design and distribution of questionnaires, including explanation of purpose, to participating departmental managers and staff
 2. Understand the role of, and manage, project kick-off meetings to distribute and explain the questionnaire
 3. Understand the role of, and support respondents during completion of questionnaires
 4. Review completed questionnaires and identify those requiring follow-up interviews
 5. Conduct follow-up discussions when clarification and/or additional data is required
- c. Data collection via interviews only
 1. Understand the need for consistency, with the structure of each interview predefined and following a common format
 2. Ensure the base data to be collected at each interview is predefined
 3. Understand the need for initial interview to be reviewed and verified by the interviewee
 4. Schedule follow-up interviews, if initial analysis shows a need to clarify and/or add to the data already provided
- d. Data collection via a workshop
 1. Understand the need for, and set a clear agenda and set of objectives
 2. Identify the appropriate level of participating management and obtain agreement
 3. Choose appropriate venue, evaluating location, facilities, and staff availability

4. Act as facilitator and leader during discussions
 5. Ensure workshop objectives are met
 6. Ensure all issues outstanding at the end of the workshop are identified and responsibility for their resolution agreed upon
- e. Business Impact Analysis report
1. Prepare draft BIA report containing initial impact findings and issues
 2. Issue draft report to participating managers and request feedback
 3. Review manager feedback and, where appropriate, revise findings accordingly or add to outstanding issues
 4. Schedule a workshop or meeting with participating manager(s) to discuss initial findings, when necessary
 5. Ensure original findings are updated to reflect changes arising from these meetings
 6. Prepare final Business Impact Analysis report according to organization or house standards
 7. Prepare and undertake formal presentation of Business Impact Analysis findings to peers and executive bodies

Note: No standards exist for the format or distribution of Business Impact Analysis reports, so these reports will vary between companies.

4. Define Criticality of Business Functions and Records, and Prioritize

- a. Establish definition of criticality, and negotiate with management single or multiple levels of criticality
- b. Identify critical functions
 1. Business functions
 2. Support functions
 3. Interdependencies
- c. Identify vital records to support business continuity and business restoration
- d. Prioritize critical business functions

5. Determine Recovery Timeframes and Minimum Resource Requirements

- a. Determine recovery windows for critical business functions based on level of criticality
- b. Determine the order of recovery for critical business functions, and support functions and systems based on parallel and interdependent activities

- c. Determine minimum resource requirements for recovery and resumption of critical functions and support systems
 - 1. Internal and external resources
 - 2. Owned versus non-owned resources
 - 3. Existing resources and additional resources required

6. Identify Business Processes

- a. Interrelationship between the business processes
- b. Process dependencies
 - 1. Intradepartment
 - 2. Interdepartment
 - 3. Technology
 - 4. Processes

7. Determine Replacement Times

- a. Equipment
- b. Key personnel
- c. Raw materials/sub-assemblies
- d. Other

SUBJECT AREA 4 - DEVELOPING BUSINESS CONTINUITY

STRATEGIES

Determine and guide the selection of alternative business recovery operating strategies for recovery of business and information technologies within the recovery time objective, while maintaining the organization's critical functions.

The professional's role is to

- 1. Understand Available Alternatives and Their Advantages, Disadvantages, and Cost Ranges**, including mitigation as a recovery strategy
- 2. Identify Viable Recovery Strategies within Business Functional Areas**
- 3. Consolidate Strategies**
- 4. Identify Off-Site Storage Requirements and Alternative Facilities**
- 5. Develop Business Unit Consensus**
- 6. Present Strategies to Management to Obtain Commitment**

The professional should demonstrate a working knowledge in the following areas.

1. Identify Business Continuity Strategy Requirements

- a. Review business recovery issues
 - 1. Timeframes
 - 2. Options
 - 3. Location
 - 4. Personnel
 - 5. Communications
- b. Review technology recovery issues for each support service
- c. Review non-technology recovery issues for each support service, including those support services not dependent upon technology
- d. Compare internal/external solutions
- e. Identify alternative recovery strategies
 - 1. Do nothing
 - 2. Defer action
 - 3. Manual procedures
 - 4. Reciprocal agreements
 - 5. Alternative site or business facility
 - 6. Alternate source of product
 - 7. Service bureau
 - 8. Consortium
 - 9. Distributed processing
 - 10. Alternative communications
 - 11. Mitigation
 - 12. Preplanning
- f. Compare internal and external solutions
- g. Assess risk associated with each optional recovery strategy

2. Assess Suitability of Alternative Strategies Against the Results of a Business Impact Analysis

- a. Effectively analyze business needs criteria
- b. Clearly define recovery planning objectives
- c. Develop a consistent method for evaluation

- d. Set baseline criteria for options

3. Prepare Cost/Benefit Analysis of Recovery Strategies and Present Findings to Senior Management

- a. Employ a practical, understandable methodology
- b. Set realistic time schedules for evaluation and report writing
- c. Deliver concise specific recommendations to senior management

4. Select Alternate Site(s) and Off-Site Storage

- a. Criteria
- b. Communications
- c. Agreement considerations
- d. Comparison techniques
- e. Acquisition
- f. Contractual consideration

5. Understand Contractual Agreements for Business Continuity Services

- a. Understand and prepare requirements statements for use in formal agreements for the provision of continuity services
- b. Formulate any necessary technical specifications for use in “invitation-to-tender” format
- c. Interpret external agreements proposed by suppliers in relation to the original requirements specified
- d. Identify specific requirements excluded from any standard agreements proposed
- e. Understand and advise on the inclusion of optional elements and those that are essential

6. Enterprise-Wide

- a. Develop, implement, and exercise enterprise-wide plans for business continuity to emphasize coordination of business unit continuity, information technology, and communications technology recovery and continuity
- b. Develop, implement, and exercise enterprise-level crisis management plans for media handling, crisis communications, etc.

7. Business Unit Plans

- a. Develop, implement, and exercise business unit response, recovery, resumption, restoration, and return plans
- b. Designate and obtain approval for recommended staff and access to essential equipment resources for work area recovery sites

8. Emergency Telecommunications

To gain a thorough understanding of this area of professional practices, the business continuity professional is strongly urged to undergo formal education and training through telecommunications or communications technologies courses.

- a. Voice communications
 - 1. Develop strategies to recover/restore voice communications
 - 2. Make arrangements with local loop and long distance phone service providers for voice communications recovery (e.g., alternate exchanges, alternate routing, dial backup, foreign exchanges, etc.)

- b. Data communications
 - 1. Develop, implement, and exercise plans to recover/restore data communications
 - 2. Evaluate and select appropriate arrangements with local, long distance, and global telecommunications network service providers for data communications recovery strategies and action plans.

SUBJECT AREA 5 - EMERGENCY RESPONSE and OPERATIONS

Develop and implement procedures for response and stabilizing the situation following an incident or event, including establishing and managing an Emergency Operations Center to be used as a command center during the emergency.

The professional's role is to

- 1. Identify Potential Types of Emergencies and the Responses Needed** (e.g., fire, hazardous materials leak, medical)
- 2. Identify the Existence of Appropriate Emergency Response Procedures**
- 3. Recommend the Development of Emergency Procedures Where None Exist**
- 4. Integrate Disaster Recovery/Business Continuity Procedures with Emergency Response Procedures**
- 5. Identify the Command and Control Requirements of Managing an Emergency**
- 6. Recommend the Development of Command and Control Procedures to Define Roles, Authority, and Communications Processes for Managing an Emergency**
- 7. Ensure Emergency Response Procedures are Integrated with Requirements of Public Authorities** (*Refer also to Subject Area 10, Coordination With Public Authorities*)

The professional should demonstrate a working knowledge in the following areas.

1. Identify Components of Emergency Response Procedure

- a. Reporting procedures
 - 1. Internal (escalation procedures)
 - (a) Local
 - (b) Organization (decision-making process)
 - 2. External (response procedures)
 - (a) Public agencies and media
 - (b) Suppliers of products and services
- b. Pre-incident preparation
 - 1. By types of disaster
 - (a) Acts of nature
 - (b) Accidental
 - (c) Intentional
 - 2. Management continuity and authority
 - 3. Roles of designated personnel
- c. Emergency actions
 - 1. Evacuation
 - 2. Medical care and personnel counseling
 - 3. Hazardous material response
 - 4. Firefighting
 - 5. Notification
 - 6. Other
- d. Facility stabilization
- e. Damage mitigation
- f. Testing procedures and responsibilities

2. Develop Detailed Emergency Response Procedures

- a. Protection of personnel
 - 1. Recognize and understand the value of supplementing any relevant statutory precautions
 - 2. Identify options for immediate deployment and subsequent contract
 - 3. Provide for communication with staff, next-of-kin, and dependents

4. Understand implications of statutory regulations

- b. Containment of incident
 1. Understand the principles of salvage and loss containment
 2. Understand options available to supplement the efforts of the emergency services in limiting business impact
 3. Understand possibilities within business functions to limit the impact of a disaster, within statutory constraints

- c. Assessment of effect
 1. Analyze the situation and provide effective assessment report
 2. Estimate the event's direct impact on the organization
 3. Communicate situation to employees at involved facility and any other organization locations
 4. Demonstrate awareness of the likely media interest and formulate a response in conjunction with any existing public relations and/or existing marketing unit

- d. Decide optimum actions
 1. Understand the issues to be considered when recommending or making decisions on recovery options
 2. Understand the roles of the emergency services
 3. Maintain principles of security, especially in regard to the disposal of stored/archived materials or damaged materials with retained value

3. Identify Command and Control Requirements

- a. Designing and equipping the Emergency Operations Center
- b. Command and decision authority roles during the incident
- c. Communication vehicles (e.g., radio, messengers, and cellular telephones)
- d. Logging and documentation methods

4. Command and Control Procedures

- a. Opening the Emergency Operations Center
- b. Security for the Emergency Operations Center
- c. Scheduling the Emergency Operations Center teams
- d. Management and operations of the Emergency Operations Center
- e. Closing the Emergency Operations Center

5. Emergency Response and Triage

- a. Develop, implement, and exercise emergency response and triage procedures, including determination of priorities for actions in an emergency

- b. Develop, implement, and exercise triage procedures such as first aid and medical treatment; identify location and develop procedures for transportation to nearby hospitals

6. Salvage and Restoration

- a. Assemble reaction team
 - 1. Understand the need for effective diagnosis of incident by telephone
 - 2. Understand the need for effective assembly of relevant resources at the affected site
 - 3. Develop internal escalation procedures to provide required level of resources on-site as incident/response develops
- b. Define strategy for initial on-site activity
 - 1. Understand the need to identify immediate loss mitigation and salvage requirements
 - 2. Understand the need for and, if necessary, prepare an action plan for site safety, security, and stabilization
 - 3. Identify appropriate methods for protection of assets on-site, including equipment, premises, and documentation
 - 4. Recognize potential need to establish liaison with external agencies (e.g., statutory agencies, emergency services such as fire departments and police, insurers, loss adjusters, etc.), and specify type of information these agencies may require
 - 5. Understand business requirements and interpret them to aid physical asset recovery
 - 6. Establish procedures with public authorities for facility access

SUBJECT AREA 6 - DEVELOPING and IMPLEMENTING BUSINESS

CONTINUITY PLANS

Design, develop, and implement the Business Continuity Plan that provides recovery within the recovery time objective.

The professional's role is to

- 1. Identify the Components of the Planning Process**
 - Planning methodology
 - Plan organization
 - Direction of efforts
 - Staffing requirements
- 2. Control the Planning Process and Produce the Plan**
- 3. Implement the Plan**
- 4. Test the Plan**
- 5. Maintain the Plan**

The professional should demonstrate a working knowledge in the following areas.

1. Determine Plan Development Requirements

- a. Planning aids
- b. Tools
 - 1. Job descriptions
 - 2. Action plans
 - 3. Checklists
 - 4. Matrices and flowcharts
 - 5. Forms
 - 6. Information database
 - 7. Other supporting documentation

2. Define Recovery Management and Control Requirements

- a. Define disaster
 - 1. Differentiate between an interruption and a disaster
 - 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 of recovery; document agreed approach
- c. Recovery team concept
 - 1. Team description
 - 2. Team organization
 - 3. Responsibilities
 - (a) Recovery coordinator
 - (b) Group coordinators
 - 4. Support staff
 - 5. Emergency Operations Center
- d. Establish procedure to transition from emergency response plan to business continuity plan.

3. Identify and Define the Format and Structure of Major Plan Components. Develop Procedures to Ensure Business Continuity using a format suitable for use under emergency conditions

- 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. 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

4. Draft the Plan

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

5. Define Business Continuity Procedures

- a. Locate and catalogue organization information
 1. Identify and confirm information and documentation critical to the organization's key business
 2. Select or recommend appropriate methods of business backup
 3. Determine which information should be duplicated
 4. Establish duplication or replication methods
 5. Set up regular schedules for duplication
 6. Quantify storage requirements
 7. Identify suitable storage facilities
 8. Establish schedules for safe transfer of information to suitable storage facilities
 9. Understand retention periods
 10. Identify key suppliers
- b. Protection and replication strategies
 1. Define assumptions governing the choice of replication and storage strategies
 2. Define program for replication and storage of specific classes and types of information
 3. Understand the advantages and disadvantages of
 - (a) Duplication methods
 - (b) Replication methods
 - (c) Storage methods
 4. Understand the advantages and disadvantages of available protection methods
 5. Predict shelf-life of stored information

6. Understand suitable treatment that may be required during storage, according to the media used and environmental conditions
- c. Information recovery
 1. Recommend suitable procedures, taking into account:
 - (a) Most suitable sequence of recovery
 - (b) Compatibility of reading and writing equipment and storage media
 - (c) Timeframes determined by the business requirements
 - (d) Timeframes determined by the legislative requirements
 - (e) Requirements of daily or weekly routines, where applicable
 2. Identify recovery or starting point for processing or handling information
 3. Develop a reasonable set of assumptions, taking various realistic scenarios into account
 - d. Develop optional business methods
 1. Recommend alternative ways to conduct business when normal resources are unavailable following a disaster or other disruptive event that will be effective until recovery procedures are successfully completed
 2. Recommend method/procedures to easily transfer business functions from any alternative, temporary, or emergency operation into the new/replaced/re-installed service

6. Damage Assessment

- a. Damage assessment
 1. Create an action plan for assessing damage
 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 sub-contractors 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. Critical Resource Acquisition**
- 8. Security**
- 9. Human Resource and Personnel Considerations**
- 10. 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

11. Develop Administration Section

- a. Identify recovery functions for specific support functions
 - 1. Personnel/human resources
 - 2. Security

3. Insurance/risk management

4. Equipment/supplies purchasing
 5. Transportation
 6. Legal
- b. Understand need for public relations/media communications coordinator
 1. Qualifications
 2. Responsibilities
 - c. 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)
 - d. Identify components of vital records program
 - e. Action sections
 1. Recovery team
 - (a) Personnel
 - (b) Responsibilities
 - (c) Resources
 - f. Action plans
 1. Department/individual plans
 2. Checklists
 3. Technical procedures

12. Develop Business Operations Plan

- 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. Components of a vital records program
- c. Action sections
 1. Recovery team
 - (a) Personnel

(b) Responsibilities

(c) Resources

- d. Action plans
 - 1. Specific department/individual plans
 - 2. Checklists
 - 3. Technical procedures

13. Develop Information Technology Recovery Plan

- 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
- 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

14. Develop Communication Systems Plan

- a. Voice communications recovery plans

PROFESSIONAL PRACTICES FOR BUSINESS CONTINUITY PLANNERS

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 of 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

15. 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

16. Implement the Plan

- a. Develop an education program
 - 1. Standard guidelines for developing and implementing continuity plans
 - 2. Employee roles and responsibilities defined in the continuity plans
 - 3. Procedures to be followed by employees throughout the organization
 - 4. Training and awareness presentations to management and employees
- b. Complete required tasks
 - 1. Acquiring additional equipment
 - 2. Contractual arrangements
 - 3. Preparing backup and off-site storage
- c. Develop test plans, schedules, and reporting procedures

PROFESSIONAL PRACTICES FOR BUSINESS CONTINUITY PLANNERS

- d. Develop maintenance, updating, and reporting procedures

17. Continuity Actions and Procedures

18. 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

SUBJECT AREA 7 - AWARENESS and TRAINING PROGRAMS

Prepare a program to create corporate awareness and enhance the skills required to develop, implement, maintain, and execute the Business Continuity Plan.

The professional's role is to

- 1. Establish Objectives and Components of Training Program**
- 2. Identify Functional Training Requirements**
- 3. Develop Training Methodology**
- 4. Develop Awareness Program**
- 5. Acquire or Develop Training Aids**
- 6. Identify External Training Opportunities**
- 7. Identify Vehicles for Corporate Awareness**

The professional should demonstrate a working knowledge in the following areas.

1. Define Training Objectives

2. Develop Various Types of Training Programs

- a. Computer based
- b. Classroom
- c. Test based

3. Develop Awareness Programs

- a. Management
- b. Team members
- c. New employee orientation

4. Identify Other Opportunities for Education

- a. Professional business continuity planning conferences and seminars
- b. User groups
- c. Publications

SUBJECT AREA 8 - MAINTAINING and EXERCISING BUSINESS

CONTINUITY PLANS

Pre-plan and coordinate plan exercises, and evaluate and document plan exercise results. Develop processes to maintain the currency of continuity capabilities and the Plan document in accordance with the organization's strategic direction. Verify that the Plan will prove effective by comparison with a suitable standard, and report results in a clear and concise manner.

The professional's role is to

- 1. Pre-plan the Exercises**
- 2. Coordinate the Exercises**
- 3. Evaluate the Exercise Plans**
- 4. Exercise the Plans**
- 5. Document the Results**
- 6. Evaluate the Results**
- 7. Update the Plan**
- 8. Report Results/Evaluation to Management**
- 9. Understand Strategic Directions of the Business**
- 10. Attend Strategic Planning Meetings**
- 11. Coordinate Plan Maintenance**
- 12. Assist in Establishing Audit Program for the Business Continuity Plan**

The professional should demonstrate a working knowledge in the following areas.

1. Establish an Exercise Program

- a. Effectively analyze complex issues
- b. Employ a logical, structured approach
- c. Develop an exercise strategy that
 - does not put the organization at risk
 - is practical, cost-effective, and appropriate to the organization
 - ensures a high level of confidence in recovery capability.
- d. Create a suitable set of exercise guidelines.

2. Determine Exercise Requirements

- a. Define exercise objectives and establish levels of success
- b. Identify types of exercises, and their advantages and disadvantages
 1. Simulations and walk-throughs
 2. Modular
 3. Functional
 4. Announced
 5. Unannounced
- c. Establish and document scope of the exercise
- d. Exercise growth or expansion
- e. Exercise frequency
- f. Logistics and preplanning

3. Develop Realistic Scenarios

- a. Create exercise scenarios to approximate the types of incidents the organization is likely to experience and the problems associated with these incidents
- b. Train team members in new roles and decision-making falling outside the normal requirements of their permanent positions

- c. Exercise opening and communications, as well as logging and documentation requirements for the Emergency Operations Center
 - 1. Reconstruction
 - (a) Damage assessment
 - (b) Facility
 - (c) Equipment
 - (d) Environment
 - (e) Salvage/restoration (specialist services)
 - (f) Insurance

4. Establish Exercise Evaluation Criteria and Document Findings

- a. Observation
- b. Documentation
- c. Evaluation
 - 1. Expected versus actual results
- d. Plan update requirements

5. Create an Exercise Schedule

- a. Develop a progressive, incremental schedule
- b. Set realistic time scales
- c. Allocate appropriate and realistic resources

6. Select Exercise Method

- a. Understand different methods of exercising
- b. Identify advantages and disadvantages of alternate exercise methods
- c. Select a sound and appropriate exercise method
- d. Define controls and responsibilities
- e. Document exercise specifications and circulate to all parties

7. Define Exercise Objectives

- a. Clearly define exercise objectives and scope
- b. Ensure objectives do not put the organization at risk
- c. Brief participants, ensuring they understand the objectives and their roles

8. Prepare Exercise Control Plan and Reports

- a. Create realistic exercise scenarios appropriate to the organization
- b. Define assumptions and describe limitations
- c. Identify resources required to conduct the exercise
- d. Identify exercise adjudicators (umpires)
- e. Provide an inventory of items required for the exercise and specifications for the exercise environment
- f. Provide a timetable of events
- g. Provide an alternate exercise plan to ensure that value is gained from the exercise in the event of adverse circumstances

9. Conduct and Manage Exercises

- a. Conduct and manage each exercise
- b. Audit exercise actions

10. Post-Exercise Reporting

- a. Provide a summary of events for participants
- b. Provide a cogent, comprehensive summary with recommendations, commensurate with levels of confidentiality requested by exercise umpire/adjudicator or as specified by the subject organization

11. Feedback and Monitor Actions Resulting from Exercise

- a. Ensure that scheduled plan maintenance addresses all documented recommendations
- b. Identify actions and owners for recommendations; confirm owner acceptance
- c. Confirm time schedules for completing or reviewing agreed actions
- d. Monitor (and escalate where necessary) progress to completion of agreed actions
- e. Identify recommendations that require specific verification through exercising

12. Establish Review Criteria

- a. Periodic review
- b. Key change events
- c. Exercise results

13. Define Plan Maintenance Scheme and Schedule

- a. Define ownership of plan data
- b. Analyze sensitivity of particular elements to change

- c. Develop suitable timeframes for amendment and/or review
- d. Prepare maintenance schedules and review procedures

14. Maintain the Plan

- a. Select tools
- b. Monitor activities
- c. Establish update process
- d. Audit and control

15. Formulate Change Control Procedures

- a. Analyze business changes with business continuity planning implications
- b. Set guidelines for feedback of changes to planning function
- c. Develop change control procedures to monitor changes
- d. Create proper version control; develop plan re-issue, distribution, and circulation procedures
- e. Understand the potential implications of change on the Plan and, therefore, the requirement for exercising as required

16. Establish Status Reporting Procedures

17. Establish Plan Distribution and Control Procedures

- a. Select support tools for the maintenance process
 - 1. Understand the advantages and disadvantages of word processing plans
 - 2. Understand the advantages and disadvantages of software support tools
 - 3. Understand maintenance implications when selecting support tools (e.g., questionnaires, database based, or with combined features, etc.)
- b. Integration with organization awareness programs
 - 1. Identify and integrate the various factors that influence the orientation and effectiveness of the business continuity program
 - 2. Integrate and establish input to any existing organization orientation training programs
 - 3. Integrate and arrange liaison functions with key business users

18. Set Audit Objectives and Scope

- a. Understand the different audit options and methods
- b. Understand possible viable structures for a business continuity plan, and the methods of controlling such a plan
- c. Understand the essential characteristics of a viable business resumption plan
- d. Recommend and agree upon objectives and scope for the audit

19. Assess and Select Audit Method

- a. Determine whether to conduct a preliminary study and identify appropriate method (e.g., by use of questionnaires, interviews with key personnel)
- b. Develop a schedule of audit activities
- c. Assess resource requirements for the audit activities
- d. Prepare an audit plan
- e. Prioritize audit area
- f. Be aware of available techniques for auditing business continuity plans, and select appropriate techniques to achieve the audit objectives

20. Audit the Administrative Aspects of the Business Recovery Program

- a. Devise a schedule to audit any or all the following
 1. Awareness and training
 2. Documentation
 3. Organization
 4. Vital records
 5. Stand-by facilities
 6. Maintenance
 7. Contracts, SLAs or other commitments
 8. Backup regimes
 9. Suppliers
 10. Exercises
 11. Logistics

21. Audit the Plan's Structure, Contents, and Action Sections

- a. Determine if a section in the Plan addresses recovery considerations
- b. Evaluate the adequacy of emergency provisions and procedures
- c. Recommend improved positions if weaknesses exist

22. Audit the Plan's Documentation Control Procedures

- a. Determine whether the Plan is available to key personnel
- b. Review update procedures
- c. Demonstrate that update procedures are effective
- d. Examine the provision of secure backup copies of the Plan for emergency use
- e. List those individuals with copies of the Plan
- f. Ensure that plan copies are current

SUBJECT AREA 9 - PUBLIC RELATIONS and CRISIS COORDINATION

Note: Details of this subject area vary from country to country, and from industry to industry. The following basic components should be considered in addition to those specific to your country and/or industry.

Develop, coordinate, evaluate, and exercise plans to handle media during crisis situations. Develop, coordinate, evaluate, and exercise plans to communicate with employees and their families, key customers, critical suppliers, owners/stockholders, and corporate management during crisis. Ensure all stakeholders are kept informed on an as-needed basis.

The professional's role is to

- 1. Establish Public Relations Programs for Proactive Crisis Management**
- 2. Establish Necessary Crisis Coordination with External Agencies**
- 3. Establish Essential Crisis Communications with Relevant Stakeholder Groups**
- 4. Establish and Test Media Handling Plans for the Organization and its Business Units**

The professional should demonstrate a working knowledge in the following areas.

1. Identify Components of Proactive Public Relations Program

- a. Internal (corporate and business unit level) groups
- b. External groups
- c. External agencies

2. Identify External Agencies with Which Liaison is Required

- a. Local/state/national emergency services
- b. Local/state/national civilian defense authorities
- c. Local/state/national weather bureaus
- d. Other governmental agencies as appropriate

3. Identify Stakeholder Groups and Establish Essential Communications Plans

- a. Owners/stockholders
- b. Employees and their families
- c. Key customers
- d. Key suppliers
- e. Corporate/headquarters management
- f. Other stakeholders

4. Establish and Exercise Media Handling Plans

- a. Policies and procedures for media handling
- b. Plans and preparations for media handling
- c. Implement and exercise media handling plans

SUBJECT AREA 10 - COORDINATION WITH PUBLIC AUTHORITIES

Note: Details of this subject area vary from country to country, and from industry to industry. The following basic components should be considered in addition to those specific to your country and/or industry.

Establish applicable procedures and policies for coordinating continuity and restoration activities with local authorities while ensuring compliance with applicable statutes or regulations.

The professional's role is to

- 1. Coordinate Emergency Preparations, Response, Recovery, Resumption, and Restoration Procedures with Public Authorities**
- 2. Establish Liaison Procedures for Emergency/Disaster Scenarios**
- 3. Maintain Current Knowledge of Laws and Regulations Concerning Emergency Procedures**

The professional should demonstrate a working knowledge in the following areas.

1. Identify Applicable Laws and Regulations Governing Emergency Response

- a. Gather/identify sources of information on applicable laws and regulations
- b. Gather disaster recovery, environmental cleanup, and business resumption requirements

2. Identify and Coordinate with Agencies Supporting Disaster Recovery and Business Continuity

- a. Identify statutory requirements for the industry in which the organization participates
- b. Identify and coordinate with public agencies providing disaster assistance (financial and resources); establish liaison procedures
- c. Work with statutory agencies to conform to legal and regulatory requirements

3. Develop, Implement, and Exercise Plans to Meet Statutory Requirements

- a. Ensure that plans conform to statutory requirements
- b. Ensure that plan execution is coordinated with public authorities where necessary or required under law (e.g., during a disaster due to terrorism, bombing, or other criminal activities that require intervention by public authorities)
- c. Periodically review liaison procedures