

# VSBS Business Unit Impact Analysis

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## Executive Summary

The Business Impact Analysis will benefit Very Safe Bank in assessing the requirements for the company's business continuity. The BIA will allow us to determine and evaluate the effects that an incident such as a natural disaster, accident, or emergency might have on the critical business functions. A determination will be made in which business assets and resources are most critical and should be invested in for business continuity. This will include the number of people necessary to run critical functions, hardware, software, systems, and communications with other companies.

The BIA will also be used for prioritization of recovery activities. While many resources and assets are important, there needs to be a focus and assuring the availability on those most critical first. This will depend on the departments, assets, and incident in question. Information on departments have been gathered in order to craft an accurate picture of the company's business continuity needs.

## Objective and Scope

The BIA will be utilized in achieving a functional business continuity plan by helping determine resource allocation and making sure there are an enough resource for the business recovery plan to be functional. The BIA is focused on Very Safe Bank's Chicago headquarters location. The Accounting & Finance, Human Resources, IT, Marketing, Risk Management, and Treasury departments have all been investigated for accurate determinations of their business-critical functions, assets, and resources. This information will be utilized in determining the necessary steps and prioritization during the execution of the business recovery plan.

## Data Gathering

In order to gather this information on each department, questionnaires were deployed alongside in person interviews. The questionnaires were filled out with information from both senior managers and employees of each department. The questionnaires detail the employees in each department, when they are most busy, the minimum number of employees needed to run the department's critical functions, and the business-critical assets, systems, resources, and communications. In person interviews were necessary to gather additional information and to obtain more detail regarding some of the questionnaire answers. Below are completed questionnaires from each department.

## Summary of Findings

Among the departments with the least amount of flexibility regarding availability of systems to perform critical functions, the IT department is in the most need of a quick recovery with nearly every function needing to be back up and operational with the same day. This is due to their functions revolving around the maintenance of the internal company network, systems, and security of said network and systems. Every other department is also reliant on the network and system to perform core functions. The Treasury Department is critical to business functions as well, as they manage the company's cash flow, investments, and mergers and acquisitions. They use internal systems as well as a few provided software that is necessary for these critical functions. Overall, all departments have some functions where they cannot afford a lot of downtime. Most of them relate to accessing network files and storage, utilizing the mail and web servers, and having access to the internet in general.

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## Recommendations

With the necessity for so many of the internal systems, paying for cloud alternatives as a means of having at least having an offsite backup is recommended. This should be cheaper than renting out and creating a backup location of our own. Amazon Web Services is a recommended option for database storage as it also provides easy scalability. With the company expanding the switch from an in-house mail server to a provided service like Microsoft Exchange is also recommended. While there is less overall control with Exchange, the availability and reliability of it should be enough for the business while also being significantly easier to manage. Exchange not being tied to the rest of the internal system should make it quicker to setup functionally at the cold site for users or to restore. In general IT is short on staff for managing so many in house systems. Moving towards the cloud and provided services is highly recommended. Otherwise, hiring more IT staff would be a beneficial alternative. Lastly, buying more laptops to provide remote access to at least three IT staff and two HR staff is recommended as those are the required amount of staff needed for them to run their business critical functions.

## Business Unit Analysis

<b>Business Unit:</b>	<b>Accounting &amp; Finance</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Samantha	Y		
Tom	Y		
Robert	Y		
Jenna	Y		
John	N		
Cathy	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

3

Enter the days and times the department has the highest volume of work

Last week of the month | 2 – 4PM

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
1. Funds Management	Oracle EBS, Excel	1d
2. Call Reporting (quarterly)	Hamilton	1w
3. Tax and Compliance	Marshall	1w
4. Vendor Payments	Chase Pay/INTERNET	1w
5. Bookkeeping	Excel	1w

### Section 2 – External Dependencies

What third parties (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
1. US Bank	1d
2. Federal Reserve	1d
3. FHLB	1d
4. Correspondent Banks	1d

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
1. Network Files	1d
2. Email	1d
3. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
1. Information Technology	1d
2. Operations	1w
3. Treasury	1w
4. Risk Management	1w
5.	

## Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

1. Computers
2. Phone
3. Printers
4. Copiers
5.

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
1. FDIC Call Report Instructions	FDIC Website
2. User Manuals	Software
3.	
4.	
5.	

What specialized equipment do you depend on for critical departmental functions?

1. MICR printer
2. AP rubber stamps
3.
4.
5.

What supplies do you depend on for critical departmental functions?

1. General office supplies
2.
3.
4.
5.

## Business Unit Analysis

<b>Business Unit:</b>	<b>Human Resources</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Alexa	Y		
Carla	N		
Aaron	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

2

Enter the days and times the department has the highest volume of work

1<sup>st</sup> of the month | 10-1pm

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
6. Ensure Compliance	HRMS	1d
7. Recruitment & Training	HRMS	1m
8. Employee-Employer Relations	HRMS	1w
9. Compensation Management	HRMS	1w
10. Payroll	HRMS (Payroll application)	2w

### Section 2 – External Dependencies

What third parties (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
5. Recruiting Agencies	1m
6. Department of Labor	1w
7.	1d
8.	1d

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
4. Network Files	1d
5. Email	1d
6. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
6. Information Technology	1d
7. Accounting & Finance	1w
8. Treasury	1w
9.	
10.	

## Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

6. Computers
7. Phone
8. Printers
9. Copiers
10.

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
6. Compliance Documents	Government Sites (Network File Server)
7. New Employee/Training Procedures	Network File Server
8. Employee Documents	Network File Server
9.	
10.	

What specialized equipment do you depend on for critical departmental functions?

6. MICR printer
7.
8.
9.
10.

What supplies do you depend on for critical departmental functions?

6. General office supplies
7.
8.
9.
10.

## Business Unit Analysis

<b>Business Unit:</b>	<b>Information Technology</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Adam	Y		
Jacob	Y		
Carlos	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

3

Enter the days and times the department has the highest volume of work

Last week of the month | 9-11AM

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
11. Network Maintenance	Cisco Meraki	1d
12. Systems Maintenance	Windows Server	1d
13. Helpdesk	Ticketing System	1w
14. Network Administration	Active Directory	1d
15. Security	AD, Meraki, Symantec Anti-Virus	1d

### Section 2 – External Dependencies

What **third parties** (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
9. Comcast	1d
10. Cisco	1d
11. Dell	1w
12. Hewlett Packard Enterprise	1d

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
7. Network Storage	1d
8. Email	1d
9. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
11. Operations	1d
12. Risk Management	1w
13. Human Resources	2w
14.	
15.	

## Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

11. Computers
12. Servers
13. Switches
14. Routers
15. Firewalls

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
11. Software/Vendor Lists	OneNote
12. User Manuals	Software
13. License Documents	OneNote
14. User Lists/Information	Active Directory
15. Internal Network Documents	OneNote

What specialized equipment do you depend on for critical departmental functions?

11. Server room crash cart
12. Large cart for transporting equipment
13.
14.
15.

What supplies do you depend on for critical departmental functions?

11. General office supplies
12. USBs
13. Ethernet splitters
14.
15.



## Business Unit Analysis

<b>Business Unit:</b>	<b>Marketing</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Ted	Y		
Janet	Y		
Christopher	Y		
Caitlyn	Y		
Jorge	Y		
Michael	N		
Elizabeth	N		
Mary	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

4

Enter the days and times the department has the highest volume of work

1<sup>st</sup> of the month | 12 – 4PM

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
16. Market Research	Internet	1d
17. Promotional Channels	Phone, Email	1d
18. Social Media Management	Facebook, Twitter, LinkedIn	2d
19. Product and Service Management	Website, Social media Platforms	1w
20. Overseeing Vendors/Agencies	Email, Phone	2w

### Section 2 – External Dependencies

What **third parties** (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
13. Ad Agency	1w
14. PR Agency	1d
15. Web providers	1d
16.	

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
10. Network Files	1d
11. Email	1d
12. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
16. Information Technology	1d
17. Operations	1w
18. Treasury	1d
19. Risk Management	1d
20. Accounting & Finance	1d

### Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

16. Computers
17. Phone
18. Printers
19. Copiers
20.

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
16. Market Research Documents	OneNote
17. Advertisement Documents	OneNote
18. Presentations	Network Storage
19.	
20.	

What specialized equipment do you depend on for critical departmental functions?

16. MICR printer
17.
18.
19.
20.

What supplies do you depend on for critical departmental functions?

16. General office supplies
17.
18.
19.
20.

## Business Unit Analysis

<b>Business Unit:</b>	<b>Risk Management</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Zach	Y		
Nathan	Y		
Tiffany	N		
Fredrich	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

2

Enter the days and times the department has the highest volume of work

Last week of the month | 8 – 11AM

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
21. Managing Risk Policies	Office 365, Internet	1w
22. Risk Assessments	SAS (RM Software), Printers	1w
23. Managing Insurance Budgets	SAS (RM Software), Excel	1w
24. Communicating with other departments regarding safe behavior	PowerPoint, Email	1w
25. Keeping risk history records	Excel, SAS (RM Software)	1w

### Section 2 – External Dependencies

What **third parties** (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
17. Insurance Agencies	1d
18. Consultants/Outsourced Work	1w
19.	1d
20.	1d

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
13. Network Files	1d
14. Email	1d
15. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
21. Information Technology	1d
22. Operations	1d
23. Treasury	1w
24. Human Resources	1d
25.	

## Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

21. Computers
22. Phone
23. Printers
24. Copiers
25.

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
21. Risk Policy & Procedures	Network Storage
22. Insurance Documents	Network Storage
23. Risk Assessment/Analysis Documents	Network Storage
24.	
25.	

What specialized equipment do you depend on for critical departmental functions?

21. MICR printer
22.
23.
24.
25.

What supplies do you depend on for critical departmental functions?

21. General office supplies
22.
23.
24.
25.

## Business Unit Analysis

<b>Business Unit:</b>	<b>Treasury</b>
<b>Location(s)</b>	Chicago
<b>Alternate Location(s)</b>	Schaumburg

### Section 1 - Department

List all department employees; indicate if they have remote access.

Name	Remote Access Y/N	Name	Remote Access Y/N
Leonard	Y		
Emilio	Y		
Rebecca	Y		
Emily	N		
Alex	N		
Chris	N		
Sean	N		

Minimum number of employees required at the alternate location?

Critical/Peak Times?

4

Enter the days and times the department has the highest volume of work

Last week of the month | 2 – 5PM

What are the department's critical functions? (List 3 – 5)

Critical Function	System(s) used to perform function	Max Allowable Unavailability
26. Cash Flow	Oracle EBS, Excel	1d
27. Investment Management	Portfolio	2d
28. Fund Raising	Portfolio, Email	1w
29. Mergers and Acquisitions	Email, Office 365	1d
30. Credit Rating Agency Relations	Office 365, Email	1d

### Section 2 – External Dependencies

What third parties (including systems) not listed in Section 1, do you depend on being available for critical functions within the department?

Third Party Dependency	Max Allowable Unavailability
21. Equifax	1d
22. Experian	1d
23. TransUnion	1d
24. Correspondent Banks	1d

## Business Unit Analysis

What internal systems not listed in Section 1 do you depend on being available in order to perform critical functions within your department?

Systems Used	Max Allowable Unavailability
16. Network Files	1d
17. Email	1d
18. Phones	1w

What other departments in the company do you depend on being available in order to perform critical functions in YOUR department?

Internal Dependency	Max Allowable Unavailability
26. Information Technology	1d
27. Operations	1d
28. Marketing	1w
29. Risk Management	1d
30. Accounting & Finance	1d

## Section 4 – Equipment/Supplies

What hardware do you depend on to operate critical functions for your department?

26. Computers
27. Phone
28. Printers
29. Copiers
30.

What procedures/manuals/documents do you depend on in order to maintain critical functions for the department and where/how are they stored?

Procedure/Manual/Document	Where/how are they stored (electronic, paper)
26. Investment Documents	Network Storage, Portfolio
27. Cash Flow Documents	Network Storage
28. Credit Rating Documents	Network Storage
29. Merger & Acquisition Documents	Network Storage
30.	

What specialized equipment do you depend on for critical departmental functions?

26. MICR printer
27.
28.
29.
30.

What supplies do you depend on for critical departmental functions?

26. General office supplies
27.
28.
29.
30.