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|  | **Business Continuity Guideline Checklist** | **Y/N** | **Notes** |
|  | **Considerations** |  |  |
| 1 | If a major disaster occurred today, has your organization planned for survival? |  |  |
| 2 | Does your organization have a Business Continuity Plan (BCP), and is it up to date? |  |  |
| 3 | Has senior management approved the BCP? |  |  |
| 4 | Does senior management support the BCP? |  |  |
| 5 | Has the cost of the BCP been determined, including development and maintenance? |  |  |
| 6 | Have the initial audit, security, and insurance departments reviewed the BCP? |  |  |
| 7 | Has the BCP been tested, including a surprise test? |  |  |
|  | **DEVELOPING THE PLAN**  **Accountability** |  |  |
| 1 | Does your organization’s policy include a definition of crisis? |  |  |
| 2 | Has the person responsible for critical systems and business processes been identified? |  |  |
| 3 | Has a BCP Team been appointed, and does it include senior business function leaders? |  |  |
| 4 | Has the BCP been communicated throughout the organization? |  |  |
| 5 | Has a person been assigned with the responsibility to update the BCP? |  |  |
|  | **DEVELOPING THE PLAN**  **Risk Assessment** |  |  |
| 1 | Has your organization conducted a Risk Assessment? |  |  |
| 2 | Have the types of risks that may impact your organization been identified and analyzed? |  |  |
| 3 | Has the likelihood for each type of risk been rated? |  |  |
|  | **DEVELOPING THE PLAN**  **Business Impact Analysis** |  |  |
| 1 | Have the critical business processes been identified? |  |  |
| 2 | If a crisis were to happen, has the impact, in terms of human and financial costs, been assessed? |  |  |
| 3 | Have the maximum allowable outage and recovery time objectives been determined? |  |  |
| 4 | Has the length of time your organization’s business processes could be non-functional been determined? |  |  |
| 5 | Have the recovery time objectives been identified? |  |  |
| 6 | Have the resources required for resumption and recovery been identified? |  |  |
|  | **DEVELOPING THE PLAN**  **Strategic Plans** |  |  |
| 1 | Have methods to mitigate the risks identified in the Business Impact Analysis and Risk Assessment been identified? |  |  |
| 2 | Have plans and procedures to respond to any incident been developed? |  |  |
| 3 | Have strategies that address short- and long-term business interruptions been selected? |  |  |
| 4 | Are the strategies attainable, tested, and cost effective? |  |  |
|  | **DEVELOPING THE PLAN**  **Crisis Management and Response Team Development** |  |  |
| 1 | Is the Crisis Management Team comprised of members from human resources? |  |  |
| 2 | Have response plans to address the various aspects of the crisis been developed and incorporated into the organization’s overall BCP? |  |  |
| 3 | Do the response plans address damage assessment, site restoration, payroll, human resources, information technology, and administrative support? |  |  |
| 4 | Has contact information been included in the plan for the Crisis Management and the Response Teams? |  |  |
|  | **PREVENTION**  **Compliance w/Corporate Policy & Mitigation Strategies** |  |  |
| 1 | Have compliance audits been conducted to enforce BCP policy and procedures? |  |  |
| 2 | Have the systems and resources that will contribute to the mitigation process been identified, including personnel, facilities, technology, and equipment? |  |  |
| 3 | Have the systems and resources been monitored to ensure they will be available when needed? |  |  |
|  | **PREVENTION**  **Avoidance, Deterrence, and Detection** |  |  |
| 1 | Are employees motivated to be responsible for avoidance and deterrence and detection? |  |  |
| 2 | Have facility security programs to support avoidance and deterrence and detection been established? |  |  |
| 3 | Have operational policy and procedures to protect the facilities been developed? |  |  |
| 4 | Is it ensured that sufficient physical security systems and planning are in place to protect the facility? |  |  |
|  | **RESPONSE**  **Potential Crisis Recognition and Team Notification** |  |  |
| 1 | Will the response program recognize when a crisis occurs and provide some level of response? |  |  |
| 2 | Have the danger signals been identified that indicate a crisis is imminent? |  |  |
| 3 | Has a notification system been put in place, including redundant systems? |  |  |
| 4 | Is the notification contact list complete and up to date? |  |  |
|  | **RESPONSE**  **Assess the Situation** |  |  |
| 1 | Has an assessment process to address the severity and impact of the crisis been developed? |  |  |
| 2 | Has the responsibility for declaring a crisis, with first and second alternates, been assigned? |  |  |
|  | **RESPONSE**  **Declare a Crisis** |  |  |
| 1 | Have the criteria been established for when a crisis should be declared? |  |  |
| 2 | Has the responsibility for declaring a crisis been clearly defined and assigned? |  |  |
| 3 | Has an alert network for BCP Team members and employees been established? |  |  |
| 4 | Is it ensured that there is an alternate means of warning if the alert network fails? |  |  |
| 5 | Have the activities that will be implemented in event of a crisis been identified, including notification, evacuation, relocation, alternate site activation, team deployment, operational changes, etc? |  |  |
|  | **RESPONSE**  **Execute the Plan** |  |  |
| 1 | Has consideration been given to developing the BCP around a ‘‘worst case scenario?’’ |  |  |
| 2 | Has the BCP been prioritized to save lives, protect assets, restore critical business processes and systems, reduce the length of the interruption, protect reputation, control media coverage, and maintain customer relations? |  |  |
| 3 | Have the severity of the crisis and the appropriate response been determined? |  |  |
|  | **RESPONSE**  **Communications** |  |  |
| 1 | Has a crisis communications strategy been developed? |  |  |
| 2 | Are communications timely, honest, and objective? |  |  |
| 3 | Are communications with all employees occurring at approximately the same time? |  |  |
| 4 | Are regular updates provided, including notification of when the next update will be issued? |  |  |
| 5 | Has a primary spokesperson and back-up spokespersons been designated who will manage and disseminate crisis communications to the media and others? |  |  |
|  | RESPONSE  Resource Management – Human Element |  |  |
| 1 | Has a system been devised by which all personnel can be accounted for quickly? |  |  |
| 2 | Is there a system to ensure current and accurate contact information is maintained? |  |  |
| 3 | Have arrangements been made for next-of-kin notifications? |  |  |
| 4 | Can crisis counselling be arranged as necessary? |  |  |
| 5 | Will the financial systems for payroll and support of facilities and employees remain functional? |  |  |
|  | **RESPONSE**  **Resource Management—Logistics** |  |  |
| 1 | Has a designated Crisis Management Center been identified, and does it have necessary life support functions, including uninterruptible power supply and communications equipment? |  |  |
| 2 | Have alternate worksites for business resumption and recovery been identified? |  |  |
| 3 | Have critical and vital records been stored at an offsite storage facility? |  |  |
| 4 | How long can each business function operate effectively without normal data input storage processes? |  |  |
| 5 | What must be done to restore data to the same previous point in time within the recovery time objective? |  |  |
| 6 | Can any alternate data storage processes be used, after the initial data recovery, to speed the forward recovery to the present time? |  |  |
|  | **RESPONSE**  **Resource Management – Financial Issues and Insurance, Transportation, Suppliers/Service Providers, and Mutual Aid** |  |  |
| 1 | Has the appropriate insurance coverage been identified and obtained? |  |  |
| 2 | Are cash and credit available to the BCP Team? |  |  |
| 3 | Have transportation alternatives been arranged in advance? |  |  |
| 4 | Have critical vendor and service provider agreements been established? |  |  |
| 5 | Have mutual aid agreements been established? |  |  |
| 6 | If so, are they legally sound, properly documented, and understood by all parties? |  |  |
|  | **RECOVERY AND RESUMPTION**  **Damage and Impact Assessment, Process Resumption, and Return to Normal Operations** |  |  |
| 1 | Has a damage assessment been performed as soon as possible? |  |  |
| 2 | Has the Damage Assessment Team been mobilized to the site? |  |  |
| 3 | Has business process recovery been prioritized to recover the most critical business processes first? |  |  |
| 4 | Is the schedule of the processes to be restored in accordance with the prioritization schedule? |  |  |
| 5 | Is there documentation of when the processes were resumed? |  |  |
| 6 | Has the organization returned to normal operations? |  |  |
| 7 | Has the decision to return to normal operations been documented and communicated? |  |  |
|  | **IMPLEMENTING AND MAINTAINING THE PLAN**  **Education and Training** |  |  |
| 1 | Are the Crisis Management and Response Teams educated about their responsibilities and duties? |  |  |
| 2 | Has a checklist of critical actions and responsibilities and duties been developed? |  |  |
| 3 | Do Teams receive annual training? |  |  |
|  | **IMPLEMENTING AND MAINTAINING THE PLAN**  **Testing** |  |  |
| 1 | Are the Business Continuity Plan and appropriate Teams tested to reveal any weaknesses that require correction? |  |  |
| 2 | Have goals and expectations of testing and drills been established? |  |  |
| 3 | Are drills and tabletop exercises conducted on an annual basis? |  |  |
| 4 | Has responsibility for testing the BCP been assigned with consideration for establishing a test team? |  |  |
| 5 | Does test participation include various groups from the organization and the public sector? |  |  |
| 6 | Have observers been assigned who will take notes during the test and critique the test at the conclusion of the exercise? |  |  |
| 7 | Have tests and drills been evaluated, including assessing how well the goals and objectives of the tests and drills were met? |  |  |
|  | **IMPLEMENTING AND MAINTAINING THE PLAN**  **BCP Review and Maintenance Schedules** |  |  |
| 1 | Is the BCP regularly reviewed and evaluated on a pre-determined schedule? |  |  |
| 2 | Is the BCP reviewed every time a Risk Assessment is completed for the organization? |  |  |
| 3 | Is the BCP modified as needed based on test/exercise results? |  |  |
| 4 | Has responsibility for on-going BCP maintenance been assigned? |  |  |
| 5 | Does BCP maintenance reflect changes in the operation of the organization? |  |  |