Business Continuity Management Program

Disaster Recovery / Business Continuity Plan Testing Guide

Project ID: FSEP / E&Y BCM Audit Response

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Project ID: EY/BCP/DR Audit Response
Version: 2.1
Version Date: 02/8/16

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1 DOCUMENT REVISION HISTORY
This section describes the changes that have been made to this document following its initial development.

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<th>Description of Change</th>
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<tr>
<td>1/29/2016</td>
<td>1.00</td>
<td>Initial Draft</td>
<td>Jill Frater</td>
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<td>Steve Goldfarb</td>
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<tr>
<td>2/3/2016</td>
<td>1.5</td>
<td>Updated with Ewalt edits- ready to be split</td>
<td>SG</td>
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<tr>
<td>2/4/2016</td>
<td>2.0</td>
<td>Separated Testing from Training Plan Doc. with edits</td>
<td>SG</td>
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<tr>
<td>2/8</td>
<td>2.1</td>
<td>Minor updates and formatting fixes</td>
<td>Jill Frater</td>
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2 PROJECT CHANGE SUMMARY
This section describes the changes that have been made to this project following its initial acceptance by the stakeholders and approval for implementation.

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1. **INTRODUCTION**

1.1 **Purpose**
This plan outlines testing and exercise goals, the responsibilities of all stakeholders in maintaining good testing and exercise awareness practices, testing and exercise delivery options, the frequency of exercises and testing, as well as the annual testing and exercise cycle/schedule (all actual dates TBD per each year’s academic schedule).

1.2 **Goals**
1.2.1 To describe the key methods of plan testing and exercising, target audiences, frequency, and content.
1.2.2 To ensure compliance with BCP/DR plan testing, validation, and documentation.

1.3 **Document Maintenance**
This document will be reviewed annually and updated as needed, as the project proceeds through each phase of the Business Continuity Management Project life cycle.

This document contains a revision history log. When changes occur, the document's revision history log will reflect an updated version number as well as the date, the owner making the change, and change description will be recorded in the revision history log of the document.

2. **KEY STAKEHOLDERS**
This section describes the roles and responsibilities of the Business Continuity Management stakeholders with regard to the Training and Testing Plan. Listed below are the key stakeholders:

- Crisis Management Team
- BCM Steering Committee
- Executive business sponsor (Dave Wright)
- Program Administrator (FSEP)
- School/Department BC Coordinator (Recovery Team Planner)
- BC Program owner (Recovery Team Leader)
- IT Disaster Recovery Program Coordinator (School/Dept. IT Admin)
- USC Medical Enterprise Program Coordinator (Robert Vance)
- USC Medical Enterprise Program Owner (Paul Craig)
- USC Central ITS CIO (Doug Shook)
- BCP/DR Department/School Team Members
3. **EXERCISE PROGRAMS IN THE BCM PORTFOLIO**

3.1 **Exercise: Scenario Based Tabletop BCP Walk-Thru**

3.1.1 **Target Audience:** BC Program Coordinators, Program Owners, BCP Team Members  
3.1.2 **Delivery Method:** Tabletop Exercise  
3.1.3 **Goal:**  
- A simulated disaster scenario is used to walk participants through the activation and execution of select portions of the BCP.  
- Emphasis is on roles, responsibilities, and validation of plan content.  
3.1.4 **Frequency:** Annually based on the scheduling of other types of exercises  
3.1.5 **Supporting Materials:**  
- PowerPoint Presentation  
- Job Aids (i.e. checklists, templates)  
- Copy of BCP  
- Exercise Scorecard  
3.1.6 **Duration:** 1-2 hours  
3.1.7 **Facilitator:** Program Coordinator

3.2 **Exercise: Functional**

3.2.1 **Target Audience:** BC Program Coordinators, Program Owners, BCP Team Members  
3.2.2 **Delivery Options:** In-person scenario based and function focused.  
3.2.3 **Goal:**  
- A scenario based exercise where by participants will activate and validate a selected portion of the BCP. Specialized skills, equipment, support tools, and hands-on activities are typically practiced.  
3.2.4 **Frequency:** Based on the size of the department and maturity of their BCM program.  
3.2.5 **Supporting Materials:**  
- Based upon the specific exercise objectives.  
- Exercise Scorecard  
3.2.6 **Duration:** 1-4 hours  
3.2.7 **Facilitator:** Program Administrator or Program Coordinator

3.3 **Exercise: Full-Scale**

3.3.1 **Target Audience:** BC Program Coordinators, Program Owners, BCP Team Members  
3.3.2 **Delivery Options:** In-person scenario based  
3.3.3 **Goal:**  
- A scenario based hands-on field exercise requiring the full activation and execution of the specific department/ school BCP.  
- May include the combination of two or more department and school BCP’s to exercise communication and coordination.  
3.3.4 **Frequency:** Based on the size of the department and maturity of their BCM program.  
3.3.5 **Supporting Materials:**  
- Based upon the specific exercise objectives.  
- Exercise Scorecard  
3.3.6 **Duration:** Full day or day(s)  
3.3.7 **Facilitator:** Program Administrator and/or Program Coordinator
3.4 Exercise or Test: Real World Incident

3.4.1 When a real world incident occurs requiring the full or partial activation of the BCP and/or DR Plan, the incident may be considered meeting a required exercise or test. An incident debriefing should be conducted and an after-action report should be generated.

4. Testing Programs in the BCM Portfolio

4.1 DR Plan and Failover Testing and Validation

4.1.1 Target Audience: IT Program Coordinators, CIO
4.1.2 Formats:
  - Based on program developer recommendations and/or industry best practices.
4.1.3 Objectives:
  - Validate plan contents and recovery strategies
  - Demonstrate the ability to successfully recover data, systems, and/or hardware.
4.1.4 Frequency: Annually
4.1.5 Supporting Materials:
  - Test Scorecard
  - Test Template
4.1.6 Facilitator: IT Program Coordinators

5. Scheduling and Tracking of Tests and Exercises

There will be a process for tracking participation in all exercise and testing activities. This will be the shared responsibility of the Program Administrator and the Program Coordinator/IT Program Coordinator. Tracking participation may include attendance rosters, sign-in sheets, e-mail documentation and/or the use of on-line tracking tools.

The (IT) Program Coordinator will schedule all exercises and testing in collaboration with the Program Administrator and ensure all members of the target audience participate. At any given time, senior university administration may require that certain exercises and testing to be conducted and attended, ad hoc or on an annual basis.

6. Evaluation

6.1 Exercise and testing program activities will be evaluated, in respect to their effectiveness in meeting goals and objectives.
6.2 The exercise and testing evaluation will be documented using a standard scorecard and/or post exercise/testing participant surveys.

Exercise and testing outcome scorecards will be communicated to senior university administration and each applicable school/department leadership.
The following chart describes how Exercise and testing will be delivered. Specific exercise and testing documents will be developed as the program matures.

<table>
<thead>
<tr>
<th>Exercise/Testing Topic</th>
<th>Target Audience</th>
<th>Facilitator(s)</th>
<th>Objectives or Goals</th>
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| Tabletop Exercise      | BC Program Coordinators, BCP Team Members & other essential staff. | Program Administrator or Program Coordinator | - A scenario based walk through of select portions of the plan.  
- Emphasis is on roles, responsibilities, and validation of plan content. |
| Functional Exercise    | BC Program Coordinators, BCP Team Members & other essential staff. | Program Administrator or Program Coordinator | - A scenario exercise focusing on select portions of the plan.  
- May be hands-on using actual tools and performing tasks. |
| Full-Scale Exercise    | BC Program Coordinators, BCP Team Members & other essential staff. | Program Administrator or Program Coordinator | A scenario based hands-on field exercise requiring the activation and execution of specific department/school BCP. May include the combination of two or more departments/schools BCP’s to exercise communication and coordination. |
| DR Plan and Failover Testing and Validation | IT Program Coordinators | IT Program Coordinators | Validate plan contents and recovery strategies and/or demonstrate the ability to successfully recover data, systems, and/or hardware. |