

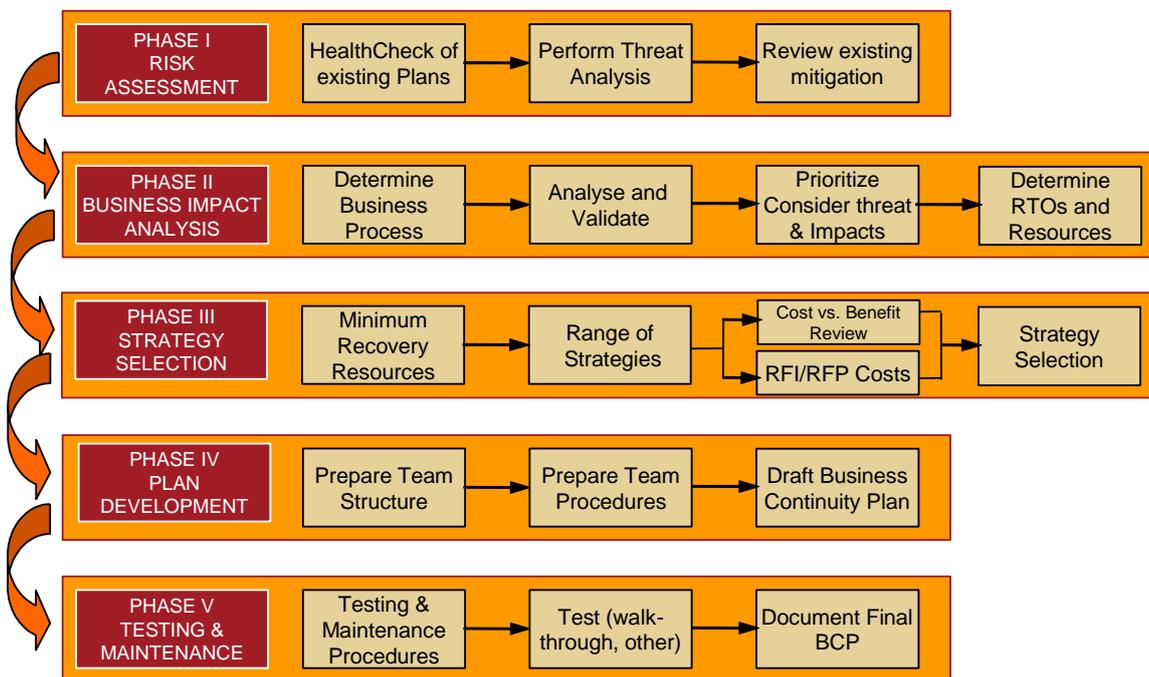
# **Business Continuity Planning Guidelines**

# Approach to Business Continuity Planning

## Introduction

This guidance document provides an overview of Business Continuity Planning (BCP).

The approach to Business Continuity Planning (BCP) involves a number of phases and activities as shown in the diagram below.



**Figure 1: Business Continuity Planning (BCP) Approach**

## Phase I - Risk assessment

During the risk assessment phase, the relevant threats are identified:

- Identification of the threats that are relevant for the organisation of the organisation;
- For each threat, the impact and probability of occurrence of the risks are both analysed and documented. In order to build a practical set of measures, group the identified threats into crisis scenarios;
- During this phase, the existing plans and measures are also evaluated. This will enable us to assess the extent to which the organisation is prepared to face the identified crisis scenarios.

## Phase II - Business impact analysis

Through the Business Impact Analysis (BIA) phase of the project we take a broad look at the organisation's business functions and narrow down the functions into a focused list of critical processes. Concentrating the list of business functions allows for the most effective planning and use of recovery resources. Specifically, the BIA will allow the team to:

- Identify the organisation's core, critical processes;

- Distinguish the impacts to each business function;
- Identify the resource requirements for each critical process (starting with a minimum number required and build up resource needs to meet recovery objectives);
- Estimate the financial and operational impacts of disruption and, through this, determine the required recovery time objective for each business function;
- Categorize the criticality and vulnerability of each business process; and
- Confirm or modify required recovery resources for each critical business function identified.

A draft report can be created covering the following areas:

- Financial impacts of disruption;
- Operational impacts of disruption;
- Recovery time objectives;
- Recommended staffing levels for business continuity;
- Required resources (i.e., office equipment computer systems, vital records, telecommunications) for business continuity of each critical department; and
- Rational recovery strategies for critical business functions.

### ***Phase III - Strategy alternatives analysis/evaluation and selection***

This phase explores a variety of strategy alternatives for the recovery of the critical business units. Based on the information from the BIA and strategy options, the organisation is assisted to select the most cost effective and beneficial recovery solution(s). In particular, this stage is used to:

- Confirm or modify required recovery resources for each critical business function identified during the BIA;
- Explore internal, as well as external, sites for recovery;
- Explore manual and interim workarounds to deal with the loss of systems, facilities, regional infrastructure and critical third parties; and
- Explore alternative recovery strategies.

Roundtable discussions with the organisation's management, IT and Facilities department will be conducted to achieve the objectives stated above.

The primary deliverable from this Step will be a high-level recovery strategy evaluation for all critical areas, covering both manual and automated recovery strategies.

The discussion of the recovery options will address the following for each alternative:

- Recovery Strategy - a brief description of the option, including alternate site requirements;
- Strengths - features that support business continuity;
- Weaknesses - features that hinder business continuity;
- Costs - pre-disaster and post-disaster costs;

- Outstanding Issues - items that require further investigation and management approval before implementing an option; and
- Recommendations - suggestions about which business functions or types of functions should use a given recovery strategy.

The objective of this exercise is to ensure that a clear path is defined to respond to an incident that impairs the organisation's ability to operate and should address each of the following elements:



**Figure 2: Elements to address when responding to an incident**

- **Business continuity planning** - advance planning to identify impacts/potential losses; formulate/implement viable continuity strategies; develop crisis, contingency and recovery plan(s) for continuity of business operation / services in the event of a crisis or disaster;
- **Crisis management** - time-limited, problem-focused intervention to identify, confront and manage the immediate crisis, invoke appropriate responses and restore equilibrium;
- **Contingency/Continuity plans** - pre-determined interim plans which are devised and then invoked to enable a degree of operational capability / organisation contact to be maintained; and
- **Recovery management** - the process of returning a business function to a state of normal operations either at an interim minimal survival level or re-establishing full scale operations.

## ***Phase IV - Plan development/documentation***

The efforts of the first three phases are the foundation for developing a comprehensive and viable business continuity plan. The information from the earlier stages is used in the creation of the plan. In this phase the draft plans are prepared for the organisation's critical business functions. In addition the plan will be designed to take account of ongoing updates and changes as required for plan maintenance (e.g., change control, timely review of names, roles, contact details)

This plan will serve as a guide for the organisation to assess disruptive events, determine appropriate response(s) and initiate procedures to activate required contingency methods and procedures. Specifically, the plan includes:

- Crisis management (i.e., time limited problem focused intervention to identify, confront and manage the immediate crisis, invoke appropriate responses and restore equilibrium);
- Team member organisation and notification;
- Disaster assessment and declaration procedures;

- High-level recovery resource coordination;
- Notification and coordination of internal and external contacts;
- Invocation of pre-determined contingency plans which are devised to enable a degree of operational capability to be maintained; and
- Detailed recovery and restoration procedures that will provide a streamlined and effective framework for the return of a business function to a state of normal operations either at an interim survival level or re-establishing a full scale operation.

This structure of the Business Continuity Plan typically addresses the following issues:

- Purpose and objectives of the plan;
- Assumptions for planning;
- Mobilisation of initial response teams;
- Assessment of the incident and of like/safety issues; and
- Action plans for dealing with incident including:
  - roles and responsibilities,
  - recovery policies and procedures from initial response through recovery,
  - team membership and contact information, required applications and data,
  - internal and external contacts information,
  - resource requirements, and
  - summary of recovery strategies.

## ***Phase V - Plan testing and maintenance***

Plans quickly become out of date. This phase aims to put in place processes to regularly test and maintain the plan. Key to the maintenance of the plan is the introduction of the rigorous configuration management within organisation. This will allow the tracking of changes to the business environment and explicit triggers for the maintenance of the plans.

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Glossary

RTO – Recovery Time Objectives

RFI – Request for Information