

Summary of Contents

The Contingency Planning Process

Chapter 1 — The Contingency Planning Process

Chapter 1A — Contingency Planning and the Systems Development Life Cycle

Project Initiation

Chapter 2 — Project Initiation

Security and Risk Assessment

Chapter 3 — Security and Risk Assessment

Disaster Recovery Strategies

Chapter 4 — Disaster Recovery Strategies and Contracting Services

Recovery Plan Development

Chapter 5 — Recovery Plan Development

Chapter 5A — Continuity of Operations Planning

Chapter 5B — Business Continuity Planning for Pandemic Influenza

Training and Testing

Chapter 6 — Testing the Plan

Chapter 7 — Contingency Planning Training

Laws, Standards, and Guidelines

Chapter 8 — Laws, Standards, and Guidelines

Checklists

Sample Documents and Policies

Sample Documents (Available on CD)

Sample Policies (Available on CD)

Appendixes

Glossary

Contents

Part I The Contingency Planning Process

Chapter 1 The Contingency Planning Process

Types of Plans	1 — 1
Business Continuity Plan	1 — 2
Business Recovery Plan	1 — 2
Continuity of Operations Plan.....	1 — 2
Continuity of Support Plan.....	1 — 3
Disaster Recovery Plan	1 — 3
Incident Response Plan	1 — 3
Occupant Emergency Plan	1 — 3
Contingency Planning Objectives	1 — 5
Methodology	1 — 6
Project Initiation.....	1 — 6
Security and Risk Assessment.....	1 — 7
Disaster Recovery Strategies.....	1 — 8
Recovery Plan Development.....	1 — 9
Training and Testing	1 — 10
Checklists and Samples.....	1 — 12
Appendixes.....	1 — 12
Exhibit 1.1: Recovery Planning Process	1 — 13
Exhibit 1.2: Contingency Organization Chart.....	1 — 20
Exhibit 1.3: The Recovery Process — Conceptual Flowchart.....	1 — 21

Chapter 1A Contingency Planning and the Systems Development Life Cycle

Planning Phase	1A — 2
The Conceptual Design.....	1A — 3

Performing a Detailed Analysis	1A — 4
Development Phase	1A — 11
Implementation Phase	1A — 16
Operation/System Support Phase	1A — 18
Decommission Phase	1A — 20

Part II

Project Initiation

Chapter 2

Project Initiation

Management Commitment	2 — 1
Resources	2 — 1
Consulting Firms	2 — 2
Internal Resources	2 — 3
Contingency Planning Policy	2 — 3
Planning Committee	2 — 4
Phase I: Project Initiation	2 — 6
Phase II: Business Impact Analysis (BIA) and Risk Assessment	2 — 7
Phase III: Recovery Strategies	2 — 13
Phase IV: Plan Development	2 — 14
Phase V: Training and Testing	2 — 17
Preparing a Budget	2 — 19
Software-Based Plans	2 — 21
Addressing Various Disaster Scenarios	2 — 22
Diagnostic Questions	2 — 23
Project Outline	2 — 24
Exhibit 2.1: Sample Position Description for Business Continuity Planning Manager	2 — 25
Exhibit 2.2: Sample Position Description for Business Continuity Planning Staff Member	2 — 32
Exhibit 2.3: IT Infrastructure Checklist	2 — 38
Exhibit 2.4: Project Schedule	2 — 54
Exhibit 2.5: Business Continuity Budget	2 — 58
Exhibit 2.6: PC Business Continuity Planning Software Functions, Features, and Capabilities	2 — 59

Part III
Security and Risk Assessment

Chapter 3
Security and Risk Assessment

Disaster Prevention.....	3 — 1
Procedural Prevention	3 — 1
Physical Prevention	3 — 2
Computer Area.....	3 — 2
Computer Room Floor	3 — 3
Furniture and Equipment	3 — 3
Fire Detection and Extinguishing Systems	3 — 3
Records	3 — 5
Air Conditioning.....	3 — 6
Electrical Supply Systems.....	3 — 6
Emergency Procedures.....	3 — 7
Security and Control Considerations.....	3 — 8
General Computer Controls	3 — 8
Organization Controls	3 — 9
Systems Development and Maintenance Controls.....	3 — 9
Documentation Controls	3 — 10
Access Controls	3 — 10
Data and Procedural Controls	3 — 11
Physical Security.....	3 — 11
Password Security Systems.....	3 — 11
Application Computer Controls	3 — 17
Input Controls	3 — 17
Processing Controls	3 — 19
Output Controls.....	3 — 20
Communications Security	3 — 21
The Concept of Least Privileges	3 — 22
Defense in Depth.....	3 — 22
Firewalls.....	3 — 23
Internal Network Security	3 — 23
Antivirus Software.....	3 — 24
Computer Host Security.....	3 — 24
Intrusion Detection Systems	3 — 25
Network Security and Disaster Recovery Planning	3 — 26
Remote Access.....	3 — 26
Virtual Private Networks	3 — 26

VPN and Disaster Recovery	3 — 27
Security Modems	3 — 28
Computer System Backup and Recovery Capability	3 — 29
Identifying Lost Data	3 — 30
Selective Backup.....	3 — 31
Off-Site Storage Facility and Accessibility.....	3 — 31
Risk Assessment Process.....	3 — 36
History and Probability of Disaster Types	3 — 36
Rating Potential Threats.....	3 — 39
Weighted Risk Factor	3 — 40
Insurance Considerations.....	3 — 41
Property Coverage.....	3 — 41
Time-Element Coverage	3 — 42
Creating and Maintaining Records.....	3 — 43
Business Interruption and Resumption	3 — 44
Extra Expense Coverage	3 — 44
Business Interruption Costs	3 — 45
Valuable Paper and Records Coverage.....	3 — 46
Errors and Omissions Coverage.....	3 — 47
Fidelity Coverage.....	3 — 47
Media Transportation Coverage.....	3 — 48
Estimating Costs.....	3 — 48
Business Impact Analysis.....	3 — 48
Mission Critical Needs.....	3 — 49
Outage Impact Analysis	3 — 50
Business Function Description.....	3 — 50
Critical Systems	3 — 50
Dependencies	3 — 50
Workflow Impact.....	3 — 50
Future Business Function Changes	3 — 50a
Impact of Not Processing.....	3 — 50a
Redundancy Levels.....	3 — 50b
Alternate Processing Methods	3 — 50b
Business Function Forms.....	3 — 50b
Setting Priorities on Processing and Operations	3 — 50c
Contingency Planning Costs	3 — 50c
Business Impact Analysis Report.....	3 — 50d
Record Retention Guidelines	3 — 50d
The Scope of the Plan.....	3 — 50e
Exhibit 3.1: General Computer Controls Questionnaire	3 — 50f
Exhibit 3.2: Backup/Recovery Questionnaire.....	3 — 83
Exhibit 3.3: Potential Types of Exposure	3 — 86
Exhibit 3.4: Risk Assessment.....	3 — 89
Exhibit 3.5: Insurance Analysis Questionnaire.....	3 — 94
Exhibit 3.6: Business Impact Analysis Questionnaire	3 — 97

Exhibit 3.7: Business Function Impact Ratings	3 — 118
Exhibit 3.8: Business Function Recovery Strategies	3 — 119
Exhibit 3.9: Applications Priority Checklist	3 — 120
Exhibit 3.10: Business Impact Analysis Report Sample Table of Contents	3 — 122
Exhibit 3.11: Records Retention Schedule.....	3 — 125
Exhibit 3.12: Salvage Techniques by Type of Record Media.....	3 — 127

Part IV
Disaster Recovery Strategies

Chapter 4
Disaster Recovery Strategies
and Contracting Services

Computer Recovery Strategies	4 — 1
Single Points of Failure	4 — 1
Commercial Hot Sites	4 — 2
Selecting a Hot Site.....	4 — 3
Mobile Hot Sites	4 — 3
Communications	4 — 3
Advantages and Disadvantages.....	4 — 4
Commercial Warm Sites	4 — 4
Advantages and Disadvantages.....	4 — 5
Commercial Cold Sites	4 — 5
Portable Empty Shells.....	4 — 6
Advantages and Disadvantages.....	4 — 6
Colocation Vendors.....	4 — 7
Overview.....	4 — 7
Building Features	4 — 7
Power Features.....	4 — 8
Access Features.....	4 — 9
Costs.....	4 — 9
Managed Services	4 — 9
Other Considerations	4 — 11
Advantages and Disadvantages.....	4 — 11
Internal Hot Sites.....	4 — 12
Cooperative Hot Sites	4 — 13
Reciprocal Agreements	4 — 13
Equipment Compatibility.....	4 — 14

Consortium Agreement	4 — 14
Advantages and Disadvantages	4 — 14
Quick Ship Arrangements	4 — 15
Advantages and Disadvantages	4 — 15
Summary	4 — 16
Vendor-Supplied Equipment	4 — 17
PC Recovery Strategies	4 — 17
Outsourcing	4 — 17
Advantages and Disadvantages	4 — 18
Fortress	4 — 18
Advantages and Disadvantages	4 — 18
Second Data Center	4 — 19
Estimated Costs	4 — 19
Data Center Building Considerations	4 — 20
Advantages and Disadvantages	4 — 22
High-Availability Technology	4 — 23
Overview	4 — 23
Network-Load Balancing/Fail-Over	4 — 23
Replication Methods	4 — 24
Deduplication	4 — 25
RAID and Disk Mirroring Technology	4 — 26
Virtualized Environments	4 — 28
Server Virtualization	4 — 28
Storage Virtualization	4 — 29
Comparing Recovery Strategies	4 — 30
E-Mail Recovery Strategies	4 — 30
Overview	4 — 30
Distributed E-Mail Server Configuration	4 — 31
Advantages	4 — 31
Disadvantages	4 — 32
Single Location Storage Area Network (SAN) Dependent E-Mail Configuration	4 — 32
Advantages	4 — 32
Disadvantages	4 — 33
Geographically Dispersed E-Mail Cluster Configuration	4 — 33
Advantages	4 — 34
Disadvantages	4 — 34
Infrastructure Services Servers	4 — 34
Overview	4 — 34
Recovery Strategies	4 — 35
PDC/BDC	4 — 35
DNS	4 — 36
WINS	4 — 36
DHCP	4 — 36
LDAP	4 — 36
Remote Access	4 — 37

Print Servers.....	4 — 37
Firewalls and Intrusion Detection Systems.....	4 — 37
Wide Area Network.....	4 — 37
Overview.....	4 — 37
WAN Topology.....	4 — 38
Communication Recovery Options.....	4 — 41
Long-Distance Carriers.....	4 — 41
Internet.....	4 — 42
Telephone Services.....	4 — 42
Overview.....	4 — 42
Backup Redundant Circuits.....	4 — 42
Advantages.....	4 — 42
Disadvantages.....	4 — 43
Cellular Phones.....	4 — 43
Advantages.....	4 — 43
Disadvantages.....	4 — 43
Satellite Phones.....	4 — 44
Advantages.....	4 — 44
Disadvantages.....	4 — 44
Emergency Telephones.....	4 — 45
Advantages.....	4 — 45
Disadvantages.....	4 — 45
Inventory of Spare Parts.....	4 — 45
Advantages.....	4 — 45
Disadvantages.....	4 — 45
Vendor-Supplied Equipment.....	4 — 46
Advantages.....	4 — 46
Disadvantages.....	4 — 46
Used PBX Equipment.....	4 — 46
Advantages.....	4 — 47
Disadvantages.....	4 — 47
Voice Over Internet Protocol.....	4 — 47
Advantages.....	4 — 47
Disadvantages.....	4 — 48
Facility Backup Options.....	4 — 48
Location Specifications.....	4 — 48
Work Group Recovery.....	4 — 48
Fixed-Location Work Centers.....	4 — 49
Mobile Work Centers.....	4 — 49
Outsourced Services.....	4 — 49
Recovery Services: Request for Proposal.....	4 — 51
Background.....	4 — 51
Recovery Objectives.....	4 — 51
Recovery Requirements.....	4 — 52
Costs.....	4 — 53

Vendor Overview	4 — 53
List of References	4 — 54
Vendor Approach	4 — 54
Configuration Abilities	4 — 54
Facility Abilities	4 — 55
Services and Resources	4 — 56
Contract Terms	4 — 56
Contract for Services	4 — 57
Payment Terms and Conditions	4 — 57
RFP Response Deadline	4 — 57
Written Agreements	4 — 57
Definitions	4 — 58
Disaster	4 — 58
Recovery Center	4 — 58
Circumstances Constituting an Emergency or Disaster Declaration	4 — 58
Authorization to Declare an Emergency Requiring Backup	4 — 59
Contract Terms	4 — 59
Initial Contract Duration	4 — 59
Contract Renewal Notification	4 — 59
Renegotiation Circumstances	4 — 59
Contract Termination Criteria	4 — 60
Priority of This Arrangement Relative to Other Similar Arrangements	4 — 60
Warranties and Penalties for Failure to Provide Contracted Services	4 — 60
Responsibilities	4 — 60
Responsibilities of the Hot Site	4 — 61
Responsibilities of the Customer	4 — 61
Hot-Site Requirements	4 — 62
Availability and Minimum Period of Occupancy	4 — 62
Maximum Period of Occupancy	4 — 62
Backup Site Personnel and Support Services Provided	4 — 62
Operating Conditions Under Disaster and Testing	4 — 63
Hardware Requirements	4 — 64
Backup Hardware Configuration	4 — 64
Guarantees of Compatibility for Hardware and Systems Software	4 — 64
Fees for Services	4 — 65
Prior to a Disaster	4 — 65
Under Disaster Conditions	4 — 65
During Periodic Testing	4 — 65
Additional Fees and Price Increases	4 — 66
Testing Parameters	4 — 66
Requirement, if Any, for Periodic Testing of the Backup Arrangement	4 — 66
Availability of Testing Workshops	4 — 66
Remote Testing Capability	4 — 66
Other Standard Contract Provisions	4 — 67
Review by Legal Counsel	4 — 67

Alternate Site Contract Form	4 — 67
Exhibit 4.1: Comparison of Recovery Strategies	4 — 68
Exhibit 4.2: Alternate Facility Locations	4 — 69
Exhibit 4.3: Alternate Site Location Specifications	4 — 71
Exhibit 4.4: Facility Space Requirements	4 — 73
Exhibit 4.5: Building Security Checklist	4 — 74
Exhibit 4.6: Computer Room Security Checklist	4 — 76
Exhibit 4.7: Redundant Data Center Cost Form	4 — 77
Exhibit 4.8: Recovery Strategy Comparison	4 — 81
Exhibit 4.9: Alternate Site Contract(s)	4 — 82

Part V

Recovery Plan Development

Chapter 5

Recovery Plan Development

Recovery Procedures Best Practices	5 — 1
Data Collection	5 — 2
The Written Plan	5 — 3
Standard Format	5 — 4
Writing Effective Disaster Recovery Procedures	5 — 5
Scope	5 — 6
Typical Planning Assumptions	5 — 7
Command and Control Center	5 — 8
Team Approach	5 — 11
The Management Team	5 — 12
Business Continuity Administrator	5 — 13
Business Continuity Coordinator	5 — 14
The Administrative Team	5 — 14
The Departmental Team	5 — 15
The Computer Team	5 — 16
Detailed Outline of a Plan	5 — 16
Additional Forms	5 — 17
Plan Maintenance	5 — 18
Maintenance Frequency	5 — 18
Change Factors	5 — 18
Maintenance Responsibilities	5 — 19
Distribution Issues	5 — 19
Modifying Forms	5 — 20

Chapter 5A

Continuity of Operations Planning

Overview	5A — 1
Definitions of Terms	5A — 1
Emergency	5A — 1
Comprehensive Emergency Operations Plan (CEOP)	5A — 1
Continuity of Operations Plan (COOP)	5A — 2
Continuity of Government (COG)	5A — 2
COG Concept of Operations Plan (CONOP)	5A — 3
Federal Emergency Management Agency (FEMA)	5A — 4
Significance of Continuity of Operations Planning	5A — 5
COOP Background	5A — 5
Historical Overview	5A — 5
The Changing Threat	5A — 6
Current Policy and Guidance	5A — 6
PDD 67 Requirements	5A — 7
Current Activities	5A — 9
Homeland Security	5A — 9
Legal Considerations	5A — 10
Nationally Recognized Criteria	5A — 10
Essential Elements of a COOP	5A — 11
Initial Continuity of Operational Planning Activities	5A — 12
Plans and Procedures	5A — 12
Mission Essential Functions	5A — 15
Delegations of Authority and Orders of Succession	5A — 16
Alternate Facilities	5A — 17
Interoperable Communications	5A — 18
Vital Records and Databases	5A — 19
Managing Remote Data	5A — 20
Disk-to-Disk Backup	5A — 23
Logistics and Administration	5A — 24
Personnel Issues and Coordination	5A — 25
Security	5A — 26
Test, Training, and Exercise	5A — 26
Program Management	5A — 28
COOP Development Process	5A — 28
Establish a Planning Team	5A — 29
Assign Authority	5A — 30
Plan Development	5A — 30
Documenting the COOP	5A — 31
Challenges	5A — 32
Implementation	5A — 33
Survey Current Resources/Capabilities	5A — 34

Develop a Multi-Year Strategy and Program Management Plan	5A — 34
Employ Working Groups	5A — 35
Investigate Opportunities to Achieve Minimum Capability	5A — 35
Validation	5A — 36
Prepare Comprehensive Test, Training, and Exercise Program	5A — 37
Develop Training and Orientation Curriculum	5A — 38
Prepare Schedules for Process and Equipment Tests	5A — 39
Develop Exercising Program	5A — 40
Develop an Improvement Action Process	5A — 41
Continuity of Operations Support Documents	5A — 41
FEMA	5A — 43
Background	5A — 43
Responsibilities	5A — 44
Building Disaster-Resistant Communities	5A — 45
Partnerships	5A — 45
FEMA’s Regions	5A — 46
Life Cycle of Disasters	5A — 46
Preparedness	5A — 47
Overview	5A — 47
All-Hazards Preparedness	5A — 48
Community and Family Preparedness	5A — 48
Preparedness Activities	5A — 49
Response	5A — 51
Mitigation	5A — 51
Risk Reduction	5A — 52
Prevention	5A — 52
Recovery	5A — 53
Disaster Declaration Process	5A — 53
Declaration Steps	5A — 53
Assistance Available	5A — 55
Individual Assistance	5A — 55
Small Business Administration Disaster Loans	5A — 56
Disaster Unemployment Assistance	5A — 57
Legal Services	5A — 57
Special Tax Considerations	5A — 58
Crisis Counseling	5A — 58
Public Assistance	5A — 59
Hazard Mitigation	5A — 60
Federal Response Plan	5A — 62
Overview	5A — 62
Purpose	5A — 63
Scope	5A — 64
Organization of the FRP	5A — 65
ESF Support Agencies	5A — 66
Recovery Agencies	5A — 66

Other Federal Agencies	5A — 67
Planning	5A — 67
FEMA Emergency Operations Plans Guidance	5A — 67
Overview	5A — 67
Purpose	5A — 68
Planning Considerations.....	5A — 69
General	5A — 69
All-Hazards Planning with Emphasis on WMD Terrorist Incidents.....	5A — 70
Interim Planning Guide for State and Local Governments	5A — 70
Terrorism Planning Guide Tool Kit	5A — 71
Other Planning Considerations.....	5A — 72
Identification and Protection of Critical Infrastructure	5A — 72
Inventory of Critical Response Assets	5A — 73
Interstate and Intrastate Mutual Aid Agreements	5A — 73
Resource Typing	5A — 75
Resource Standards.....	5A — 76
Continuity of Operations (COOP)/Continuity of Government (COG).....	5A — 77
In Kind Donated Goods and Volunteer Services Coordination	5A — 78
Conclusion.....	5A — 78
National Incident Management System.....	5A — 79
Overview	5A — 79
Advantages of NIMS.....	5A — 79
Key Features of NIMS	5A — 80
Incident Command System (ICS)	5A — 80
Communications and Information Management.....	5A — 81
Preparedness	5A — 81
Joint Information System (JIS)	5A — 81
NIMS Integration Center (NIC)	5A — 81
Interim Guidance on Continuity of Operations Planning for State and Local Governments	5A — 82
Overview	5A — 82
Purpose, Goals, and Objectives.....	5A — 83
Planning Participants.....	5A — 84
Planning Coordination	5A — 85
Certification and Distribution of the COOP Plan.....	5A — 86
Five Steps for Developing the COOP	5A — 87
Step 1: Initiating the COOP Planning Process.....	5A — 87
Step 2: Identifying Essential Functions, Operations, and Responsibilities.....	5A — 87
Step 3: Developing the COOP Plan	5A — 89
Step 4: Preparing for Implementation of the COOP Plan.....	5A — 90
Step 5: Maintaining COOP Readiness	5A — 91

Chapter 5B

Business Continuity Planning for Pandemic Influenza

Avian Flu Background and Implications.....	5B — 1
Pandemics	5B — 1
Impacts of an Avian Flu Pandemic	5B — 2
Business Continuity Planning.....	5B — 4
Steps to Prepare for a Pandemic.....	5B — 4
Government Involvement and Coordination	5B — 5
Federal Guidance for Pandemic Planning	5B — 5
U.S. Federal Government Goals and Responsibilities	5B — 6
Critical Infrastructure and Key Resource Sectors.....	5B — 7
State and Local Government Responsibilities	5B — 8
Private Sector Responsibilities.....	5B — 9
Survival Through Strengthened Relationships.....	5B — 10
Local Public Safety Departments.....	5B — 10
Medical Community	5B — 11
Planning and Risk Assessment.....	5B — 11
General Questions	5B — 12
Actions to Initiate the Planning Process.....	5B — 13
Select the Response Team Leader	5B — 13
Build the Response Team	5B — 14
Plan the Risk Assessment	5B — 14
Select the Risk Assessment Team.....	5B — 15
Prioritize and Assign Tasks.....	5B — 16
Establish Timetables and Benchmarks	5B — 16
Designing a Pandemic Communications Plan.....	5B — 16
Create the Crisis Communications Team.....	5B — 17
Define Core Messages.....	5B — 17
Select the Messengers	5B — 17
Conduct a Communications Audit	5B — 18
Develop Advance Communications Materials.....	5B — 18
Establish Policies and Procedures for Disseminating Information	5B — 19
Test the Communications Plan.....	5B — 19
Employee Communications.....	5B — 19
Initial Communication	5B — 19
Updates.....	5B — 20
Distribute the Response Plan Draft	5B — 20
Prepare Targeted Communications	5B — 21
Provide Critical Information	5B — 21
Pandemic Personnel Policies	5B — 22
Follow-Up Communications.....	5B — 22
Information About the Flu	5B — 23
Protecting Employees' Health.....	5B — 23

Technology Considerations	5B — 24
Firewalls	5B — 25
Web Browsers	5B — 25
Encryption Software to Protect Privacy	5B — 26
Strong Passwords	5B — 27
Wireless Networking Security Issues	5B — 27
Virtual Private Networks	5B — 28
Controlling System Access	5B — 29
Protecting Internal Systems	5B — 30
Exhibit 5B.1: Pandemic Planning Appendix from FFIEC	on CD
Exhibit 5B.2: Events and Developments	on CD

Part VI

Training and Testing

Chapter 6

Testing the Plan

Testing Criteria and Procedures	6 — 3
Checklist Testing.....	6 — 4
Structured Walk-Through Testing	6 — 4
Simulation Testing	6 — 4
Parallel Testing.....	6 — 5
Full-Interruption Testing.....	6 — 5
Offsite Storage Tests	6 — 6
Emergency Operations Center Tests	6 — 6
Recovery Center Tests	6 — 6
Communications Tests	6 — 6
Server Restoration Tests.....	6 — 6
Testing the Plan	6 — 8
Sample Structured Walk-Through Test.....	6 — 8
Explain the Test Scenario to Participants	6 — 9
Each Team Simulates the Procedures	6 — 9
Update the Plan and Record the Test Results	6 — 10
Test Results Evaluation	6 — 11
Senior Management Approval.....	6 — 12
Exhibit 6.1: BCP Test Schedule.....	6 — 13
Exhibit 6.2: Test Preparation Worksheet	6 — 14
Exhibit 6.3: Checklist Testing Worksheet	6 — 18
Exhibit 6.4: BCP Test Scenario: Structured Walk-Through Test	6 — 20

Exhibit 6.5: Test Results Evaluation Form6 — 23

Chapter 7 Contingency Planning Training

Overview	7 — 1
Training Objectives	7 — 1
Training on Special Skills	7 — 2
Types of Training	7 — 3
Business Continuity Planning Discipline Training	7 — 3
Business Continuity Director/Administrator	7 — 3
Business Continuity Coordinator	7 — 3
BCP Implementation/Execution Training	7 — 3
BCP Testing Training	7 — 4
Awareness Training	7 — 4
BCP Cross Training	7 — 4
Job Descriptions	7 — 4
Training Methodology	7 — 4
Training Resources and Materials	7 — 5
Structured Walk-Through Training	7 — 6
Training Needs	7 — 6
Training Schedule	7 — 10
Evaluating Training	7 — 10
Evaluation Criteria	7 — 10
Participant Evaluations	7 — 10
Training Session Evaluations	7 — 10
Exhibit 7.1: Training Schedule	7 — 11
Exhibit 7.2: Participant Training Evaluation Form	7 — 13
Exhibit 7.3: Training Session Analysis Form	7 — 15

Part VII
Laws, Standards, and Guidelines

Chapter 8
Laws, Standards, and Guidelines

Federal Business Continuity Planning Guidance	8 — 1
FFIEC BCP Examination Booklet	8 — 1
National Institute of Standards and Technology Planning Guide	8 — 3
Overview	8 — 3
Fundamental Contingency Planning Principles	8 — 4
Scope	8 — 4
Audience	8 — 5
Risk Management Process	8 — 6
IT Contingency Planning Process	8 — 6
Develop the Contingency Planning Policy Statement	8 — 7
Plan Maintenance	8 — 12
NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs	8 — 13
History	8 — 13
Consensus-Building Process	8 — 14
Capability Assessment for Readiness	8 — 15
Future Development	8 — 16
Core Requirements	8 — 16
Chapter 1: Introduction	8 — 17
Chapter 2: Program Management	8 — 17
Chapter 3: Program Elements	8 — 18
Appendices	8 — 19
Implications for Business Continuity Planning	8 — 20
Development of EMAP	8 — 21
EMAP Concept and Process	8 — 22
EMAP Standard	8 — 22
The Role of IAEM	8 — 23
Disaster Mitigation Act of 2000	8 — 23
Overview	8 — 23
DMA 2000 Mitigation Planning Provisions	8 — 25
Using the Plan Criteria	8 — 27
Organization of the Plan Criteria	8 — 28
Plan Submittal Procedures	8 — 29
Time Frame for Review	8 — 29
Plan Updates	8 — 29

Health Insurance Portability and Accountability Act.....	8 — 29
HIPAA Overview	8 — 29
HIPAA’s Effect on Government Agencies	8 — 30
Enforcement and Penalties	8 — 31
HIPAA Security Overview.....	8 — 32
Administrative Procedures	8 — 33
Physical Safeguards	8 — 34
Technical Security Services	8 — 35
Technical Security Mechanisms.....	8 — 35
Contingency Planning Requirements	8 — 36
Compliance Process	8 — 37
Final HIPAA Security Standards for the Protection of Electronic Protected Health Information	8 — 43
Overview	8 — 43
Applicability	8 — 45
Definitions.....	8 — 45
Security Standards: General Rules.....	8 — 45
Administrative Safeguards	8 — 47
Physical Safeguards	8 — 50
Technical Safeguards	8 — 52
Organizational Requirements.....	8 — 53
Policies and Procedures and Documentation Requirements	8 — 55
Compliance Dates	8 — 56
Health Plan.....	8 — 56
Health Care Clearinghouse	8 — 57
Exhibit 8.1: HIPAA Electronic Signature Standard.....	8 — 58
Exhibit 8.2: HIPAA Security Matrix	8 — 62
Exhibit 8.3: Application Product Security Checklist	8 — 66
Exhibit 8.4: HIPAA Definitions.....	8 — 69
Exhibit 8.5: HIPAA Security Standards: Matrix.....	8 — 71
Exhibit 8.6: FFIEC BCP Examination Booklet Table of Contents.....	8 — 73

Part VIII Checklists

Disaster Mitigation Checklists	
Checklist 1A: Application Controls	Checklists — 3
Checklist 1B: Business Continuity Planning	Checklists — 6
Checklist 1C: Vital Records.....	Checklists — 9
Checklist 1D: Communications Controls.....	Checklists — 13
Checklist 1E: Computer Operations.....	Checklists — 16
Checklist 1F: Computer Room Security	Checklists — 20

Checklist 1G: Data Backup Procedures	Checklists — 24
Checklist 1H: Facility Security	Checklists — 25
Checklist 1I: Insurance.....	Checklists — 30
Checklist 1J: Internet Security	Checklists — 31
Checklist 1K: Main Computer Security	Checklists — 33
Checklist 1L: Network	Checklists — 36
Checklist 1M: Personnel	Checklists — 40
Checklist 1N: Program Development	Checklists — 43
Auditing Checklists	
Checklist 2A: Risk Assessment.....	Checklists — 48
Checklist 2B: Business Impact Analysis.....	Checklists — 50
Checklist 2C: Recovery Strategies.....	Checklists — 53
Checklist 2D: Team Structure.....	Checklists — 55
Checklist 2E: Executive Summary.....	Checklists — 57
Checklist 2F: Emergency/Evacuation Procedures	Checklists — 59
Checklist 2G: Management Team.....	Checklists — 61
Checklist 2H: Administrative Recovery Team	Checklists — 63
Checklist 2I: Technical Recovery Team	Checklists — 66
Checklist 2J: Departmental Recovery Teams	Checklists — 68
Checklist 2K: Data Collection.....	Checklists — 70
Checklist 2L: Test Plan	Checklists — 72

Part IX

Sample Documents and Policies

Sample Documents

How to Use Sample Documents.....	Documents — 1
Table of Contents	Documents — 3
Section I: Introduction.....	Documents — 4
A. Purpose	Documents — 4
B. Objective	Documents — 4
C. Background	Documents — 4
D. Data Center and Network Overview	Documents — 5
Section II: Vendor Requirements	Documents — 8
A. Hot-Site Requirements	Documents — 8
B. Data Communications Requirements	Documents — 8
C. Completion of the Request for Proposal.....	Documents — 9
Section III: Vendor Instructions	Documents — 10
A. Vendor Responding Costs	Documents — 10
B. RFP Changes	Documents — 10
C. RFP Questions.....	Documents — 10

D. RFP Response Submission Requirements	Documents — 10
E. Mandatory Bond Requirements.....	Documents — 16
F. RFP Response Deadline	Documents — 16
Section IV: Special Terms and Conditions	Documents — 17
Section V: Exhibits.....	Documents — 24
Exhibit A Current Communications Diagram.....	Documents — 24
Exhibit B Disaster Recovery Communications Diagram.....	Documents — 25

Sample Policies

(This section is available on the accompanying CD.)

How to Use the Sample Policies	Policies — 1
Control Environment Policies	
Information Assets	Policies — 3
Operational Standards and Guidelines	Policies — 9
User Standards.....	Policies — 13
Records Retention	Policies — 17
Backup and Recovery.....	Policies — 25
Business Continuity Planning.....	Policies — 29
Security Policies	
Security Training.....	Policies — 45
Security Administration.....	Policies — 49
Physical Security Over Information Assets.....	Policies — 57
Virus Protection and Detection	Policies — 67
Electronic Mail.....	Policies — 73

Appendixes

Appendix A: Disaster Related Resources for Governments	Appendix A — 1
Appendix B: Department of Homeland Security	Appendix B — 1
Appendix C: Disaster Related Resources for Governments.....	Appendix C — 1
Appendix D: Department of Homeland Security	Appendix D — 1

Glossary

Exhibits (Available Only on CD)

Exhibit 5.1: Backup Position Listing.....	Exhibits — 1
Exhibit 5.2: Critical Telephone Numbers.....	Exhibits — 3
Exhibit 5.3: Data Communications Inventory.....	Exhibits — 9
Exhibit 5.4: Documentation Inventory.....	Exhibits — 11
Exhibit 5.5: Equipment Inventory.....	Exhibits — 14
Exhibit 5.6: Forms Inventory.....	Exhibits — 16
Exhibit 5.7: Insurance Policy Inventory.....	Exhibits — 18
Exhibit 5.8: Main Computer Hardware Inventory.....	Exhibits — 20
Exhibit 5.9: Master Call List.....	Exhibits — 22
Exhibit 5.10: Master Vendor List.....	Exhibits — 24
Exhibit 5.11: Personal Computer Hardware and Software Inventory.....	Exhibits — 26
Exhibit 5.12: Notification Checklist.....	Exhibits — 28
Exhibit 5.13: Office Supply Inventory.....	Exhibits — 30
Exhibit 5.14: Off-Site Storage Location Inventory.....	Exhibits — 32
Exhibit 5.15: Software and Data Files Backup/Retention Schedule.....	Exhibits — 35
Exhibit 5.16: Telephone Inventory.....	Exhibits — 37
Exhibit 5.17: Departmental Recovery Questionnaire.....	Exhibits — 39
Exhibit 5.18: Standard Format for the Business Continuity Plan.....	Exhibits — 50
Exhibit 5.19: Sample Organization Charts.....	Exhibits — 51
Exhibit 5.20: Team Assignments.....	Exhibits — 55
Exhibit 5.21: Sample Business Continuity Plan Outline.....	Exhibits — 59
Exhibit 5.22: Damage Assessment Checklist.....	Exhibits — 73
Exhibit 5.23: Expense Ledger.....	Exhibits — 77
Exhibit 5.24: Initial Disaster Report.....	Exhibits — 79
Exhibit 5.25: Recovery Status Report.....	Exhibits — 82
Exhibit 5.26: Telephone Call Log.....	Exhibits — 85
Exhibit 5.27: Alternative Location Form.....	Exhibits — 87
Exhibit 5.28: Workstation Configuration.....	Exhibits — 89
Exhibit 5.29: Office Area Support Requirements.....	Exhibits — 92
Exhibit 5.30: Skills Roster.....	Exhibits — 94
Exhibit 5.31: Resource Requirements Listing.....	Exhibits — 100
Exhibit 5.32: Recovery Team Shift Schedule.....	Exhibits — 104
Exhibit 5.33: Command Center Log.....	Exhibits — 106
Exhibit 5.34: Emergency Operations Center Locations.....	Exhibits — 108
Exhibit 5.35: Emergency Operations Center Equipment and Supplies.....	Exhibits — 110
Exhibit 5.36: Disaster Kits.....	Exhibits — 115
Exhibit 5.37: Application and System Recovery Priorities.....	Exhibits — 119

Exhibit 5.38: Disaster Declaration Authorization Listing	Exhibits — 121
Exhibit 5.39: Recovery Services Contracts	Exhibits — 123
Exhibit 5.40: Distribution Register.....	Exhibits — 125
Exhibit 5.41: Acknowledgement of Receipt.....	Exhibits — 127
Exhibit 5.42: Plan Maintenance Form.....	Exhibits — 129
Exhibit 5.43: Plan Maintenance Log	Exhibits — 131
Exhibit 5A.1: Family Emergency Plan Checklist.....	Exhibits — 133
Exhibit 5A.2: Continuity of Operations Plan Outline	Exhibits — 139
Exhibit 5A.3: Sample COOP Format	Exhibits — 146
Exhibit 5A.4: Emergency Response Procedures	Exhibits — 147
Exhibit 5A.5: Order of Succession Plan.....	Exhibits — 178
Exhibit 5A.6: Matrix of Essential Functions and Associated Requirements.....	Exhibits — 179
Exhibit 5A.7: COOP Personnel Roster	Exhibits — 180
Exhibit 5A.8: Critical Alternate Facility Information	Exhibits — 181
Exhibit 5A.9: Interoperable Communications.....	Exhibits — 182
Exhibit 5A.10: COOP Call-Down Listing.....	Exhibits — 183
Exhibit 5A.11: Vendor/Contractor Listing.....	Exhibits — 184
Exhibit 5A.12: COOP Point-of-Contact Listing.....	Exhibits — 185
Exhibit 5A.13: Checklist for COOP Team Deployment Planning.....	Exhibits — 186
Exhibit 5A.14: Drive-Away Kits Content and Maintenance.....	Exhibits — 188
Exhibit 5A.15: Mutual Aid Agreement	Exhibits — 189
Exhibit 5A.16: COOP Alternate Facilities Checklist	Exhibits — 193
Exhibit 5A.17: COOP Plan Maintenance Schedule	Exhibits — 199
Exhibit 5A.18: COOP Multi-Year Budget Plan Format.....	Exhibits — 201
Exhibit 5A.19: COOP Distribution Register	Exhibits — 202
Exhibit 5B.1: Pandemic Planning Appendix from FFIEC	Exhibits — 203
Exhibit 5B.2: Events and Developments.....	Exhibits — 204

