Business Continuity Management Program

Testing Policy

*Project ID: FSEP / E&Y BCM Audit Response*

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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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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 policy outlines testing goals, the responsibilities of all stakeholders in maintaining good testing programs, delivery options, and frequency of testing as well as the annual testing cycle/schedule (all actual dates TBD per each year’s academic schedule). The plan also describes how resources will be offered to ensure all school/department BCP/DR plans are tested and validated.

1.2 Goals

1.2.1 To ensure all stakeholders and BCP/DR team members maintain awareness of their responsibilities for activating and facilitating their school/department BCP/DR plan.

1.2.2 To identify key methods of testing and exercises, target audiences, frequency, and content.

1.2.3 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 Testing Policy. Listed below are the key stakeholders:

- Crisis Management Team
- BCM Steering Committee
- Executive business sponsor (Dave Wright)
- Program Administrator (FSEP)
- School/Department Coordinator (Team Planner)
- Program owner (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)

2.1 Training and Testing Responsibilities

2.1.1 Crisis Management Team
- Escalation of any issues or non-compliance.

2.1.2 BCM Steering Committee
- Reinforcement of BCM testing expectations/accountabilities with their units.
- Provide recommendations about testing methodologies.
2.1.3 Executive Business Sponsor
- Reinforcement of BCM testing expectations and accountabilities with their respective units.

2.1.4 Program Administrator
- Communicate BCM testing expectations and accountabilities with their units.
- Provide regular testing activity status reports.
- Develop testing content, materials and aids.
- Support the delivery of testing products where possible.

2.1.5 School/Department Program Owner
- Communicate with the school/department program coordinators and recovery team members to ensure program compliance with testing.
- Ensure executive level support by communicating with key staff faculty staff and researchers to ensure cooperation and collaboration with BCP/DR testing.

2.1.6 School/Department Program Coordinator
- Communicate with recovery teams and the program owner to ensure that key deadlines are met. Other actions will include the scheduling of meetings and exercises.
- Communicate plan development, maintenance and status to the recovery leader, program administrator, and other internal stakeholders.
- Ensures recovery team members are aware of their roles and responsibilities and that staff and faculty members are familiar with the business continuity plan.

2.1.7 IT Disaster Recovery Program Coordinator
- Communicate with recovery teams and the program owner to ensure that key deadlines are met. Other actions will include the scheduling of meetings and exercises.
- Communicate plan development, maintenance and status to the recovery leader, program administrator, and other internal stakeholders.
- Ensures recovery team members are aware of their roles and responsibilities and that staff and faculty members are familiar with the business continuity plan.

2.1.8 USC Medical Enterprise Program Coordinator
- Communicate with recovery teams and the program owner to ensure that key deadlines are met. Other actions will include the scheduling of meetings and exercises.
- Communicate plan development, maintenance and status to the recovery leader, program administrator, and other internal stakeholders.
- Ensures recovery team members are aware of their roles and responsibilities and that staff and faculty members are familiar with the business continuity plan.

2.1.9 USC Medical Enterprise Program Owner
- Communicate with the program coordinator and recovery team members to ensure program compliance with testing.
- Ensure executive level support by communicating with key staff faculty staff and researchers to ensure cooperation/collaboration with BCP/DR testing.

2.1.10 USC Central ITS CIO
- Ensure executive level support by communicating with the program coordinator to ensure cooperation and collaborations with all aspects of the BCP/DR testing program.
3. **BCP/DR Program Awareness Objectives**

3.1 Ensure each member of a BCP/DR planning team understands his or her role.
3.2 Ensure each person is enabled to achieve their work objectives.
3.3 Ensure staff is prepared to deal with business disruptions and crisis.
3.4 Ensure each individual is encouraged to develop his or her understanding of BCP/DR practices.
3.5 Ensure each member must take responsibility for ensuring they are aware of plan revisions and operational changes that impact their school/department plans.

4. **Principles of the BCP/DR Testing Policy**

4.1 Testing can be defined as any activity designed to test the failure and recovery of a particular IT system. The test may include objectives that cover the entire plan or portions of the plan.
4.2 The testing of the BCP is an exercise that includes objectives that specifically require BCP Team members to practice and validate the procedures within the plan. The exercise may include objectives that cover the entire plan or portions of the plan.
4.3 The responsibility for identifying and carrying out testing activities shall be shared between the Program Administrator and the Plan Coordinators and Owners.
4.4 Departments and Schools shall allocate appropriate time and financial support to ensure testing requirements are met.

5. **Planning and Testing Programs**

5.1 Types of testing delivery options
   5.1.1 DR program/product specific tests (failure/disruption tests)
   5.1.2 Tabletop exercises
   5.1.3 Functional Exercises
   5.1.4 Full-Scale Exercises

5.2 Target Audiences
   5.2.1 Program owners, program coordinators, and recovery team members will participate in BCP Exercises based upon the objectives.
   5.2.2 IT Disaster Recovery Team Coordinators will be responsible for ensuring DR Plan testing is performed.

5.3 Testing Content
   5.3.1 The format for testing an individual system shall be based upon industry best practices and recommendations and/or requirements from the Program Administrator with input from each school/department product developer/ distributor.
   5.3.2 The format for exercises and the goals and objectives shall be determined by the program administrator.
   5.3.3 Exercises will be developed following industry best practices and based upon plan and school/department size and BCP/DR maturity.
5.4 Time and Budget Allocation for Testing

5.4.1 All departments/schools and program coordinators will allocate the time required for key staff to participate in scheduled testing activities and must conduct the activities within the timeframes indicated in this policy and the BCP/DR governance policies.

5.5 Monitoring and Tracking Testing

5.5.1 There shall be a process for tracking testing activities and participation in exercises. This will be the shared responsibility of FSEP and the department/school.

- BCP participant exercise tracking may include attendance rosters, sign-in sheets, e-mail documentation and/or the use of on-line tracking tools.
- DR testing should include a test document that includes test objectives, methodology, expected outcomes, actual outcomes, and after-actions to correct gaps.

5.5.2 At any given time, senior university administration may require that certain testing be conducted and attended, ad hoc or on an annual basis.

5.6 Evaluation

5.6.1 Testing program activities will be evaluated in respect to their effectiveness in meeting goals and objectives.

5.6.2 The testing outcome will be documented using a standard scorecard with varied objectives.

5.6.3 Testing outcome scorecards will be communicated to senior university administration and each applicable school/department leadership.