Presented by 4C Advising LLC

When you have finished developing your business continuity plan (BCP), utilize this checklist to apply business controls to the BCP, if needed, or to assess the overall readiness and maintenance of your BCP documentation.

Upon completion of the checklist, review your answers. Any question with a “no” response is a challenge you’ll need to address. Determine action items for each “no” response for correcting each and reassess your BCP. You should feel confident that all “yes” answers indicate that you have planned well; however, that does not necessarily guarantee a successful recovery.

Date: Review conducted by:

|  |  |  |  |
| --- | --- | --- | --- |
| EXECUTIVE AWARENESS/AUTHORITY | YES | NO | N/A |
| Has a BCP been developed? |[ ] [ ] [ ]
| Has a BCP been documented and maintained? |[ ] [ ] [ ]
| Has the BCP been updated within the past year? |[ ] [ ] [ ]

|  |  |  |  |
| --- | --- | --- | --- |
| PLAN DEVELOPMENT AND DOCUMENTATION | YES | NO | N/A |
| Has a classification (i.e., critical, important or marginal) been assigned to the business process/function/component that this facility/function supports?  |[ ] [ ] [ ]
| Does the BCP include sections dedicated to threat identification, incident management, restoration, plan exercise and maintenance, response and recovery teams, and contact information?  |[ ] [ ] [ ]
| Does the BCP identify hardware and software critical to recovering the business and functions?  |[ ] [ ] [ ]
| Does the BCP identify necessary support equipment (e.g., forms, spare parts and office equipment) to recover the business and functions?  |[ ] [ ] [ ]
| Does the BCP require an emergency operations center (EOC) or alternate site for recovery?  |[ ] [ ] [ ]
| Are all critical or important data required to support the business backed up? Are they stored in a protected location (off-site)?  |[ ] [ ] [ ]
| Do you conduct a walk-through exercise of your BCP at least annually? This should include a full walk-through as well as key elements of your plan (e.g., accounts payable, shipping and receiving).  |[ ] [ ] [ ]
| Do the walk-through element exercises have a plan that includes a description, scope and objective?  |[ ] [ ] [ ]
| Is a current copy of the BCP maintained off-site?  |[ ] [ ] [ ]
| Do all users of the BCP have ready access to a current copy at all times?  |[ ] [ ] [ ]
| Is there an audit trail of the changes made to the BCP?  |[ ] [ ] [ ]
| Do all employees responsible for the execution of the BCP receive ongoing training in disaster recovery and emergency management?  |[ ] [ ] [ ]

|  |  |  |  |
| --- | --- | --- | --- |
| MANAGEMENT AND RECOVERY TEAM ASSESSMENT | YES | NO | N/A |
| Have the incident commander, emergency management group (EMG) and other applicable continuity personnel approved the BCP?  |[ ] [ ] [ ]
| Do the incident commander and EMG maintain a copy and audit trail of changes made to the BCP?  |[ ] [ ] [ ]
| Do all aspects of physical and logical security at the EOC conform with your current workplace procedures?  |[ ] [ ] [ ]
| Are all employees and their alternates responsible for executing a manual work-around for a mechanized process identified in the BCP, and are they properly trained?  |[ ] [ ] [ ]
| Has an independent observer documented the simulation exercise(s), noting all results, discrepancies, exposures, action items and individuals responsible?  |[ ] [ ] [ ]
| Was a debriefing held within a reasonable period of time (typically two weeks) after the simulation exercise(s) to ensure all activities were accurately recorded?  |[ ] [ ] [ ]
| Did the exercise coordinator publish a simulation exercise(s) report within a reasonable period of time (typically three weeks) after the completion of the simulation exercise(s)?  |[ ] [ ] [ ]
| Did the exercise report include what worked properly, as well as any deficiencies and recommendations for improvement? Did the exercise report also include responsibilities and due dates for the development of the corrective action plan?  |[ ] [ ] [ ]
| Did the incident commander and EMG develop a corrective action plan to address any deficiencies identified by the exercise?  |[ ] [ ] [ ]
| Is there a retention plan for the exercise plans and corrective action plans (minimum retention of three years)?  |[ ] [ ] [ ]
| Is a walk-through element exercise performed at least quarterly?  |[ ] [ ] [ ]
| Did each walk-through element exercise have a plan that includes a description, scope and objective?  |[ ] [ ] [ ]
| When there is a change in hardware, software or a process that might impact the BCP, is it reviewed and updated within 30 days of the changes? |[ ] [ ] [ ]
| Based on the joint assessment, have the incident commander and EMG determined that the BCP is effective?  |[ ] [ ] [ ]
| Has the entire BCP simulation exercise been performed at least annually?  |[ ] [ ] [ ]
| Did the BCP simulation exercise have a plan that includes a description, scope and objective?  |[ ] [ ] [ ]
| Did the BCP simulation exercise meet the acceptable recovery time objective (RTO) and recovery point objective (RPO) set by the incident commander and EMG?  |[ ] [ ] [ ]
| Based on the joint assessment, has the team determined that the BCP and exercises meet all requirements to provide reasonable assurance that the plan will work in the event of a disaster?  |[ ] [ ] [ ]
| Does the BCP specify the maximum acceptable RTO and RPO?  |[ ] [ ] [ ]
| Does the BCP specify the level of service (which the incident commander and EMG have agreed to be acceptable) to be provided while in recovery mode?  |[ ] [ ] [ ]
| Have all changes relating to RTO and RPO in the BCP been approved by the incident commander and EMG?  |[ ] [ ] [ ]

For more risk management guidance, contact us today.