

*The
Disaster Recovery
Toolkit*

**Disaster Recovery and
Business Continuity Plan
Audit**

This document is intended to help you to review and audit your disaster recovery or business continuity plan. It covers the status of the plan itself, and explores in some depth the content of the plan.... embracing everything from business function definition to post disaster recovery.

Business Continuity Plan Review/Audit

*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Introduction

This questionnaire is designed to assess the status of the business continuity or disaster recovery plan itself.

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 1 - Completion is REQUIRED. Please select only ONE response.

BUSINESS CONTINUITY PLANNING (SURVIVAL):

The next few questions relate to the status and location of the business continuity plan. Have you familiarized yourself with these matters?

Yes

☐

No

☐

Question 2 - Completion is REQUIRED. Please select only ONE response.

Is the Business Continuity Plan a formal and discrete document?

Yes

☐

No

☐

Question 3 - Completion is REQUIRED. Please select only ONE response.

Where is the document containing the business continuity plan stored?

NOTE: This question is used to identify how the BCP document itself is stored. It is necessary to check the accessibility to ensure that it can be obtained quickly.

On site only

☐

Go to question 8

Off site only

☐

Go to question 8

On site & off site

☐

At a stand-by site

☐

Question 4 - Completion is REQUIRED. Please select only ONE response.

Is the BCP document stored securely in BOTH of these locations?

No

☐

Not secure in both locations

☐

Yes - in both locations

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 5 - Completion is REQUIRED. Please select only ONE response.

How many of the key personnel (ie: those with a role to play) know the whereabouts of the off site location where the business continuity plan document is stored?

All of them

☐

75% of them

☐

50% of them

☐

25% of them

☐

Not many of them

☐

Question 6 - Completion is REQUIRED. Please select only ONE response.

Are any of the personnel who know the whereabouts of the off site location situated at a different location to the one under review?

NOTE: This question is used to check if there are any personnel in another location that know the off site location where the plan is stored. This is important, as a serious disaster may mean that all on site personnel are unavailable and the plan has to be put into action by personnel from another location.

Yes - in another region

☐

Yes - in the same region

☐

No - all in same location

☐

Question 7 - Completion is REQUIRED. Please select only ONE response.

How far away is the off site location from the location under review?

Within 100 metres

☐

Within 1 kilometre

☐

Within 1 - 5 kilometres

☐

Within 5 - 50 kilometres

☐

Within 50 - 200 kilometres

☐

Over 200 kilometres

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 8 - Completion is REQUIRED. Please select only ONE response.

Does every member of the 'crisis team' hold a copy of the BCP document?

NOTE: The crisis team is a set of appropriate individuals who have been assigned responsibility for managing a crisis.

No

☐

Yes

☐

No Crisis Team Exists

☐

Question 9 - Completion is REQUIRED. Please select only ONE response.

Is the BCP document designated as "Company Confidential"?

Yes

☐

No

☐

Question 10 - Completion is REQUIRED. Please select only ONE response.

Is the current version of the BCP document clearly identifiable?

No

☐

Yes

☐

Question 11 - Completion is REQUIRED. Please select only ONE response.

When the BCP document is revised, are all old copies promptly destroyed?

No

☐

Yes

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 12 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain a policy statement that has been written by the executive management ?

NOTE: It is important that a business continuity plan has the backing and agreement of the executive management.

No

☐

Yes

☐

Question 13 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document clearly identify who is responsible for plan implementation (acting as crisis manager) and does it identify a deputy?

No

☐

Yes - but crisis manager only

☐

Yes

☐

Question 14 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of a crisis team?

NOTE: This question is used to ensure that the BCP document contains details of the crisis team, including home addresses, telephone numbers, and next of kin.

No

☐

Go to question 16

Some Of The Major Members

☐

All The Major Members

☐

Question 15 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of where and how the crisis team members can be contacted in case of emergency?

No

☐

Yes

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 16 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify what the critical functions of the business unit are?

No

☐

Go to question 18

Yes

☐

Question 17 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document prioritize the business functions, and does it identify the timescale within which each should be available?

No

☐

Partly - no specific order

☐

Partly - no specific timescale

☐

Yes - in order & timescales

☐

Question 18 - Completion is REQUIRED. Please select only ONE response.

Does the structure of the BCP document allow for sections to be given to members of the crisis team for their action?

No

☐

Yes

☐

Not Applicable

☐

Question 19 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain the procedures which should be performed for evacuation and notification of the emergency services?

No

☐

Yes - evacuation only

☐

Yes - notification only

☐

Yes

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 20 - Completion is REQUIRED. Please select only ONE response.

Is the BCP document modular, so that different crises (and their scale) are identified, as well as what is considered to be a full disaster?

No

☐

Go to question 22

Yes

☐

Question 21 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document describe the activation criteria for each crisis/disaster situation it contains?

No

☐

Yes

☐

Question 22 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify the minimum equipment, resources and services required, along with the timescales within which they must be available?

No

☐

Yes - but no timescales

☐

Yes - with full details

☐

Question 23 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document specify the situations in which the crisis manager must invoke escalation procedures, and does it identify to whom decisions should be escalated?

No

☐

Yes, But No Identification

☐

Yes

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 24 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document define lines of communication between the crisis manager and other operational units, such as service providers and service users?

No - no other units involved

☐

Go to question 26

No

☐

Go to question 26

Yes

☐

Question 25 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain the actions to be taken by dependent business units (service users)?

No

☐

Yes

☐

Not Applicable

☐

Question 26 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document define lines of communication between the crisis manager and staff that are not directly involved in the survival of the business unit?

No

☐

Yes

☐

Question 27 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document define lines of communication between the crisis manager and outside organisations, such as the press?

No

☐

Yes

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 28 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document define lines of communication between the crisis manager and regulatory bodies?

Not applicable

☐

No

☐

Yes

☐

Question 29 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document define lines of communication with the general public, such as provision of alternative telephone numbers, etc?

Not applicable

☐

No

☐

Yes

☐

Question 30 - Completion is REQUIRED. Please select only ONE response.

Where the general public have direct contact with the Business by virtue of its business function, does the BCP specify a contingency mechanism?

Yes

☐

No

☐

Not Applicable

☐

Question 31 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify the contacts for emergency equipment and service suppliers?

No

☐

Yes

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 32 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of any critical checkpoints, by which time specific business functions must be available?

NOTE: A critical checkpoint within a business function could be end of year accounts, provision of information within 40 days under Data Protection legislation, etc. These critical checkpoints should all be clearly defined in the BCP document so that the crisis manager has all the information necessary for him/her to make decisions.

Not applicable

☐

No

☐

Yes

☐

Question 33 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify the minimum security requirements applicable to the business unit?

No

☐

Yes

☐

Question 34 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify those business and operational units that have a dependency on this business unit?

No dependent business units

☐

Go to question 37

No

☐

Go to question 37

Yes

☐

Question 35 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of how the dependent business and operational units will be affected?

No

☐

Yes

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 36 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document consider the implications of any of its emergency service providers being affected by a separate disaster.

No

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Yes

☐

Question 37 - Completion is REQUIRED. Please select only ONE response.

BUSINESS RESUMPTION PLANNING (TESTING):

The next few questions relate to the training of personnel in preparation for a disaster situation, and about testing the plan itself. Are you ready to proceed?

Yes

☐

Question 38 - Completion is REQUIRED. Please select only ONE response.

Are all members of the crisis team fully aware of their responsibilities in a disaster situation?

No

☐

Yes

☐

Question 39 - Completion is REQUIRED. Please select only ONE response.

Have all members of the crisis team received adequate training to enable them to carry out their role effectively?

No

☐

Some of them

☐

All members are trained

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 40 - Completion is REQUIRED. Please select only ONE response.

Is there an on-going training/awareness program which takes account of changes in personnel, changes in critical requirements, etc.?

NOTE: This program should include all personnel at the location, not just the crisis team, as everybody needs to know their responsibilities in a crisis/disaster situation (even if it is just staying at home).

No

☐

Yes

☐

Question 41 - Completion is REQUIRED. Please select only ONE response.

When was the business continuity plan last tested?

Within the last 3 months

☐

Within the last 3 - 6 months

☐

Within the last 6 - 12 months

☐

Not within the last 12 months

☐

Has never been tested

☐

Question 42 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document itself contain details of how often the plan should be tested? If so, what frequency does it recommend?

No

☐

Yes, but not specific

☐

Yes - every 6 months

☐

Yes - every 12 months

☐

Yes - every 2 years

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 43 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of those parts of the plan that will be tested, and how they will be tested?

NOTE: It is often the case that it is not practical to test ALL of a business continuity plan. Therefore, the BCP document needs to identify those parts that can be effectively tested.

No

☐

Yes

☐

Question 44 - Completion is REQUIRED. Please select only ONE response.

When changes are made to the business service/system, is the business continuity plan updated, and subsequently tested for effectiveness?

No

☐

Updated but not tested

☐

Updated & tested

☐

Question 45 - Completion is REQUIRED. Please select only ONE response.

Has the BCP document been seen by the business unit executive management, and signed off as being acceptable?

No

☐

Seen but not signed off

☐

Seen and signed off

☐

Question 46 - Completion is REQUIRED. Please select only ONE response.

Whenever changes are made to the BCP document are these also signed off by the business unit executive management?

No

☐

Yes

☐

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Question Module: PLANCHECK - *** Business Continuity Plan Review ***

Question 47 - Completion is REQUIRED. Please select only ONE response.

BUSINESS RESUMPTION PLANNING (RECOVERY):

The last few questions deal with the RECOVERY phase of business continuity planning, i.e. returning to normal working. Are you ready to proceed?

Yes

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Question 48 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details about the recovery phase of BCP, i.e. returning to normal working?

No

☐

Go to END

Yes

☐

Question 49 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify at what point the survival phase can be terminated, and the recovery phase can commence?

No

☐

Yes

☐

Question 50 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify which member of the crisis team should make the decision regarding commencement of the recovery phase?

No

☐

Yes

☐

Question 51 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document cover the necessary tasks for the recovery phase?

No

☐

Go to question 55

Yes

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 52 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document identify the criteria for deciding whether to continue using the alternative site, or to commence recovery using the primary site?

No

☐

Yes

☐

Not Applicable

☐

Question 53 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document prioritise the recovery tasks, and specify timescales by which each task should be completed?

No

☐

Yes

☐

Question 54 - Completion is REQUIRED. Please select only ONE response.

Does the BCP document contain details of the reconciliation of the non critical work which was postponed during the disaster?

NOTE: Consider how non critical work that was postponed during the survival phase is reconciled to ensure integrity of data and continuity of the process.

No work postponed / Not Applicable

☐

No

☐

Yes

☐

Question 55 - Completion is REQUIRED. Please select only ONE response.

Is there a documented task to review the effectiveness of the business continuity plan once the recovery phase is complete?

No

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Yes

☐

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*Question Module: PLANCHECK - *** Business Continuity Plan Review ****

Question 56 - Completion is REQUIRED. Please select only ONE response.

Is there a documented task to create a new plan based on the results of the effectiveness review?

No

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Yes

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