

3120-1 (DG Plans/DGCSS)

xx January 2008

Distribution List

AIDE-MEMOIRE FOR LEVEL 1 BUSINESS CONTINUITY PLANS (BCPs)

References: A. DM/CDS Initiating Directive – DND/CF Continuity of Critical Operations and Services (Business Continuity Plan), 5 Jan 07

B. DND/CF Business Continuity Plan (Draft) xx Jan 08

1. In Ref A, all Level 1 organizations were directed to:
  - a. Appoint a Director-level representative as a member of the DND/CF Action Team responsible for the development and maintenance of a comprehensive command/Level 1 BCP;
  - b. Develop a comprehensive Command/Level 1 (functional) BCP to ensure continuity of critical operations and the availability of critical services and assets;
  - c. In conjunction with strategic (Level 0) activities, develop a program to regularly exercise, validate and update your command/Level 1 BCP; and
  - d. Identify operationally critical DND/CF positions and contractor support.
2. This aide-memoire will provide guidance to assist Level 1 organizations with the preparation of their Business Continuity Plans (BCPs). Additional guidance can be found in Refs A and B. Also, Level 1s will find that much of the groundwork for their BCP will have already been accomplished during the preparation of their Business Impact Analysis (BIA). Although the format of Ref B can serve as a model for the individual Level 1 BCPs, the Level 1 (and subsequent lower level) BCPs should necessarily contain more detail, especially concerning implementation plans.
3. At minimum, each Level 1 BCP should contain the following:
  - a. A brief description of the Level 1's roles, vision and mission;
  - b. A brief description of the Level 1's organizational structure and reporting relationships;
  - c. A senior leadership contact list;
  - d. A BCP Team contact list;

- e. A listing of the Level 1's Accountabilities;
- f. Threat and Risk Assessment (TRA) factors which apply to the Level 1;
- g. Results of the Level 1's BIA, including:
  - 1) a listing of the Level 1's Critical Operations and Services;
  - 2) Internal dependencies;
  - 3) External Dependencies;
  - 4) Critical Infrastructure; and
  - 5) Gaps and related mitigation plans.
- i. A Recovery Strategy that addresses the key requirements of the Level 1 to conduct critical operations and services, namely:
  - 1) Facilities:
    - (i) An alternate site is maintained/available as required;
    - (ii) A clear order of succession of facilities (national through regional levels, as required) has been established;
    - (iii) Arrangements to ensure essential services (sources of electricity, etc.) are in place;
    - (iv) Alternate work sites for key staff are identified; and
    - (v) Arrangements are maintained to facilitate working from home combined with telecommuting.
  - 2) Personnel:
    - (i) Notification and contact lists are maintained;
    - (ii) Personnel mobilization plans are maintained;
    - (iii) Operationally critical personnel have been identified;
    - (iv) The roles and responsibilities of key individuals involved in BCP have been defined; and

- (v) Arrangements to facilitate working from home during disruptions (e.g. Pandemic Influenza) are in place.

3) Command and Control:

- (i) Clear succession of command and lines of authority have been established;
- (ii) Authority has been delegated to operational and regional commanders to plan and conduct operations (de-centralization operations);
- (iii) Standard Operating Procedures (SOPs) are in place to manage a crisis, emergency or disruption;
- (iv) An incident management system is in place; and
- (v) A Level 1 BCP Action Team has been created to ensure comprehensive BCP plans and arrangements are maintained; and

4) Systems: specific Level 1 recovery and response plans have been developed for:

- (i) specific Level 1 recovery and response plans have been developed for IT/IM continuity, Communications and Vital Records;
- (ii) Redundancies in communication systems are in place (non-reliance on single systems/service providers); and
- (iii) Manual procedures will be maintained.

5) Decision-Support: arrangements and procedures are in place to ensure decision support (advice) to the MND, DM, CDS and other executive authorities are maintained during a disruption.

6) Sustainment:

- (i) Service level agreements with vendors and suppliers during periods of disruption will be maintained; and
- (ii) Alternate service delivery options during periods of disruption will be maintained.

4. The Level 1 BCP Plan should be divided into four Phases:

- a. Phase 1: Mitigation and Prevention. Mitigation plans and preventative controls eliminate or reduce threats and hazards that may impact the department. All Level 1 organizations within DND/CF maintain plans, processes and procedures to ensure:
  - 1) employee safety, e.g. emergency management plans for personnel evacuation during fires and other emergencies;
  - 2) physical security of all facilities;
  - 3) systems integrity; and
  - 4) records management.
- b. Phase 2: Response to a Disruption. Level 1 actions to be taken during a crisis, emergency or a disruption include:
  - 1) Assess the situation and report damage to the DND/CF Emergency Operations Center (National Defence Command Center);
  - 2) Activate alternate facilities as necessary (in accordance with SOPs);
  - 3) Details of incidents/events are populated on the DND/CF Incident Management System (in accordance with DND/CF SOPs);
  - 4) Notify DND/CF Executives and all Level 1 organizations/representatives (in accordance with DND/CF SOPs);
  - 5) Executive briefing to DM, CDS and others as invited;
  - 6) Level 1 representatives (Crisis Response Team assemble in the National Defence Command Centre;
  - 7) Level 1 Crisis Response Team to work closely with the DND/CF BCP Action Team (Recovery Team – BCP specialists) to ensure activation of Functional (Level 1) BCPs; and
  - 8) Communicate with employees, partners and the public;
- c. Phase 3: Recovery: This phase includes activities to:

- 1) Re-establish critical operations and services as directed by DND/CF executive authorities (DM/CDS); and
- 2) Activate DND/CF recovery plans (e.g. IT/IM continuity) to ensure minimum service levels are maintained and maximum allowable downtimes are respected.

d. Phase 4: Restoration. This is the re-establishment of all Level 1 operations and services at normal levels.

5. Draft Level 1 BCPs are due 30 May 08. Queries should be directed to the CF BCP Lead, LCol Jerry Walsh at 613-996-1438, or the Departmental BCP Lead, Michael Cohen at 613-9944-6317. Many thanks for your cooperation with this very necessary and worthwhile effort.

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