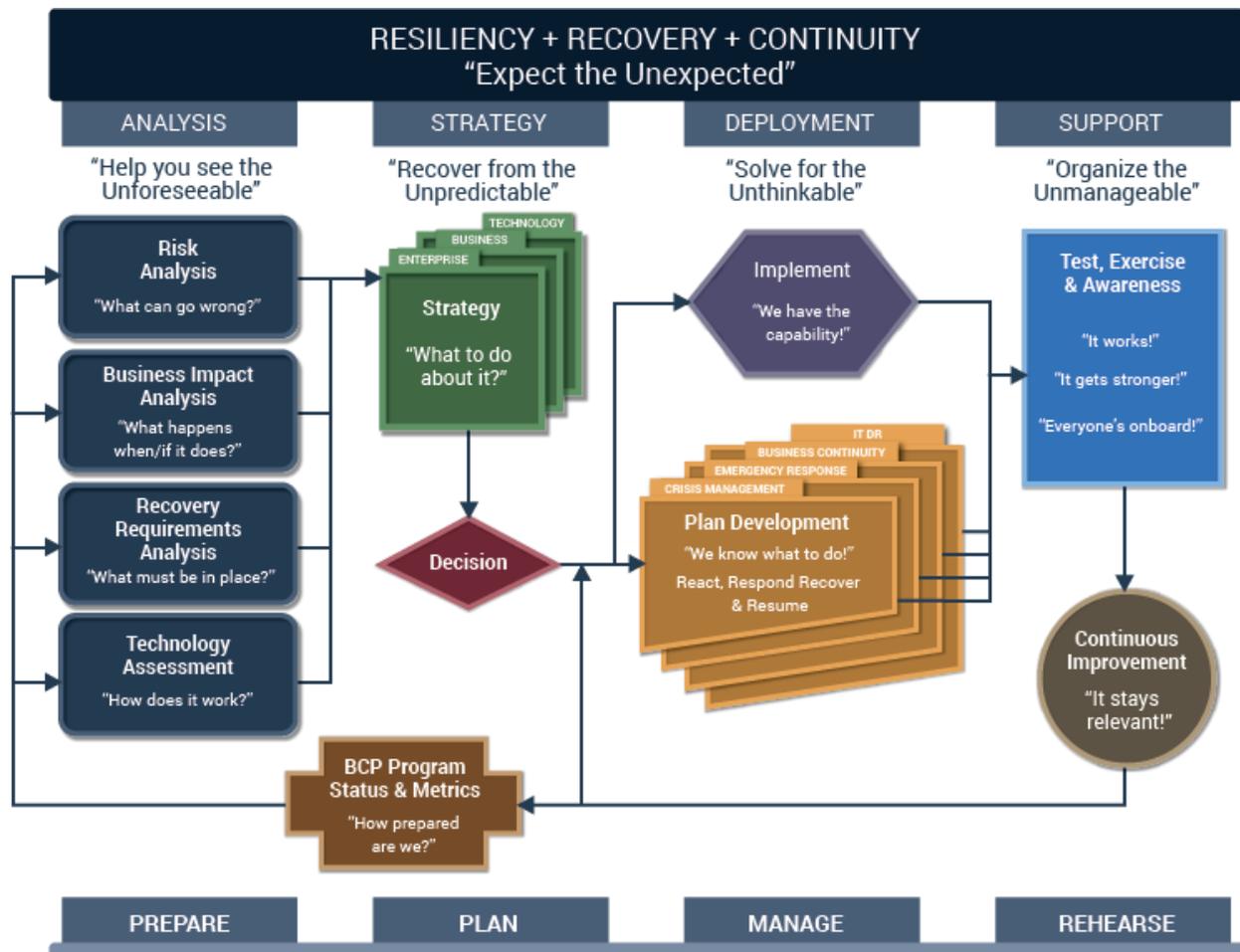


# Program Methodology

## Overview

The Eagle Rock consulting practice employs its time-proven comprehensive methodology for Business Continuity and Disaster Recovery Planning. The methodology, shown below, can be used to launch, assess, manage or improve individual parts or entire BC/DR programs. This methodology aligns with recognized Risk, Resiliency and Business Continuity Planning Standards and Guidelines, both international and sector-specific (i.e. ISO 22301, BS25999, FFIEC, FINRA, HIPAA and others), as well as related standards for IT security, such as ISO 27031 and ISO 27001.



## Individual Graphics Breakdown and Explanation

### Analysis Phase

#### Risk Analysis

##### Risk Analysis

“What can go wrong?”

The Risk Analysis helps identify what types and sizes of disruptions are most likely to occur at a facility. Risks can include facility risk, supplier risk, acts of nature, and acts of man, logistical risk or other factors.

The Risk Analysis identifies the risk factors. The Risk Analysis, in conjunction with the Business Impact Analysis, provides the business case for the recovery program. As a result of identifying these threats,

recommended risk mitigation techniques will be offered to help address the most probable risks identified in this analysis.

*Additional Information to add if needed:*

To complete the Fundamental Risk Analysis, Eagle Rock will:

- Conduct a facilities walkthrough
- Perform a visual inspection of geographic location
- Review of directly adjacent neighboring organizations
- Conduct meetings with facilities managers and building management
- Discuss utility sources and alternate sources
- Discuss network communication facilities
- Review existing emergency procedures
- Create findings report and present to management
- Expanded Risk Analysis (optional)
- Research of historical events
- Internet research about local exposures
- Documented observations of neighboring activities (~ ¼ mile radius)
- Determination of risks and threats present resulting from weather/geological conditions
- Evaluation of risks and threats that affect providers of critical services; such as power, voice and data communications, and other utilities

#### Business Impact Analysis

##### Business Impact Analysis

“What happens when/if it does?”

The BIA assesses the impact of a disruption to the current business processes and enabling applications by business area. It includes tangible and intangible impacts of suspended operations and data loss from an outage. An important outcome from this analysis is each business area’s recovery objectives, including Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs). The RTO is a

measure of the timeframe whereby an application can remain unavailable before it begins to severely impact the ability for an organization to do business and consequently suffer acute financial exposure.

RPO is a measure for the amount of data that can be lost in the event of a disaster without impacting the integrity of the processes to restore the missing data and resume processing.

*Additional Information to add if needed:*

To complete the BIA, Eagle Rock will:

- Conduct interviews with key personnel and departmental management
- Review current business processes and procedures
- Review current disaster recovery plans and/or procedures
- Identify each business area's recovery objectives (RTOs and RPOs)
- Identify business process "work-arounds"
- Identify tangible and intangible losses from a disruption
- Quantify tangible losses
- Create Findings Report

## Recovery Requirements Analysis

### Recovery Requirements Analysis

"What must be in place?"

Eagle Rock will examine the business functions, technology, network and staff support requirements necessary to recover the applications supported by the IT function. This includes a review of the technology environment, as well as non-IT assets necessary to continue business processes in a recovery scenario.

*Additional Information to add if needed:*

To complete the Recovery Requirements Analysis, Eagle Rock will:

- Conduct a review of critical IT assets for each business operation
- Conduct a review of critical non-IT assets (such as specialized office equipment and vital records) for each operation
- Map business requirements to physical environment
- Identify communications requirements
- Identify critical and non-critical employees
- Determine the office space requirements for a disaster scenario relocation

## Technology Assessment

### Technology Assessment

"How does it work?"

Eagle Rock will perform an analysis of the current firm-wide IT operations to determine the vulnerabilities and dependencies of business systems, physical operations, and voice and data communications.

*Additional Information to add if needed:*

To complete the Technology Assessment, Eagle Rock will:

- Assess the current recovery state of the technology environment
- Review current contracts dealing with IT recovery

- Compare and contrast the desired states for the technology recovery environment
- Recommend actions to bridge the 'gap' between the current and desired states

## Strategy Phase

### Strategy



This task develops the appropriate strategies that will meet the recovery objectives. It includes a cost benefit analysis, and prioritizes and recommends actions to implement the strategies. Eagle Rock will identify evaluation criteria for enabling a consistent comparison of the strategy options, drawing on the Eagle Rock knowledge base and best industry practices.

#### *Additional Information to add if needed:*

The strategies will focus on:

- Recovery of IT assets and operations
- Recovery of business operations
- Storage and recovery of documents
- Recovery of non-IT assets
- Management of human resources in the event of a disaster
- Office space relocation and supplier coordination
- Transition from temporary facilities to new permanent working environment

To complete the Strategy development, Eagle Rock will:

- Identify decision criteria and weighting for selection of recovery options
- Identify applicable recovery options
- Develop cost indications for each option
- Create a matrix listing the appropriate evaluation criteria with commentary measuring each of the considered strategies
- Evaluate recovery options using selection criteria
- Create Recovery Strategy Analysis Report
- Present report to senior management

### Decision



Following the decision by senior management to proceed on a selected strategy, the Deployment Phase would commence with the development of actionable recovery and business continuity plans. At the same time Eagle Rock will begin assisting in the implementation of the selected recovery capability. Upon the completion of the plans, Eagle Rock will

present the new recovery and continuity program and plans to the senior management team and will conduct a table top exercise for the business continuity key participants of the staff and management.

## Deployment Phase

### Plan Development



Eagle Rock will create a detailed master business continuity action plan that articulates actions to implement the recovery, as well as a “thin plan”, a compact and very portable document containing critical information for each of the business operational areas in case of a disaster. Both formats will include consistent actions that will be taken before, during and after a disaster. The third component of the Plan development phase will be the development of the IT Disaster Recovery plan.

#### *Additional Information to add if needed:*

- To complete the Plan Development, Eagle Rock will:
- Create recovery aids using “best practices” and previous client experience
- Document recovery information including, critical contact information, notification call trees, evacuation procedures and routes, congregation points, escalation procedures, disaster assessment and declaration
- Document operations recovery procedures for each department
- Integrate business operations recovery with the IT recovery process
- Create Plans – a master Business Continuity Plan and departmental “thin plans”
- Review Plans with management

### Implement

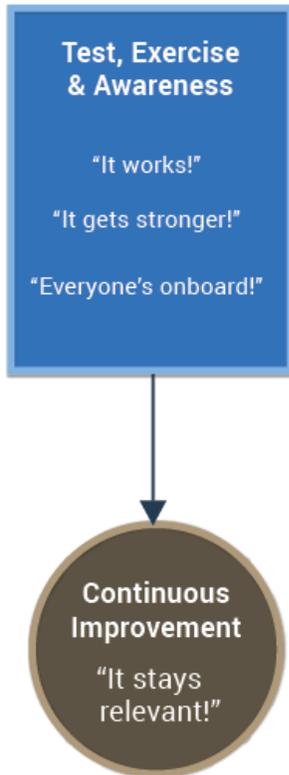


This component executes the agreed upon strategies and action plan. It establishes organizational responsibility areas, identifies human resource communication accountabilities, populates the detail for both the business continuity and disaster recovery plans, formalizes recovery and emergency procedures, and provides training and awareness to management, emergency response teams, and key personnel.

#### *Additional Information to add if needed:*

- To complete Implementation, Eagle Rock will:
- Assist in managing the Business Continuity Planning implementation
- Work with selected vendors to execute the solutions
- Manage and support the Business Continuity Planning roll-out to staff
- Design and conduct a Business Continuity Planning training and awareness session (Table Top Exercise)

## Support Phase



During this step in the support phase, business continuity and disaster recovery training and awareness programs will be established, plan validation testing to prove capability will be conducted, on-going testing and maintenance programs will be developed, and quality assurance and continuous improvement programs will be established.

*Additional Information to add if needed:*

- Establish Governance Model and Support Organization
- Schedule Validation Activities
- Disaster Recovery Testing
- Tabletop Exercises
- Emergency Response Drills
- Develop Tracking and Reporting Metrics
- Develop Training and Awareness Program
- Develop Maintenance Program
- Implement testing, maintenance and awareness programs
- Periodically refresh BIA and review RTO/RPO objectives
- Perform self-assessment to measure continuous improvement

## Reporting Phase



Resiliency metrics are necessary to ensure the efficacy of your BCP and your gauge of your preparedness in the face of a disaster. Developing BCP metrics is hard work that never gets finished. It is an ongoing process that needs revision to ensure that you are measuring and monitoring the correct metrics and constantly striving to improve your BCP and its delivery of real results. Metrics need to

be tracked, scored, and summarized for easy C-Level reporting. Effective reporting can justify the most difficult aspect of a BCP Program: obtaining a budget. Metrics can justify budget sizes for additional support such as software tools, additional personnel and outside consulting assistance. Overtime, BCP metrics should evolve, becoming increasingly sophisticated and revealing insights about your organizational priorities.

*Additional Information to add if needed:*

- Develop Metric Dashboards
- Develop Custom Report templates