

# **Business Continuity Planning**

## **Auditing Business Recovery Plans**

Association of Contingency Planners  
South Texas Chapter

Cindy Roop  
Business Continuity Planning Manager - Texaco  
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# Corporate Audit

## Looks for physical evidence:

- Request to see hardcopy of plan
- Verify most recent review date
- Verify most recent test date



# Plan Manager

- What experience does the plan manager have?
- Is it a full time or part time position?
- Is it a real or lip service position?
- What training has the plan manager received?
- What are the plan manager's roles and responsibilities?



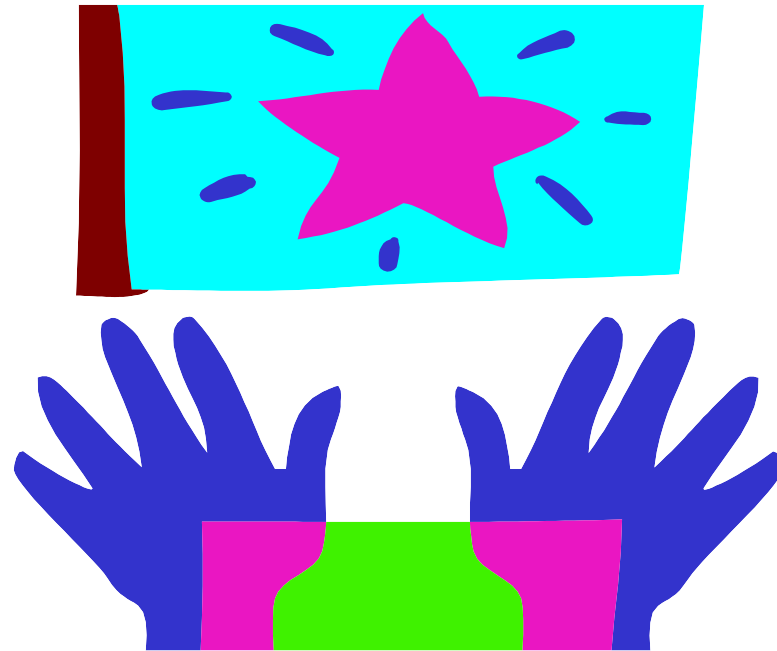
# Criticality Determination

- How was the plan developed?
- Was a Business Impact Analysis completed?
- How was the criticality of the functions that are performed by the unit determined?



# Key Resources

Were critical resources properly identified?



# Recovery Site

- Does the recovery facility site location make sense?



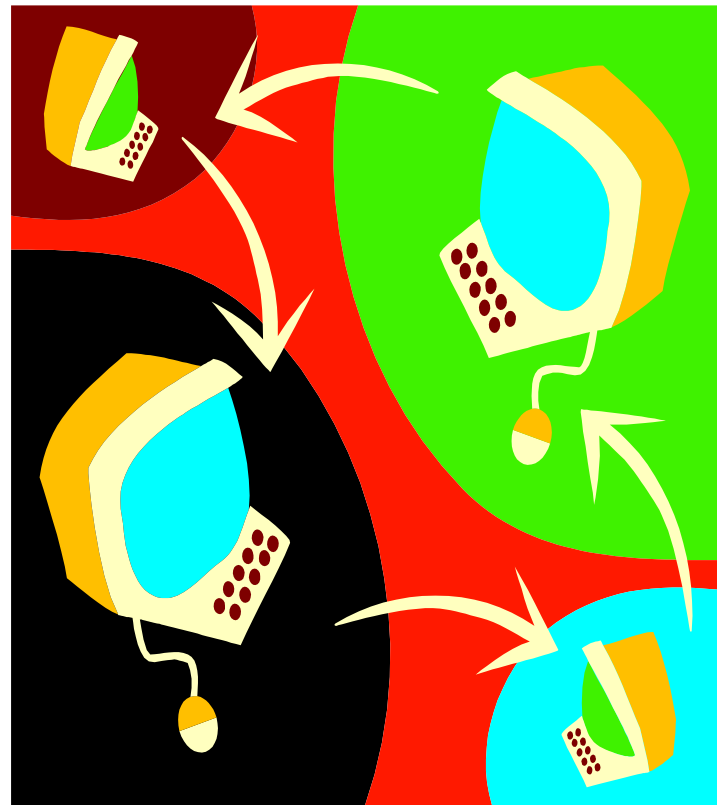
# Off-site Storage

- Are procedures for off-site storage of tapes and documentation appropriate?
- Is the off-site storage secure?
- Have the backup tapes been tested?
- Has the ability of the off-site storage company to respond in an emergency been tested?



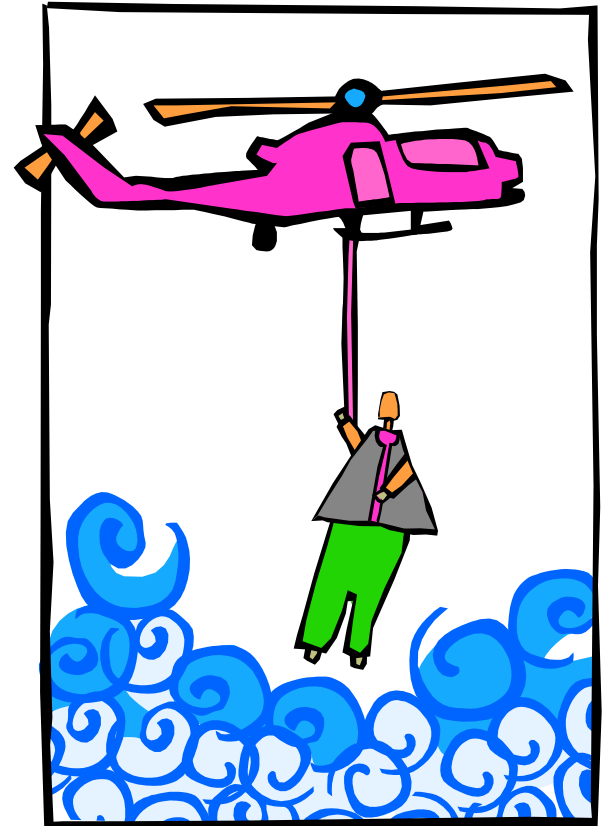
# Interdependencies

- Are there interdependencies and have they been identified?
- Do the critical interdependencies have viable recovery plans?
- Do the recovery sites of any interdependencies enable processes to be restored?



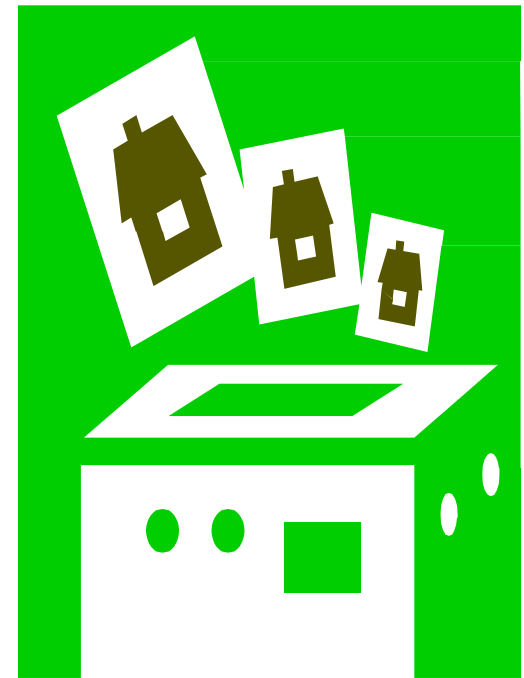
# Emergency Response and Recovery Teams

- Are the phone numbers of the civic, emergency response teams current?
- Are the phone numbers of the plan manager and their alternate included?
- Are phone numbers of team members on file and current?



# Copies of the Plan

- How many copies of the plan are there and where are they?
- Is there an alternate to the plan manager and do they have a copy of the plan?
- Are there copies offsite?
- How are copies controlled?



# Staff Training and Awareness

- Are key personnel aware of their activities and functions in the recovery process?
- Are they kept up-to-date on changes?
- Do remaining personnel know what to do?
- Are appropriate staff involved in the review and update process?



# Testing and Exercising

- Is there a schedule for exercising the plan?
- Are the exercises comprehensive?
- Do the exercises include interdependencies?
- Is there a written report of the exercise?
- Are plan deficiencies identified, resolved, and the plan updated?
- Are critical staff rotated in the exercises?



# Plan Maintenance

- Is there a schedule for review and maintenance of the plan?
- Has the plan been reviewed in accordance with the schedule?
- Who reviewed the plan?
- Once reviewed do current copies replace the older ones?



# Does the Plan Make Sense?

*Will it work?*

