

**Employees Retirement System of Texas (ERS)
 Review of Business Resumption Plans
 Audit Program
 Project No. 2000-01**

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Audit Objectives

- 1) Determine if a business resumption plan exists and was developed using a sound methodology that includes the following elements:
 - a) Identification and prioritization of the activities that are essential to continue functioning.
 - b) The plan is based upon a business impact analysis that considers the impact of the loss of essential functions.
 - c) Operations managers and key employees participated in the development of the plan.
 - d) The plan identifies the resources that will likely be needed for recovery and the location of their availability.
 - e) The plan is simple and easily understood so that it will be effective when it is needed.
 - f) The plan is realistic in its assumptions.
- 2) Determine if information backup procedures are sufficient to allow for recovery of critical data.
- 3) Determine if a test plan exists and to what extent the business resumption plan has been tested.
- 4) Determine if resources have been made available to maintain the business resumption plan and keep it current.

<i>Obj.</i>	Step	Done By	Ref.
Audit Preparation			
	1) Obtain and review the existing business resumption plan.	_____	_____
	2) Obtain and review plans for business resumption testing and/or documentation of actual tests. Per DIR, IS disaster recovery plans should be updated and tested annually.	_____	_____
	3) Obtain and review the existing business impact analysis.	_____	_____
	4) Gather background information to provide criteria and guidance in the preparation and evaluation of business resumption plans.	_____	_____
	5) Determine if copies of the plan are safeguarded by off-site storage.	_____	_____
	6)	_____	_____
Steps to Achieve Audit Objectives			
	1) Gain an understanding of the methodology used to develop the existing business resumption plan. Who participated in the development effort?	_____	_____

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<i>Obj.</i>	Step	Done By	Ref.
	2) Gain an understanding of the methodology used to develop the existing business impact analysis.	_____	_____
	3) Determine if recommendations made by the external firm who produced the business impact analysis have been implemented or otherwise addressed.	_____	_____
	4) Have resources been allocated to prevent the business resumption plan from becoming outdated and possibly ineffective?	_____	_____
	a) Determine if the plan is dated each time that it is revised so that the most current version will be used if needed.	_____	_____
	b) Determine if the plan has been updated within the past 12 months.	_____	_____
	5) Determine all of the locations where the business resumption plan is stored. Are there a variety of locations to ensure that the plan will survive disasters and will be available to those that need them?	_____	_____
	6) Review information backup procedures in general. The availability of backup data could be critical to minimizing the time needed for recovery.	_____	_____
	7) Interview functional area managers or key employees to determine their understanding of the business resumption plan. Do they have a clear understanding of their role in working towards the resumption of normal operations?	_____	_____
	8) Does the business resumption plan include provisions for:	_____	_____
	a) Personnel	_____	_____
3	i) Have key employees seen the plan and are all employees aware that there is such a plan?	_____	_____
3	ii) Have employees been told their specific roles and responsibilities if the business resumption plan is put into effect?	_____	_____
3	iii) Does the business resumption plan include contact information for key employees, especially after hours?	_____	_____
3	iv) Does the business resumption plan include provisions for people with special needs?	_____	_____
3	v) Does the business resumption plan have a provision for replacement staff when necessary?	_____	_____
	b) Building, Utilities and Transportation		

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4	i) Does the business resumption plan have a provision for having a building engineer inspect the building and facilities soon after a disaster so that damage can be identified and repaired to make the premises safe for the return of employees as soon as possible?	_____	_____
4	ii) Does the business resumption plan consider the need for alternative shelter, if needed? Alternatives in the immediate area may be affected by the same disaster.	_____	_____
4	iii) Review any agreements for use of backup facilities.	_____	_____
4	iv) Verify that the backup facilities are adequate based on projected needs (telecommunications, utilities, etc.). Will the site be secure?	_____	_____
4	v) Does the business resumption plan consider the failure of electrical power, natural gas, toxic chemical containers, and pipes?	_____	_____
7	vi) Are building safety features regularly inspected and tested?	_____	_____
	vii) Does the plan consider the disruption of transportation systems? This could affect the ability of employees to report to work or return home. It could also affect the ability of vendors to provide the goods needed in the recovery effort.	_____	_____
	c) Information Technology	_____	_____
	i) Determine if the plan reflects the current IT environment.	_____	_____
	ii) Determine if the plan includes prioritization of critical applications and systems.	_____	_____
	iii) Determine if the plan includes time requirements for recovery/availability of each critical system, and that they are reasonable.	_____	_____
	iv) Does the business resumption plan include arrangements for emergency telecommunications?	_____	_____
	v) Is there a plan for alternate means of data transmission if the computer network is interrupted? Has the security of alternate methods been considered?	_____	_____
	vi) Determine if a testing schedule exists and is adequate (at least annually). Verify the date of the last test. Determine if weaknesses identified in the last tests were corrected.	_____	_____

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	d) Administrative Procedures		
	i) Does the business resumption plan cover administrative and management aspects in addition to operations? Is there a management plan to maintain operations if the building is severely damaged or if access to the building is denied or limited for an extended period of time?	_____	_____
	ii) Is there a designated emergency operations center where incident management teams can coordinate response and recovery?	_____	_____
	iii) Determine if the business resumption plan covers procedures for disaster declaration, general shutdown and migration of operations to the backup facility.	_____	_____
	iv) Have essential records been identified? Do we have a duplicate set of essential records stored in a secure location?	_____	_____
	v) To facilitate retrieval, are essential records separated from those that will not be needed immediately?	_____	_____
	vi) Does the business resumption plan include the names and numbers of suppliers of essential equipment and other material?	_____	_____
	vii) Does the business resumption plan include provisions for the approval to expend funds that were not budgeted for the period? Recovery may be costly.	_____	_____
	viii) Has executive management assigned the necessary resources for plan development, concurred with the selection of essential activities and priority for recovery, agreed to back-up arrangements and the costs involved, and are prepared to authorize activation of the plan should the need arise.	_____	_____