

Responsibilities for Business Continuity Planning

The list below details responsibilities of DD&F Consulting Group, Inc. (“DD&F”) and City of Jonesboro (“Client”) concerning the development of the Client’s written Business Continuity Plan.

Responsibilities of DD&F Consulting Group, Inc.

- Develop a project plan/ schedule
- Provide Client a list of duties for each crisis management area of responsibility to assist Client in designating practicable individuals for the BCP Committee/Crisis Management Team (CMT) and Response Team Leaders (RT Leaders)
- Complete a Command Center organizational chart indicating CMT members, RT Leaders, and their areas of responsibilities
- Conduct an onsite Business Impact Analysis (BIA), via interviews with department heads and IT staff and submit the report of results to Client for review and approval
- Conduct a disaster risk assessment, based on answers from questionnaire and analysis of risks in the area via web resources, along with a gap analysis and recommendations for disaster recovery plans
- Develop a Business Continuity Policy and submit the draft to Client for review and approval
- Develop Emergency Response Plans based on results of the disaster risk assessment and submit the draft to Client for review and approval
- Gather information from Client for documentation of disaster recovery plans and backup plans for IT, communications, locations, utilities, etc., as well as procedures for relocation and communication with critical parties. Document the plans and submit the draft Business & Disaster Recovery Plan to Client for review and approval.
- Develop Departmental Recovery & Contingency Plans, based on the results of the BIA and submit the draft to Client for review and approval
- Incorporate any revisions made by Client to components of the plan
- Distribute final copies of the plan to designated individuals (will include section tabs for convenience and will be distributed in 3-ring notebook binders)
- (Optional) Work with BCP Committee to develop implementation plan to ensure that BCP is fully implemented. This can be performed at an additional hourly-cost rate.

DD&F Responsibilities do not include the following:

- Development of a cost-benefit analysis on implementation of any disaster recovery or backup plans
- Contacting vendors for implementation of plans
- Completion of supporting documentation located in the Appendix of the plan, unless specifically indicated in the List of Appendix Items (see attached list). However, assistance with completion of Appendix items is available as needed on an hourly-cost basis. Descriptions or instructions are provided within the Appendix for most items.

Responsibilities of Client

- Assign a practicable individual of the organization to be the project contact for DD&F
- Designate practicable individuals of the organization as members for the BCP Committee/CMT and RT Leaders, based on a list of duties provided by DD&F for each crisis management area of responsibility
- Provide documents requested by DD&F to assist DD&F in gaining information on Client's organization and IT operations within a reasonable time to meet scheduled target date on project schedule
- Designate individuals to participate in onsite interviews or interviews via telephone for information-gathering, such as for the development of the BIA, documentation of disaster recovery plans and backup plans, relation and crisis communication procedures, etc. Schedule times for the individuals to be available to participate in the interviews, according to project schedule.
- Complete a questionnaire to assist DD&F in conducting a risk assessment, gap analysis, and recommendations for disaster recovery plans, within a reasonable time to meet scheduled target date on project schedule
- Review, revise if necessary, and approve all individual components of the plan developed by DD&F. Respond to DD&F with any revisions and/or approval within a reasonable time to meet scheduled target dates for completion of individual components.

List of Appendix Items	
Item	Item Description
1	Calling Tree/ Response Team Contact List <i>*(DD&F will assist with filling in individual names and areas of responsibilities. Client will need to complete phone numbers.)</i>
2	List of organization's facilities/locations and contact information of locations
3	Facility Emergency Data, Utility Hotline, and Shut Off Locations
4	Employee Contact List/ Employee Emergency Contact Information
5	External Contacts (service providers, shareholders, etc.)
6	Organizational chart
7	Equipment and Supplies (blank chart provided) <i>*(DD&F will assist with identifying needed resources during BIA)</i>
8	Shopping List (blank chart provided)
9	IT Environment Description <i>*(DD&F will assist with summary)</i>
10	Hardware & Software Inventories
11	LAN/WAN Diagram
12	Inventory & Location of Duplicates/Backups/Redundancies (blank chart provided)
13	Data Backup Procedures
14	List of Recoverable Items & Location (blank chart provided)
15	List of Unrecoverable Items & Loss Risk (blank chart provided)
16	Offsite Storage Inventory List (blank chart provided)
17	Key and Access Code List (blank chart provided)
18	Contingency Processing Items List (used for organizations with core system or disaster recovery facility service providers)
19	Power down/Computer shut off procedures <i>*(Sample of procedures will be provided)</i>
20	Critical System Restoration Procedures
21	Operating/Manual Processing Procedures
22	Evacuation diagrams & Emergency Signs, Documents, or Forms
23	Maps of facilities or locations (incl. alternate or offsite recovery locations)
24	List of all insurance policies
25	Third party contracts/agreements related to disaster recovery or IT support/maintenance
26	Initial disaster report <i>*(Sample blank report will be provided)</i>
27	Disaster declaration letter/checklist
28	DR/BCP Testing program and results
29	Annual evaluation checklist <i>*(Sample checklist will be provided)</i>
30	Annual evaluation and reports to the Board on BCP
31	Disaster Risk Assessment results <i>*(DD&F will provide)</i>
32	Business Impact Analysis <i>*(DD&F will provide report of results)</i>

4-10-09

Business Continuity Planning

Business Continuity Plan

DD&F Consulting Group, Inc. ("DD&F") will assist the City of Jonesboro ("Client") in the development of a comprehensive business continuity plan designed to enable the organization to respond to and protect lives in emergency situations, minimize interruption of operations and continue critical functions during disruptions, and provide procedures for a prioritized recovery of operations in a disaster.

DD&F will provide the structure, training, resources, and assistance that will enable the development of a comprehensive business continuity plan. DD&F will guide the development process through planning phases that will result in a business continuity plan ready for approval, implementation, and testing. The services provided under each phase are detailed below:

Project Plan Development. DD&F will assist the Client in developing a project plan. Specifically, DD&F will:

- Work with management to designate a project contact for DD&F.
- Provide the project contact with a schedule and checklist of tasks for the development process.
- Assist the Client in designating BCP Committee/Crisis Management Team (CMT) members.

Estimated Time: 3 Days

Phase 1: Information Gathering & Documentation. DD&F will gather information in order to assist the Client in performing the analyses necessary to provide a basis on which to develop the plan. Specifically, DD&F will:

- Submit a questionnaire and a document request for information required to begin development of the plan.
- Conduct a Business Impact Analysis. DD&F will assist the Client identify critical functions, assign impact ratings of loss of functions, identify dependencies such as providers, mission-critical systems, and vital records and data, and determine recovery priorities, maximum allowable downtimes, and recovery point objectives. *See page 3 for a more detailed description of the Business Impact Analysis.*

Estimated Time: 45 Days

Estimated Cost: \$10,000

Phase 2: Assessment & Strategy Development. DD&F will conduct a risk assessment and assist the Client in developing strategies for disaster recovery. Specifically, DD&F will:

- Assist with identifying disaster recovery strategies, such as offsite storage locations, alternate locations, offsite recovery locations, backup communications and processing methods, and alternate key personnel.
- Perform a Disaster Risk Assessment and gap analysis with mitigation input provided by the Client. Risk factors will also be determined by assessment of threats related to the geographic location of the Client (ex. flood, earthquake, tornado, nuclear plants, etc.). The Disaster Risk Assessment identifies

emergencies that have the potential to cause the greatest impact on operations while taking into consideration existing safeguards to reduce the risks associated with the emergency.

- Provide recommendations for further mitigation based on the results of the disaster risk assessment.

Estimated Time: 15 Days + Strategy Implementation (Appx. 140 Days)

Estimated Cost: \$3,000

Phase 3: Plan Development. DD&F will work in conjunction with the Client to develop a plan for submission to management and the Board for approval. The plan will be developed based on information provided by the organization. Specifically, DD&F will:

- Develop a draft plan based on the needs of the Client that includes:
 - Emergency response plans, based on the results of the information-gathering phase and risk assessment
 - Command center operations and CMT organizational chart
 - Prioritized business & disaster recovery plan, based on strategies identified in Phase 2
 - Prioritized operational contingency and recovery plans, based on the results of the business impact analysis. These will be developed for each operational area (pricing based on 6 operational areas, including Information Systems).
 - Business resumption plan
- Provide a draft plan to the Client for review and revision.
- Incorporate changes made by the organization into the plan and provide the Client with a final plan for Board review and approval.
- Deliver final copies of the plan to the Client after Board approval.

Estimated Time: 90 Days

Estimated Cost: \$13,000

Total Estimated Cost Business Continuity Planning Assistance: \$26,000

Not to Exceed: \$30,000 (within defined scope)

Phase 4: Business Continuity Testing & Maintenance. Depending on the scope of the engagement, DD&F will meet onsite with management to:

- Provide a comprehensive review and tabletop walkthrough of the plan. *See page 4 for a more detailed description of the Walk-Through Testing.*
- Deliver a report detailing the results of the tabletop test, action items to be completed, and a checklist to be used by the Client to assist in completion of Appendix items.
- Provide a set of resources with which staff training can be conducted on the emergency plans and relevant components of the recovery plans. The resources will be delivered on CD, and will include a Power Point® training presentation, presenter resources, and participant materials.

Estimated Time: 3 Days Preparation + 1-2 Days onsite

Total Estimated Cost: \$1,500

Not to Exceed: \$2,500

Ongoing: (under separate engagement)

- Assist the Client with maintenance of the plan annually or as needed.

Business Impact Analysis

DESCRIPTION

The Business Impact Analysis ("BIA") is an analysis of the potential impact on operations by the loss of functions, systems, and records or data, caused by an uncontrolled, nonspecific event. Business impacts are identified based on a worst-case scenario that assumes that the facilities supporting functions have been destroyed and all necessary systems and records are unavailable. The purpose of the business impact analysis ("BIA") is to assist the organization in identifying which functions, systems, and vital data/records are mission critical to the organization. The BIA will help the organization determine how quickly essential functions, systems, and/or processes have to recover to full operation following a disaster. The BIA will also assist the organization in developing departmental recovery and contingency plans, including determining alternate workarounds, space requirements, and resources necessary to resume business operations to a survival level.

APPROACH

Interviews will be conducted with a management representative for each operational area. The objective of these interviews are to identify processes, along with associated estimated recovery time frames, estimated business impacts, alternate key personnel, necessary resources, and facility requirements required for recovery operations. The interview process will utilize a series of standard questions developed for the organization.

KEY COMPONENTS

The business impact analysis involves three mission critical areas for each department: critical functions, critical systems, and vital data/records. The various sections of the BIA are described below. Departmental contingency plans for mission-critical functions and prioritized recovery procedures for mission critical systems are developed based on the results of the BIA.

Critical Functions

In this section, an evaluation will be performed in order to determine the mission critical functions performed by each department and identify the specific systems or services on which the functions rely. For each function, the various business impacts of loss of the function will be determined, according to interviews with the department representatives. Maximum allowable downtimes ("MAD") in will also be determined for each critical function.

Critical Systems

In this section, mission critical systems will be determined by identifying supporting systems for functions documented in the Critical Functions for Each Department section. In addition, recovery time objectives (RTOs) for organization-wide mission critical systems will be determined based on the MADs of supporting systems.

Vital Data/Records

In this section, vital data or records needed to perform critical functions will be documented, along with the point in time the data or record is normally needed, where the data/record is housed, any backup strategy for the data/record, and the recovery point objective for the data/record.

Departmental Recovery Complexity and Estimated Recovery Costs

This section will describe how complex the organization determines it would be to recover department operations as a whole, according to interviews with the department representatives. Recovery complexity is rated easy, somewhat difficult, difficult, or extremely difficult.

This section will also provide a cumulative report of estimated recovery-related costs across all of the organization's operational departments. This cumulative impact information can be applied toward justification and prioritization of infrastructure-related resources that may be required.

Walk-Through Testing

The primary objective of a tabletop exercise/structured walk-through test is to ensure that critical personnel are familiar with the BCP and that the plan accurately reflects the organization's ability to recover from a disaster. It involves attendance of management representatives and employees who play a critical role in the BCP process, discussion about each person's responsibilities as defined by the BCP, a walk-through of the procedures outlined in the BCP, and clarification and highlighting of critical plan elements, as well as problems noted during testing. The problems and items requiring action by management will be documented in the report of test results.