

The following section provides some guidelines in developing a business continuity plan and a disaster recovery plan. The section maps to several requirements, which are noted.

Business Continuity Planning	Requirement	Implementation
Critical Business Function Analysis & Prioritization		
1. Mapping critical business functions to applications	Contingency Plan	<ul style="list-style-type: none"> • Applications and data criticality
2. Mapping applications to technologies (platforms, LANs/WANs, data storage, imaging, EDI, etc.)	Contingency Plan	<ul style="list-style-type: none"> • Applications and data criticality
3. Impact of business cycle on prioritization (end of month, quarter-end, year-end, etc.)	Contingency Plan	<ul style="list-style-type: none"> • Applications and data criticality
4. Strategy for regular update and review	Contingency Plan	<ul style="list-style-type: none"> • Testing and revision
5. Clear statement of risk assumption	Contingency Plan Security Management Process	<ul style="list-style-type: none"> • Applications and data criticality analysis
6. Definition of minimum acceptable level of service and detailed actions to get to that level	Contingency Plan	<ul style="list-style-type: none"> • Risk Analysis • Risk Management • Applications Analysis and data criticality
7. Management participation and signoff on prioritization recommendations	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan • Emergency Mode Operations Plan • Applications and data criticality

Business Continuity Planning	Requirement	Implementation
Manual Procedures		
1. Local (desktop) transaction capture & tracking	Media Controls	<ul style="list-style-type: none"> • Data Backup • Data Storage • Disposal
2. Customer interface procedures	Contingency Plan	<ul style="list-style-type: none"> • Emergency Mode Operations Plan
3. Work-in-process (WIP)	Media Controls	<ul style="list-style-type: none"> • Data Backup • Data Storage • Disposal
4. Transaction flow	Media Controls	<ul style="list-style-type: none"> • Data Backup • Data Storage • Disposal
5. Supply Chain procedures	Chain of Trust Partner Agreement	
6. Forms Controls	Security Management Process	<ul style="list-style-type: none"> • Risk Management • Disaster Recovery Plan
<ul style="list-style-type: none"> • Negotiable Documents Controls • Records Retentions • Forms Inventories 	Contingency Plan	

Business Continuity Planning	Requirement	Implementation
Work Around Procedures 1. Hardcopy 2. Reference Manuals 3. Contact Information 4. Procedures 5. Paper Transactions 6. Inventories a) Transactions b) Equipment c) Forms d) Personnel e) Services f) Communications	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan & • Emergency Mode Operations Plan
Business Unit Contingency Teams Organization 1. Emergency Management/Crisis Management guidelines/procedures/decisions 2. Public relations/Media Interaction guidelines 3. Emergency notification process and responsibilities 4. Hardcopy, local backup strategies 5. Key vendor information 6. Recovery Logistics 7. Human Elements 8. Teams Composition a) Skill set match b) Training c) Testing 9. Specific procedures for activating and de-activating contingency operations a) Authorization to activate/de-activate b) Quantified service level thresholds for activation/de-activation c) Triggers to activate/de-activate d) Methods for quantifying degradation of service e) Responsibilities/Authorities/Accountabilities during contingency operations	Contingency Plan Contingency Plan Contingency Plan Contingency Plan Contingency Plan Contingency Plan Contingency Plan Contingency Plan Contingency Plan	<ul style="list-style-type: none"> • Emergency Mode Operations Plan • Emergency Mode Operations Plan • Disaster Recovery Plan & • Emergency Mode Operations Plan • Disaster Recovery Plan • Disaster Recovery Plan • Disaster Recovery Plan • Disaster Recovery Plan • Disaster Recovery Plan • Disaster Recovery Plan & • Emergency Mode Operations Plan

Business Continuity Planning	Requirement	Implementation
10. Voice Communications a) As part of business functions b) As part of BCP	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan & • Emergency Mode Operations Plan
11. Business Continuity Plan Controls a) Plan Distribution b) Plan Maintenance c) Plan Testing d) Responsibilities e) Authorities	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan & • Emergency Mode Operations Plan
Crisis Management Teams & Procedures 1. Crisis Management Teams a) Technical b) Functional	Contingency Plan	<ul style="list-style-type: none"> • Emergency Mode Operations Plan
2. Crisis Management Procedures a) Public Relations b) Notifications c) Escalations	Contingency Plan	<ul style="list-style-type: none"> • Emergency Mode Operations Plan

Disaster Recovery Planning	Requirement	Implementation
Critical Applications Analysis & Prioritization 1. Strategy for prioritization	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis
2. Strategy for regular review & update	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis • Testing and Revision
3. Change in prioritization based on shift in business cycle	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis • Testing and Revision
4. Management review/signoff on prioritizations	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis • Testing and Revision
5. Application dependencies/interdependencies	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis
6. Mapping critical applications to business functions	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis
7. Application downtime procedures	Contingency Plan	<ul style="list-style-type: none"> • Applications and Data Criticality Analysis • Disaster Recovery Plan

Disaster Recovery Planning	Requirement	Implementation
Hardware Backup Strategies	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan
Software Backup Strategies	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan
Network Backup Strategies	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan
Testing Procedures	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan • Testing and Revision
Maintenance Procedures	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan • Testing and Revision
Business Impact Analysis & Risk Assessment Map Risks and Impacts Quantify & Qualify Risk Impacts Develop Recovery Strategies Mapped to Risks	Security Management Process Contingency Plan Security Management Process	<ul style="list-style-type: none"> • Risk Analysis • Risk Management • Disaster Recovery Plan • Risk Analysis • Risk Management
Asset Management Inventory	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan
Procedures for return to normal operations	Contingency Plan	<ul style="list-style-type: none"> • Disaster Recovery Plan