

# **ADM(Fin CS) Business Continuity Plan**

September 2008

## Record of Changes

[illegible]

# TABLE OF CONTENTS

PART 1 – OVERVIEW .....	1
Introduction .....	1
Organization .....	1
 PART 2 – BCP ELEMENTS .....	3
Roles and Responsibilities Framework .....	3
DND/CF BCP Governance Framework .....	3
ADM(Fin CS) Governance Framework .....	4
ADM(Fin CS) Accountabilities .....	5
Threat and Risk Assessment (TRA) .....	6
Recovery Strategy .....	6
 PART 3 – PLAN IMPLEMENTATION .....	
Response and Recovery Strategies for the ADM(Fin CS) Group .....	8
Emergency Response Procedures for Individual Group Accountabilities .....	9
Business Continuity Response Strategies .....	12
 PART 4 – BCP TRAINING AND EXERCISES .....	
BCP Training and Exercises .....	13

## ANNEXES

Annex A – ADM(Fin CS) BCP Implementation	
Annex B – ADM(Fin CS) BCP Response Team Contact Information	
Annex C – ADM(Fin CS) Incident and Consequence Management Guide	
Annex D – ADM(Fin CS) BCP Planning Assumptions	
Annex E – Key References	
Annex F – Internal and External Dependencies and Critical Infrastructure Requirements	
Annex G – ADM(Fin CS) Accommodation Requirements for Critical Operations	

References: A. ADM(Fin CS) Level 2 Business Impact Analyses  
B. DND/CF Threat Risk Assessment (TRA)

## **PART 1 – OVERVIEW**

### **Introduction**

Treasury Board Secretariat (TBS) recognized the need to establish a comprehensive process to ensure the continuity of Constitutional Government and critical government services in the event of a man made or natural disaster. In order to ensure the protection of critical services, TBS developed the Business Continuity Planning Program and mandated its implementation through the Government Security Policy.

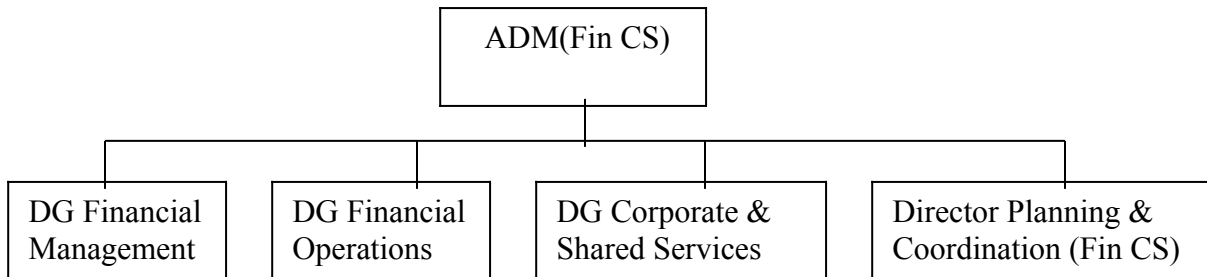
This ADM(Fin CS) Group Business Continuity Plan (BCP) has been developed as part of the Business Continuity Program for the Department of National Defence and Canadian Forces' (DND/CF) and aims to ensure the continued availability of critical services and assets that are essential in fulfilling our Group mission and mandate. This BCP was developed using the Business Impact Analyses that have been developed for each of the Group's critical accountabilities. The focus of this Plan is limited to the National Capital Region.

This document contains guidelines and information to ensure the continued availability of essential services and assets of the ADM(Fin CS) Group in the event of a disruption of normal operations. It identifies general levels of risk associated with the ADM(Fin CS) Group controlled services and those outside of its immediate control, and defines the responsibilities of key personnel, and the courses of action to be followed should circumstances arise that warrant the implementation of this plan. This is an **evergreen** document that will be further developed as we proceed with furthering the BCP Program within the ADM(Fin CS) Group.

### **Organization**

ADM(Fin CS) is the Senior Financial Officer of the Department of National Defence, and is charged with ensuring the integrity of financial management and comptrollership at DND/CF. ADM(Fin CS) provides comptrollership guidance and the financial authorities framework and advice necessary to support the resource management process and ensures the provision of corporate services to support DND/Canadian Forces (CF). The responsibilities of the Finance and Corporate Services Group are divided into the following three main areas, each of which is headed by a Director General: Financial

Management, Financial Operations, and Corporate and Shared Services. The Director Planning and Coordination provides stewardship and comptrollership over Group business processes and functions.



**ADM(Fin CS) Group Mission**  
Provide comptrollership, financial management and corporate service to support  
DND/CF

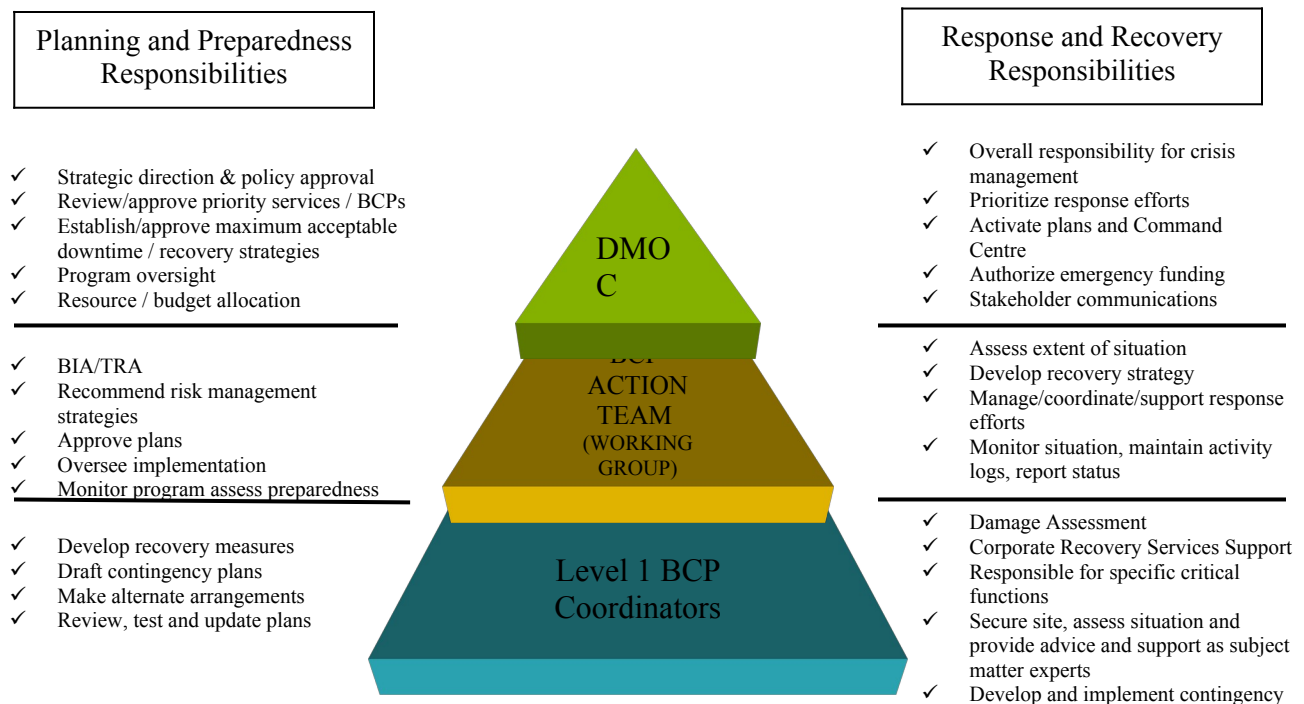
**ADM(Fin CS) Group Vision**  
Provide excellence in resource management and be recognized for providing high quality  
service to our customers in the most effective and efficient manner possible

## PART 2 – BCP PLANNING ELEMENTS

### Roles and Responsibilities Framework

The diagram below depicts the key elements of the framework established to manage the two components of DND/CF's business continuity planning – planning and preparedness and response and recovery – and differentiates between the roles and responsibilities for each element. While the diagram shows three tiers of management authority and accountability, each must function in harmony with the others to achieve success. Key in this framework are the links between operations, programming and policy in planning and preparedness, and between decision-making, coordination/support and responders in response and recovery. This Framework describes the various organizational roles and responsibilities for preventing, preparing for, responding to and recovering from any business continuity situation that affects the critical services for which DND/CF is accountable.

### DND/CF BCP Governance Framework



- **Executive Authority.** The Vice-Chief of the Defence Staff (VCDS) is responsible for the preparation, exercise and maintenance of the DND/CF BCP Program. The Defence Management Oversight Committee (DMOC) reviews and approves all aspects of the DND/CF BCP Program;

- **Senior Leadership.** Assistant Deputy Minister Finance and Corporate Services (ADM(Fin CS)) and Strategic Joint Staff (SJS) Director of Staff (DOS) provide corporate/CF leadership to the DND/CF BCP Program. ADM(Fin CS)/Director General Corporate and Shared Services (DGCSS) and SJS Director-General Plans (DGP) serve as the co-chairs of the DND/CF BCP Action Team;
- **BCP Action Team.** All organizations within DND/CF, as well as key representatives such as the Departmental Security Officer (DSO), are members of the DND/CF BCP Action Team (Director Level);
- **BCP Coordinator(s).** Senior DND and CF BCP coordinators have been appointed and serve as lead planners for the DND/CF BCP Program.

### ADM(Fin CS) Governance Framework

ADM(Fin CS) BCP Response Team	
Position	Responsibilities
ADM(Fin CS) Group Principal	<ul style="list-style-type: none"> <li>• Assess emergency situation and make decision on level of response required</li> <li>• Inform MND / DM / CDS / VCDS / CFSU(O) as appropriate</li> <li>• Authority to initiate any required spending</li> </ul>
DGs	<ul style="list-style-type: none"> <li>• Assess emergency situation and make decision on level of response required</li> <li>• Inform ADM(Fin CS) and the Crisis Response Team</li> <li>• Authority to initiate any required spending</li> </ul>
Directors	<ul style="list-style-type: none"> <li>• Keep DG informed concerning emergency situation</li> <li>• Implement BCP for service in question</li> <li>• Authority to initiate any required spending</li> </ul>
BCP Coordinators	<ul style="list-style-type: none"> <li>• Internal communications</li> <li>• Coordination of onsite BCP activities</li> </ul>
Local Managers/Supervisors	<ul style="list-style-type: none"> <li>• Keep Director informed concerning emergency situation</li> <li>• Implement BCP for service in question</li> <li>• Advise clients and staff of any prolonged disruption in service</li> <li>• Establish setup at alternate location (i.e. file servers, and basic office support facilities)</li> </ul>

## ADM(Fin CS) Group Accountabilities

Following is a list of ADM(Fin CS) Group Accountabilities.

ADM (Fin CS) Critical Operations and Services			
OPI	CRITICAL OPERATION / SERVICE #	Accountability	Maximum Allowable Downtime
<b>ADM(FIN CS) :</b>			
ADM(Fin CS)	2.1.6	Corporate support and guidance to the Minister	<1 day
ADM(Fin CS) / DA/MND	2.1.7	Direct administrative support to the Minister	<1 day
<b>DGCSS:</b>			
DGCSS	6.4.12	NDHQ Mail distribution and mail service Records Retrieval	<1 day <3 days
DGCSS	6.4.13	Responsibility and authority for strategic and operational office accommodation planning	<7 days
DGCSS	6.4.14	Property and facilities management, with the exception of the operation and maintenance of DND custodial space	<7 days
<b>DG FIN MGMT:</b>			
VCDS / DG Fin Mgmt	3.1.3	Internal Departmental Management on behalf of MND <ul style="list-style-type: none"> <li>Overall Financial and Resource Management <ul style="list-style-type: none"> <li>Control of public funds and accounting for departmental assets</li> </ul> </li> </ul>	<1 day
DG Fin Mgmt	6.4.1	Resource Allocation	<1 day
DG Fin Mgmt	6.4.2	Strategic Financial Support to CF Operations <ul style="list-style-type: none"> <li>Financial allocations management</li> <li>Payments</li> <li>Cost tracking and reporting</li> </ul>	<1 day
DG Fin Mgmt	6.4.6	Ensuring effective support for financial resource allocation Development of strategic financial and budgetary planning options	<7 days
<b>DG FIN OPS :</b>			
DG Fin Ops	6.4.9	Critical Payment Services – in an emergency, the department may need to use alternative methods of buying services, paying bills, etc., if the usual methods are not available (i.e. cutting Receiver General cheques as required).	<1 day
DG Fin Ops	5.1.4	Military Pay and Pension Services Delivery	<3 days
DG Fin Ops	6.4.8	Custody and accounting of financial assets under the CFSA (transfers of funds to PIB through FMAS)	<3 days

Business Impact Analyses (BIA) have been completed for each of the above critical operations and services which have a maximum allowable downtime of less than 30 days.



## **Threat and Risk Assessment (TRA)**

The DND/CF Threat and Risk Assessment (TRA) identified a wide variety of events that could affect DND/CF and ADM(Fin CS) operations and services. These events can be categorized as resulting in:

- Loss of personnel (major storm, flood, pandemic influenza, etc.)
- Loss of services (power, water, telecom, etc.)
- Loss of facilities (fire, earthquake, flood, etc.)

The complete DND/CF TRA is classified SECRET. It can be found on the secure DND/CF network, under TITAN/Corporate View/Business Continuity Planning.

## **Recovery Strategy**

### **Facilities**

ADM(Fin CS) Group personnel are located in fifteen buildings in the National Capital Region. Should an alternate site be needed if the Pearkes Building is not available, the 66 Slater location has been chosen as the primary alternate site to accommodate all Fin CS Group personnel who would be performing critical functions. The Director General Financial Operations presently occupies the 66 Slater location. The alternate site chosen for mail distribution is the National Printing Bureau in Gatineau.

Individual Directors and supervisors are responsible for ensuring that personnel have access to the necessary equipment to enable them to work from home in the event of an emergency situation.

### **Personnel**

Up-to-date employee contact lists are maintained by all organizations within ADM(Fin CS) so that employees can be contacted quickly in the event of an emergency situation. Personnel mobilization plans are maintained and operationally critical personnel have been identified. The roles and responsibilities of key individuals involved in the BCP process have been defined.

### **Command and Control**

An ADM(Fin CS) BCP Action Team has been created to ensure that comprehensive BCP plans and arrangements are maintained.

### **Systems**

The networks team for ADM(IM) is responsible for all IS networking and communications. The Team responsibilities include:

- Arranging new local and wide area data communications facilities and a communications network, which links the standby facility to the critical users;
- Installing a minimum voice network to enable those identified as critical telephone users to link to the public network;

- Evaluating the extent of damage to the voice and data network and discussing alternate communications arrangements with telecom service providers;
- Establishing the network at the standby facilities in order to re-establish the required operations;
- Defining the priorities for restoring the network in the user areas;
- Ordering the voice/data communications and equipment as required;
- Supervising the line and equipment installation for the new network;
- Providing necessary network documentation;
- Providing ongoing support of the networks at the standby facility;
- Re-establishing the networks at the primary site when the post disaster restoration is complete.

### **Decision Support**

Arrangements and procedures are in place to ensure that decision support to the MND, DM, CDS and other executive authorities is maintained during a disruption.

### **Sustainment**

Individual Directors are responsible for maintaining service level agreements with vendors and suppliers for the maintenance of service during an emergency situation.

Alternate service delivery options during periods of disruption ~~will be maintained~~ have been decided upon and are described in Part 3 of this document.

## PART 3 – PLAN IMPLEMENTATION

### Response and Recovery Strategies for the ADM(Fin CS) Group

This section identifies the tasks that are required to support continuity or recovery of service delivery for the Group's critical services. Depending on the nature, extent and severity of the emergency situation, the steps listed in the following Table would be followed by all organizations within the Group. More detail can also be found in Annex C – Incident and Consequence Management Guide.

Response and Recovery			
#	Activity	Task done by	Remarks
1	Assess nature of emergency	DG and Directors	In consultation with Team – First priority health, safety and security of personnel
2	Facilities – determine alternate site	Accommodation Section involved	1st Alternate Site: 66 Slater 2 <sup>nd</sup> Alternate Site: TBD
3	Convene Recovery Management Team / activate Control Center	Directors / Section Heads	On direction from supervisor – Location determined in facilities assessment
4	Threat or Risk Assessment Factors	Directors / Section Heads	In consultation with Directors and BCP coord
5	Personnel - mobilization plans – roles & responsibilities - safety	Section Heads & Supervisors	In communication with Direct Reports
6	Command and Control – SOPs to manage emergency situation	BCP Coord	Central control function
7	Systems – recovery and response plans developed for IM/IT continuity, communications and vital records – maintain manual procedures	Directors / Section Heads	Assess the condition and functionality of applications databases and comms with Level 1 stakeholders/clients and Other Government Depts
8	Decision Support – arrangements and procedures are in place to ensure decision support (advice) to MND/ DM/CDS and other executive authorities are maintained	ADM	With support from BCP coord & ADM's subordinate staff
9	Sustainment – Service Level agreements with vendor/suppliers during disruption – Maintain Alternate service delivery options	DG's	With support from Direct Reports

The emergency base of operations for the ADM(Fin CS) Group is the 8<sup>th</sup> Floor of the Pearkes Building. This location contains the ADM(Fin CS)'s office and Group Conference Room. The alternate emergency base of operations is 66 Slater Street.

The following workarounds apply to all Group Accountabilities.

- Use of backup power generation facilities,
- Use of portable computers with critical applications,
- Use of emergency communications facilities, and
- Use of manual processes.

## **Emergency Response Procedures for Individual Group Accountabilities**

### **Corporate Support and Guidance to the Minister (2.1.6)**

- Maintain communication with the DM, Assoc DM, MND (as necessary), L1s and L2s, through available means;
- Ensure Issue/Incident/Consequence management within the realm of ADM (Fin CS) responsibilities; and
- Provide administrative support to ADM (Fin CS):
  - Arrange for ADM (Fin CS) to work from designated location,
  - Maintain records keeping capability,
  - Ensure correspondence management, and
  - Coordinate close support with DPC(Fin CS).

### **Direct Administrative Support to the Minister (2.1.7)**

- Accommodation requirements – arrange for Minister to work from Parliament Hill office; Minister's skeleton staff will need office space close to NDHQ/Parliament Hill;
- (Phones/blackberry/secure fax/secure phone/computers are the responsibility of ADM(IM)) – business can be conducted on short term (1-2 days max) via phones/blackberry if systems available to conduct business with NDHQ, House of Commons, regional and constituency; if not, available secure office space in Ottawa will be required soonest;
- MCU functionality for record tracking and correspondence production post 30 days – to be driven by DGCSS/DSCS/MCU;
- Travel arrangements can continue to be made by MND Orderly Room assuming phone/computer functionality;
- Transport for local travel can be provided via Minister's driver/Admin driver;
- Movement of mail between Parliament Hill office, NDHQ and Sacre-Coeur can be conducted via MND administrative driver; movement of mail between Department and MND office via MCU would be hand delivered assuming that NDHQ mailroom is operational;
- MND receptionist will be tasked to continue to monitor phone calls; and
- Skeleton administrative staff will be available to support Minister's staff; if feasible some work can be performed remotely via blackberry but only for short term (1-2 days max).

### **NDHQ Mail Distribution, Courier Services and Records Management (6.4.12)**

- Arrange for mail receipt, safekeeping and distribution as required by Level 1's within the National Capital Region;
- Arrange for accessibility to authorized file plans currently available to DSISSS;

- Coordinate client requests for mail and records assistance through one point of contact at minimum manning levels;
- Assist in the capture, retrieval and storage of data as required within minimum manning levels; and
- Arrange for physical movement of critical time sensitive materials to support various Level 1's within the Department.

#### **Responsibility and Authority for Strategic and Operational Office Accommodation Planning (6.4.13)**

The office accommodation function affects virtually all Level 1 organizations within the Department. An Accommodations BCP Sub-Committee that will consider all Level 1 demands and requirements will lead planning for this accountability. The Sub-Committee will develop options and make recommendations for the development of a departmental approach.

#### **Property and Facilities Management, (With the Exception of the Operation and Maintenance of DND Custodial Space) (6.4.14)**

This function will also be addressed by the Accommodations BCP Sub-Committee (see above paragraph).

#### **Internal Departmental Management on Behalf of MND (3.1.3)**

- Overall Financial and Resource Management
  - Control of public funds and accounting for departmental assets

#### **Resource Allocation (6.4.1)**

#### **Ensuring Effective Support for Financial Resource Allocation (6.4.6)**

- Development of strategic financial and budgetary planning options

The following text applies to the three above Accountabilities. After assessing/addressing all health and safety aspects, DB's immediate action upon notification of an emergency would be to assess and report on the condition and functionality of applications databases and communications with Level 1 stakeholders/clients and Other Government Departments. The primary function during an emergency and until it is over would be to maintain communications with Level 1 Comptroller staffs, providing two-way communications regarding the status and control of Departmental public funds.

#### **Strategic Financial Support to CF Operations (6.4.2)**

(Financial allocations management, payments, and cost tracking and reporting)

In an emergency situation, personnel would be available to provide information as required concerning previous deployments, and when the emergency situation is over, assess the financial implications of deployments undertaken.

#### **Critical Payment Services (6.4.9)**

In an emergency, the department may need to use alternative methods of buying services, paying bills, etc, if the usual methods are not available (i.e. cutting Receiver General cheques as required). An emergency situation could delay the provision of support to

customers and delay FAA Section 33 approval. Should this occur, manual records will be maintained for input when normal business resumes. \_\_

#### **Military Pay and Pension Services Delivery (5.1.4)**

##### Military Pay Services

- If required, in case of emergency, move from the Borden site to Tunney's site
- If power and operational facilities are not available, and Direct Funds Transfers cannot be processed, possible workarounds are:

Regular Force - pay Regular Force members in advance

- store last payment files
- prepare for issuing cheques from local Dept bank accounts
- create military survivability report

Reserve Force - acquire funds and temporary Dept bank account

##### Pension Services

System failures could prevent release benefit information from being transmitted to PWGSC and thus causing delayed payment of benefits. Should this occur, release benefits could be manually calculated for personnel scheduled for release, then transmitted to PWGSC when possible.

#### **Custody and Accounting of Financial Assets Under the CFSA (transfers of funds to PIB through FMAS) (6.4.8)**

Accounting Systems & Decision Support (FMAS). A failure of the FMAS could cause the loss of access to the Department's financial management and accounting information.

##### Risk Mitigation Strategies:

- Should FMAS be unavailable for more than seven days, the FMAS business recovery plan for natural disasters may be used. This plan was developed to mitigate the loss of the Borden data centre, and uses the business recovery site at Markham, ON.
- Should the DWAN fail for a period exceeding seven days, FMAS will run on the DWAN Business Continuity System, which uses satellite and would permit essential functions to be performed.

##### Central financial coordination of military operations

##### Possible Workarounds:

- Transactions processed manually will be stored and input to the system when it is available, and
- If computer lines of communication fail, directorate staff will revert to telephone communications with customers.

##### Departmental Management administrative policies

These policies may not be accessible to Departmental personnel in the event of an emergency situation. As a Mitigation Strategy, electronic files will be downloaded to electronic media or paper as required if there is sufficient warning. These files could be carried out of the building in a 'Battle Box' by an OPI who has been given

the responsibility for safeguarding the files in an emergency situation. Personnel are to make themselves aware of the location of the electronic and paper copies of Departmental policies.—

## Business Continuity Response Strategies

In this section, the following table lists the main situations that could occur and summarises the key elements of the response plan to each situation.

Location Affected	Situation	Focus on:	Risk Management Strategies	Relevant DND Response Plans
Entire National Capital Region	Catastrophic event affecting National Capital and constitutional issues need to be considered	Constitutional Government and deal with issues of national Interest	-	Continuity of Constitutional Government Plan
Pearkes Building NDHQ	Unable to gain access to offices AND any or all of the infrastructure, applications databases and communications down, regions operating as normal BUT needing IT	Restoring operations – critical services not affected so focus is on operational imperatives  IT disaster recovery response – restoring access to systems	<ul style="list-style-type: none"> <li>• emergency evacuation</li> <li>• damage assessment and recovery operations</li> <li>• IT disaster recovery</li> <li>• activate alternate site for operations</li> <li>• crisis management</li> <li>• informing stakeholders (e.g. the Minister)</li> </ul>	BCP Response Team - Annex A  Incident and Consequence Guide – Annex C
	Able to access building BUT any or all of the infrastructure, applications databases and communications down, regions operating as normal BUT needing IT	IT disaster recovery response – restoring access to systems	<ul style="list-style-type: none"> <li>• IT disaster recovery</li> <li>• informing stakeholders</li> </ul>	IT Disaster Recovery Team
	Unable to gain access to offices BUT systems working, regions operating as normal,	Restoring operations – no critical services impacted so focus is on operational imperatives	<ul style="list-style-type: none"> <li>• emergency evacuation</li> <li>• damage assessment and recovery operations</li> <li>• activate alternate site for operations</li> <li>• crisis management</li> <li>• informing stakeholders (e.g. the Minister)</li> </ul>	BCP Response Team - Annex A  Incident and Consequence Guide – Annex C
other NDHQ facilities within NCR	Unable to access building BUT systems working, regions operating as normal, lacking HQ support	Restoring operations – no critical services impacted so focus is on operational imperatives	<ul style="list-style-type: none"> <li>• emergency evacuation</li> <li>• damage assessment and recovery operations</li> </ul>	BCP Response Team - Annex A

Location Affected	Situation	Focus on:	Risk Management Strategies	Relevant DND Response Plans
		Regions manage as normal	<ul style="list-style-type: none"> <li>• activate alternate site for operations</li> <li>• crisis management</li> <li>• informing stakeholders</li> </ul>	Incident and Consequence Guide – Annex B
	Able to access building BUT any or all of the infrastructure, applications databases and communications down, regions operating as normal BUT needing IT	<p>IT disaster recovery response – restoring access to systems</p> <p>Regions manage scheduling and file information locally until able to update systems</p>	<ul style="list-style-type: none"> <li>• IT disaster recovery</li> <li>• informing stakeholders</li> </ul>	IT Disaster Recovery Team

## PART 4 – BCP TRAINING AND EXERCISES

### BCP Training and Exercises

This portion of the BCP Plan will be developed and implemented as Business Continuity planning progresses within the Group.



## Annex A

### ADM(Fin CS) BCP Implementation

#### Resource Requirements for Critical ADM(Fin CS) Accountabilities

Resource Requirements for Critical ADM(Fin CS) Accountabilities	
Item	Description/Numbers
<b>Workspaces/Offices</b> (with e-mail access)	ADM(Fin CS) - 3 (1 office, 2 cubicles) Minister's Departmental Assistant – 12 - Intrusion Alarms DG Fin Mgmt / DB – 7 (4 shared or 7 separate) DG Fin Mgmt /DFASO - 4 DMPAP - 40 (best 120 for mil pay) DMPAP - 30 (for ACS, Claims X & Critical Payment Svcs) DCFPS - 3 DGCSS - 10 workspaces (mail) - Warehouse/special-use space (200 m2) - Dock level load/unload capability at secure facility - secure storage DGCSS - 1 (Accommodations Planning)  <b>Total - 110</b>
<b>Telephone</b>	ADM(Fin CS) - 1 secure telephone - 2 regular telephones (3 voice mail)  Minister's Departmental Assistant - 12 DG Fin Mgmt / DB - 5 DG Fin Mgmt /DFASO - 4 DMPAP - 40 DCFPS – 3  <b>Total - 67</b>
<b>Cellular Phones</b>	Minister's Departmental Assistant – 5 Sectera DG Fin Mgmt / DB - 2 DG Fin Mgmt /DFASO - 2

<b>Resource Requirements for Critical ADM(Fin CS) Accountabilities</b>	
<b>Item</b>	<b>Description/Numbers</b>
	DMPAP - 30 DCFPS - 3 (if no landlines) DGCSS - 12 (mail) - 1 (accommodations planning)  <b>Total - 55</b>
<b>Computers</b> (desktops/laptops) (DWAN accessible)	ADM(Fin CS) - 1 Titan computer with Tempest Printer - 1 scanner - 3 Desktop/laptop computers - 1 printer - power backup Minister's Departmental Assistant - 2 Titan - power backup  DG Fin Mgmt / DB - 7 (or 4 shared- DWAN ) DG Fin Mgmt /DFASO - 1 Titan computer DG Fin Mgmt / DB - 1 secure laptop DMPAP - 30 (Approximately 600 computers nationally & internationally must have access to DWAN & Intranet) DCFPS – 3 (DWAN access for FMAS, & communications with Bank of Canada, PSP Investments, Section 33) DGCSS - 1 for accommodations planning - 1 laptop  <b>Total - 45 desktop/laptop computers</b> <b>- 4 Titan with Tempest printers</b> <b>- 1 secure laptop</b> <b>- 1 scanner</b>
<b>BlackBerry devices</b>	ADM(Fin CS) - 3 Minister's Departmental Assistant - 41 DG Fin Mgmt / DB - 2 DG Fin Mgmt /DFASO - 1 DCFPS - 1 DGCSS - 3 (mail) - 1 (accommodations planning)

<b>Resource Requirements for Critical ADM(Fin CS) Accountabilities</b>	
<b>Item</b>	<b>Description/Numbers</b>
	<b>Total - 52</b>
<b>Pagers</b>	DG Fin Mgmt / DB - 3  <b>Total - 3</b>
<b>Photocopier</b>	Minister's Departmental Assistant – 1 ADM(Fin CS) – 1  <b>Total – 2</b>
<b>Media Monitoring</b>	Minister's Departmental Assistant – 10  <b>Total - 10</b>
<b>Fax</b>	ADM(Fin CS) – 1 Minister's Departmental Assistant - 2 secure - 4 unclas  DG Fin Mgmt / DB - 1 DG Fin Mgmt /DFASO – 1 DMPAP – 3 (for ACS, Claims X & Critical Payment Svcs - one fax is required per physical location) DCFPS - 1 DGCSS - 1 (mail) - 1 (accommodations planning)  <b>Total - 13 unclas</b> <b>- 2 secure</b>

## Mission Critical Systems, Applications and Databases - Contact List

Mission Critical Systems, Applications and Databases		
Item	Responsibility / Contact	Recovery Time Objective
<b>Internal:</b>		
AFMS & Canada Post Shipping Tools	Accessed via Internet	<1 day
CF Pension Module (mainframe at Data Centre Borden)	Mr. G. Valee 613-996-1364	<3 days
CCPS/RPSR (mainframe at Data Centre Borden)	Mr. G. Valee 613-996-1364	<3 days
FMAS (web-based)	Mr. E. Lukenge 613-995-0523	<3 days (mil pay) <14 (routine)
PWGSC – Accommodations Account Exec	John Collins 819-775-4531	<7 days
Automated Cashier System	Mr. F. Hobbits 613-995-2468 LCol Walton-Simms (DGIMST) 613-995-7528	<14 days
<b>External:</b>		
IBM Services Contract	Mr. J. Bates 613-995-4302	<3 days
DEAIS	Mr. J. Bates 613-995-4302	<3 days
<i>Note: This table addresses the organization's mission critical systems necessary to perform essential functions and activities.</i>		

Vital Records		
Item	Location	Contact
Service Restoration Guidelines held by DE AIS		Mr. Chris Cope 613-996-6632
Delegations & Financial Authorities	All Group locations	
Financial Transactions & historical records	All Group locations	
Industry contracts: Couriers/Canada Post/ eqpt providers	NDHQ Mailroom	Mail Manager & Canada Post: John Duncan 613-734-4000
OGP Contracts		
MOUs	Electronic access	
SOPs	All Group locations	
BCP Plan	BCP Coord office 60 Queen St 8 <sup>th</sup> Floor	
Employee contact lists	All Group locations	

## Annex B

### ADM(Fin CS) BCP Response Team Contact Information

Name	Position	Address	Phone (W)	Phone (C)	Email
RAdm Weadon	ADM(Fin CS)	Pearkes – 8NT	613-992-0359	613-220-8238	Weadon.BM@forces.gc.ca
WO Michel Grenier		Pearkes – 13 CBN	613-995-1373		Grenier.MR@forces.gc.ca
David Dahm	DPC(Fin CS)	60 Queen Street-8 <sup>th</sup> Floor	613-995-6065	613-889-4639	Dahm.D@forces.gc.ca
Liz O'Connor	DPC(Fin CS)2	60 Queen Street-8 <sup>th</sup> Floor	613-995-0577	-	OConnor.EM@forces.gc.ca
Sharon Chamberlain (BCP Action Team Co-Chair)	DGCSS	60 Queen Street-8 <sup>th</sup> Floor	613-996-6402	613-325-2350	Chamberlain.SM@ forces.gc.ca
Michael Cohen	Snr BCP L0 Analyst	60 Queen Street-8 <sup>th</sup> Floor			Cohen.MD@forces.gc.ca
Micheline Gauthier	DSCS	Pearkes - 8CBN	613-996-3452	613-316-9907(BB)	Gauthier.MF@forces.gc.ca
Julie Jansen	DAIP	Place de Ville-112 Kent Street	613-944-7225	613-220-3806	<a href="mailto:Jansen.j@forces.gc.ca">Jansen.j@forces.gc.ca</a>
Gary Walbourne	DSISSS	60 Queen Street-8 <sup>th</sup> Floor	613-992-9074		Walbourne.DG@forces.gc.ca
Helène Filion	DG Fin Mgmt	Pearkes – 8NT	613-992-6907	613-860-2775	Filion.H@forces.gc.ca
Christian Stumpf	DFASO	Pearkes – 7NT	613-992-8127	613-240-7641	Stumpf.C@forces.gc.ca
Col Claude Rochette	DB	Pearkes – 8NT	613-992-4646		Rochette.JGCY@forces.gc.ca
René Bornais	DFPP	Lorne Bldg-90 Elgin	613-995-7575		Bornais.RJG@forces.gc.ca
Colin Galigan	DSFC	Pearkes-7NT	613-996-3226	613-818-2663	Galigan.CG@forces.gc.ca
Larry Surtees	DG Fin Mgmt	Elgin Plaza, 66 Slater Street	613-949-9348	613-851-7244	Surtees.CL@forces.gc.ca
David Grandmaison	DCFPS	Constitution Bldg – 4 <sup>th</sup> Floor	613-995-7421	613-698-5057	Grandmaison.DR@forces.gc.ca
Col Todd Mitton	DMPAP	Constitution Bldg – 3 <sup>rd</sup> Floor	613-944-7956	613-203-3987	Mitton.T3@forces.gc.ca
TBD	DFA	Elgin Plaza, 66 Slater Street	613-998-7083	613-266-3302(BB)	Biron.AL@forces.gc.ca

Name	Position	Address	Phone (W)	Phone (C)	Email
Peter Lutfy	DAFSP	Elgin Plaza, 66 Slater Street	613-993-3304	613-818-7445	Lutfy.P@forces.gc.ca

**Note:** Home addresses and phone numbers as well as personal e-mail addresses will be provided in the final version of this document. In the interest of keeping this document unclassified, home phone numbers and addresses do not appear on this version. A Protected version of Annex B is being prepared that will contain home phone numbers and addresses. This version will be made available to members of the BCP Response Team.

## Employee Contact List

ADM(Fin CS) organizations are responsible for maintaining up-to-date contact sheets for all personnel.

## External Contact List

This contact list includes the people or organizations, including essential suppliers and Contractors (Government and Private Sectors), from whom Group organizations obtain assistance or to whom we will provide information in the event of a disruption.

ORGANIZATION NAME	CONTACT NAME AND TITLE	CONTACT NUMBERS	ALTERNATE CONTACT
DG Fin Ops/DMPAP	IBM Services Contract	Mr. J. Bates 613-995-4302	
DG Fin Ops/DMPAP	DEAIS Service Restoration Guidelines	Mr. J. Bates 613-995-4302 Mr. Chris Cope 613-996-6632	
DGCSS	PWGSC	John Collins 819-775-4531	Dan King 613-949-1874
DGCSS	Industry Contracts: Mail Managers (Couriers Canada Post) and Eqpt Providers	John Duncan 613-734-4000	

## **Annex C**

### **ADM(Fin CS)**

# **Incident and Consequence Management Checklist**

This section provides responders with a checklist / guide for capturing details on the situation and for leading discussions and decision-making.

#### **Understanding the Situation**

1. What are we faced with?
  - Nature (what happened?)
  - Extent
  - Severity
  - Impact (how does it affect us?)
2. Who is involved? Program/Regions/Other Government Departments/Municipal First Responders?
3. When and how did we find out?
4. What has been done so far?
5. Who else knows? (Public/Media/Unions etc.) Do we know their position/reaction?
6. What are the potential impacts (health, safety, security, services)?
7. How serious is it, - is it escalating and what are the consequences?
8. What are others doing?

#### **Incident Management - Dealing with the Situation at Hand**

1. Are people hurt? Is there a continuing danger?
2. Are we getting people to safety? Are they sheltered?
3. Are trained people providing aid and comfort?
4. How extensive is the first response (number of fire, police and emergency medical services on-scene), and is it adequate?
5. Whom do we have on-site? Have we verified what we know?
6. Do we need to secure the area? Do we need assistance (RCMP, Provincial/Regional/Local Police)?
7. Can we operate at normal levels? Reduced levels?
8. Do we need to temporarily close the site?
9. Should we stop or reduce work?
10. Do families need to be notified? By whom and how?
11. Where do we direct inquiries?

12. Who needs to be notified and what do we tell them? (Families, staff, executive, clients)
13. Who needs to be mobilized and what do we tell them?
14. Do we need to provide assistance?

### **Dealing with the Consequences - Discuss, Consider, Decide**

1. Is the situation a crisis, emergency, business disruption?
2. What measures are needed?
3. What are our obligations?
4. Do we have enabling legislation or mandate to deal with the issue?
5. Do we have the people, resources, knowledge and abilities to deal with this situation?
6. Do we need assistance/support/advice?
7. Do we need sub-committees to coordinate tasks?
8. Do we have the right people around the table? Are we in contact with them?

### **Dealing with Business Disruptions**

1. What DND services are affected and to what degree?
2. What clients are affected and to what degree?
3. Who in the organization provides the business service?
4. What is the minimum acceptable level of service?
5. What is the recovery time objective? (how quickly do you need to provide minimal business services, and how quickly do you need to provide full services?)
6. What must be done to get the organization back up to a minimum acceptable level of business services (action plan / contingency plan)?
7. What resources are needed (computers, telecommunications, networks, facilities, workstations etc) in order to provide a minimum level of business service?
8. Who in the organization will implement the action plan?
9. What must be done to manage the plan?
10. Do you need any staff into the evening or throughout the night?

### **External Communications**

1. Who will be the spokesperson?
2. What are the messages?
3. What are the other communications needs?
  - News release / media advisory
  - Media lines
  - Press conference
  - 1-800 public info line



- Departmental staff
  - Fact sheets
  - Q&As
  - Briefing Notes
  - Question Period briefs
4. Who needs to be notified / updated? How?
- MND/DM and CDS
  - Level 1 Representative
  - Directors
  - Staff
  - Clients
  - PCO
  - TBS
  - OGDs – Other Government Departments
  - Federal/ other Provinces/Territories/Municipalities
  - Special Interest Groups

## **Annex D**

### **ADM(Fin CS) BCP Planning Assumptions**

This Business Continuity Plan makes the following assumptions.

In an emergency situation, ADM(Fin CS) services would continue, but in a limited capacity focusing on the situation at hand.

ADM(IM) is responsible for all IS networking and communications.

Provision of property facilities management, with the exception of DND custodial space, is the responsibility of PWGSC, and should be included in their BIA.

ADM(Fin CS) will endeavour to secure the necessary funding to meet all requirements to implement the BCP.

Treasury Board will provide direction concerning security and attendance of government employees in an increased threat environment.

CFSU(O) will initiate communication to emergency support groups.

CFSU(O) will provide timely communication and support in the management and coordination of safety/security issues.

CFSU(O) will have a process in place to ensure that food, water and cots are available to meet the requirements of staff who are employed during an emergency situation at ADM(Fin CS) locations in the NCR.

The City of Ottawa will have contingency plans for public transit, policing, and emergency response to aid government workers leaving the downtown core if a large-scale evacuation is required.

## **Annex E**

### **Key References**

Government Security Policy (GSP):

[http://www.tbs-sct.gc.ca/pubs\\_pol/gospubs/TBM\\_12A/gsp-psg\\_e.asp](http://www.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_12A/gsp-psg_e.asp)

Operational Security Standard – Business Continuity Planning Program:

[http://www.tbs-sct.gc.ca/pubs\\_pol/gospubs/TBM\\_12A/ossbcp-nsopca1\\_e.asp](http://www.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_12A/ossbcp-nsopca1_e.asp)

DM/CDS BCP Initiating Directive:

<http://dmcs-prk.mil.ca/dmcs/FilesO/DMCS70345.PDF>

DAOD 100x-0 – Business Continuity Planning: *TBD*

DND/CF Business Continuity Plan web site (unclassified):

<http://sjs.mil.ca/sites/page-eng.asp?page=1142>

DND/CF Business Continuity Plan web site (classified), including:

- the DND/CF Business Impact Analysis (BIA);
- the DND/CF Threat and Risk Assessment (TRA); and
- links to individual Level 1 BIAs

[Comd-NET Home Page/Corporate/Business Continuity Planning](#)

National Defence Act:

<http://laws.justice.gc.ca/en/N-5/index.html>

Organization and Accountability:

[http://www.forces.gc.ca/site/minister/eng/authority/oa\\_e.htm](http://www.forces.gc.ca/site/minister/eng/authority/oa_e.htm)

DAOD 9000-1 - CF Succession of Command and Alternate Headquarters

[http://admfincs.mil.ca/admfincs/subjects/daod/9001/1\\_e.asp](http://admfincs.mil.ca/admfincs/subjects/daod/9001/1_e.asp)

DND/CF Pandemic Influenza Plan:

<http://sjs.mil.ca/sites/page-eng.asp?page=1416>

DND/CF Critical Infrastructure Protection Program: *TBD*

DND/CF IT/IM Continuity Plan: *TBD*

Management of Information Technology Security Standard (MITSS)  
*[GoC requirements for IT continuity planning are outlined in sections 12.8 & 18]:*  
[http://publiservice.tbs-sct.gc.ca/pubs\\_pol/gospubs/TBM\\_12A/23RECON\\_e.asp](http://publiservice.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_12A/23RECON_e.asp)

Management of Government Information Policy  
*[outlines GoC requirements for IM continuity planning]:*  
[http://publiservice.tbs-sct.gc.ca/pubs\\_pol/ciopubs/TB\\_GIH/mgih-grdg\\_e.asp](http://publiservice.tbs-sct.gc.ca/pubs_pol/ciopubs/TB_GIH/mgih-grdg_e.asp)

Operational Standard for Physical Security (GoC):  
[http://publiservice.tbs-sct.gc.ca/pubs\\_pol/gospubs/TBM\\_12A/CHAPT2-4\\_e.asp](http://publiservice.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_12A/CHAPT2-4_e.asp)

DND/CF Security Plans and Instructions *[physical security]*:  
[http://vcds.mil.ca/cfpm/org/intro\\_e.asp](http://vcds.mil.ca/cfpm/org/intro_e.asp)

Defence Administrative Order and Directive 2007-0  
*[identifies the authorities responsible for safety in DND/CF]*:  
[http://admfincs.mil.ca/admfincs/subjects/daod/2007/0\\_e.asp](http://admfincs.mil.ca/admfincs/subjects/daod/2007/0_e.asp)

CF Exercise Program:  
<http://sjs.mil.ca/sites/page-eng.asp?page=917>

Library and Archives Canada *[advice on the storage of essential records]*:  
<http://www.collectionscanada.ca/information-management/index-e.html>

Canada Labour Code and the Occupational Health and Safety Regulations:  
[http://www.tbs-sct.gc.ca/pubs\\_pol/hrpubs/TBM\\_119/osh1\\_e.asp](http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/TBM_119/osh1_e.asp)

Canada School of Public Service Business Continuity Planning Course:  
[http://www.cspc-efpc.gc.ca/corporate/list\\_e.asp?value=all&lang=E&luid=326](http://www.cspc-efpc.gc.ca/corporate/list_e.asp?value=all&lang=E&luid=326)

Department of National Defence and Canadian Forces:  
[http://www.forces.gc.ca/site/home\\_e.asp](http://www.forces.gc.ca/site/home_e.asp)

National Search and Rescue Secretariat (NSS):  
<http://www.nss.gc.ca/>

Communications Security Establishment (CSE):  
<http://www.cse-cst.gc.ca/>

Defence Research and Development Canada (DRDC):  
<http://www.drdc-rddc.gc.ca/>

## Annex F

### Internal and External Dependencies and Critical Infrastructure Requirements

Internal and External Dependencies and Critical Infrastructure requirements that are noted in the BIA's are listed in the Table below.

Internal and External Dependencies & Critical Infrastructure Requirements
<u>Internal Dependencies</u> office accommodation (all Groups within DND allocated space); resource allocation (all Level 1's); financial management (Senior Management and Level 1's); CF Pension Module, FMAS and CCPS/RPSR; Automated Cashier Claims X System; DWAN; ACS; mail and courier service.
<u>External Dependencies</u> DM/CDS/Associate DM; House of Commons Office; Constituency Offices of New Glasgow, NS and Antigonish, NS; Minister's Regional Offices in Halifax and Charlottetown; Portfolio organizations; PWGSC; Central Agencies on DND Financial Management; CF Pension Module, FMAS and CCPS/RPSR; National Archives Canada; DEAIS for Service Restoration Guidelines; FMAS-Feed Financial Data; Bank of Canada; PSP, PAP Investments; PWGSC/SPS/Annuitant Payroll; computer mainframe housed at Data Centre Borden; Canada Post and national/local courier companies; Hydro Ottawa; Bell Telephone; and Blackberry service.
<u>Critical Infrastructure</u> alternate accommodation if required; a secure facility with warehouse/special use space, and dock level load and unload capability; space for secure storage with IT fit up.

ADM(Fin CS) Accommodation Requirements for Critical Operations			
Organization	Building	Floor	# of Personnel
ADM(Fin CS)	Pearkes	8NT	3
MND	Pearkes	13NT	12
DB	Pearkes	8NT	7
DFASO	Pearkes	7NT	4
DMPAP (Mil Pay)	Constitution	3	40
DMPAP (ACS, ClaimsX, Critical Payment Svcs)	Constitution	2	30
DCFPS	Constitution	2	3
DGCSS Mail (2)	Pearkes	1ST	7
DGCSS Mail (2)	45 Sacré-Coeur	1	3
DGCSS Accommodations	60 Queen	8	1
			110
<b>Totals:</b>			
	Pearkes 1ST		7
	Pearkes 7NT		4
	Pearkes 8NT		10
	Pearkes 13NT		12
	Constitution Bldg 2nd Flr		33
	Constitution Bldg 3rd Flr		40
	45 Sacré-Coeur 1st Flr		3
	60 Queen 8th Flr		1
			110

**NOTES:**

1. No space has been identified for the BCP Response Team members who have not been named as critical personnel. They will be available via blackberry and remote access in an emergency situation.
2. There are two mail locations now, Pearkes and 45 Sacré-Coeur. These locations would function as back-up for each other in the event that only one of the sites went down. An alternate location has yet to be determined in the event of an emergency that would affect both of these areas.