# 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.

# 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: | Accounting & Finance |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSally Samantha | Y |  |  |  |
| Bob Tom | Y |  |  |  |
| Robert | Y |  |  |  |
| T3 Jenna | Y |  |  |  |
| John | N |  |  |  |
| Cathy | N |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |
| --- |
| 3 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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 |
| 1. Call Reporting (quarterly) | Hamilton | 1w |
| 1. Tax and Compliance | Marshall | 1w |
| 1. Vendor Payments | Chase Pay/INTERNET | 1w |
| 1. 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 |
| 1. Federal Reserve | 1d |
| 1. FHLB | 1d |
| 1. Correspondent Banks | 1d |

## 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 |
| 1. Email | 1d |
| 1. 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 |
| 1. Operations | 1w |
| 1. Treasury | 1w |
| 1. Risk Management | 1w |
|  |  |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Phone |
| 1. Printers |
| 1. Copiers |
|  |

## 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 |
| 1. User Manuals | Software |
|  |  |
|  |  |
|  |  |

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

|  |
| --- |
| 1. MICR printer |
| 1. AP rubber stamps |
|  |
|  |
|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
|  |
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|  |

|  |  |
| --- | --- |
| Business Unit: | Human Resources |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSallyAle Alexa | Y |  |  |  |
| Mat Carla | N |  |  |  |
| Aaron | N |  |  |  |
| T3 |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
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|  |  |  |  |  |

|  |
| --- |
| 2 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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

|  |
| --- |
| 1st 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 |
| 1. Ensure Compliance | HRMS | 1d |
| 1. Recruitment & Training | HRMS | 1m |
| 1. Employee-Employer Relations | HRMS | 1w |
| 1. Compensation Management | HRMS | 1w |
| 1. 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 |
| 1. Recruiting Agencies | 1m |
| 1. Department of Labor | 1w |
|  | 1d |
|  | 1d |

## 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 |
| 1. Email | 1d |
| 1. 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 |
| 1. Accounting & Finance | 1w |
| 1. Treasury | 1w |
|  |  |
|  |  |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Phone |
| 1. Printers |
| 1. Copiers |
|  |

## 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. Compliance Documents | Government Sites (Network File Server) |
| 1. New Employee/Training Procedures | Network File Server |
| 1. Employee Documents | Network File Server |
|  |  |
|  |  |

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

|  |
| --- |
| 1. MICR printer |
|  |
|  |
|  |
|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
|  |
|  |
|  |
|  |

|  |  |
| --- | --- |
| Business Unit: | Information Technology |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSally Adam | Y |  |  |  |
| Bob Jacob | Y |  |  |  |
| Carlos | N |  |  |  |
| T3 |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
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|  |
| --- |
| 3 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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 |
| 1. Network Maintenance | Cisco Meraki | 1d |
| 1. Systems Maintenance | Windows Server | 1d |
| 1. Helpdesk | Ticketing System | 1w |
| 1. Network Administration | Active Directory | 1d |
| 1. 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 |
| 1. Comcast | 1d |
| 1. Cisco | 1d |
| 1. Dell | 1w |
| 1. Hewlett Packard Enterprise | 1d |

## 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 Storage | 1d |
| 1. Email | 1d |
| 1. 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. Operations | 1d |
| 1. Risk Management | 1w |
| 1. Human Resources | 2w |
|  |  |
|  |  |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Servers |
| 1. Switches |
| 1. Routers |
| 1. 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)** |
| 1. Software/Vendor Lists | OneNote |
| 1. User Manuals | Software |
| 1. License Documents | OneNote |
| 1. User Lists/Information | Active Directory |
| 1. Internal Network Documents | OneNote |

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

|  |
| --- |
| 1. Server room crash cart |
| 1. Large cart for transporting equipment |
|  |
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|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
| 1. USBs |
| 1. Ethernet splitters |
|  |
|  |

|  |  |
| --- | --- |
| Business Unit: | Marketing |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSally Ted | Y |  |  |  |
| Bob Janet | Y |  |  |  |
| Christopher | Y |  |  |  |
| T3 Caitlyn | Y |  |  |  |
| Jorge | Y |  |  |  |
| Michael | N |  |  |  |
| Eli Elizabeth | N |  |  |  |
| Mary | N |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |
| --- |
| 4 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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

|  |
| --- |
| 1st 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 |
| 1. Market Research | Internet | 1d |
| 1. Promotional Channels | Phone, Email | 1d |
| 1. Social Media Management | Facebook, Twitter, LinkedIn | 2d |
| 1. Product and Service Management | Website, Social media Platforms | 1w |
| 1. 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 |
| 1. Ad Agency | 1w |
| 1. PR Agency | 1d |
| 1. Web providers | 1d |
|  |  |

## 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 |
| 1. Email | 1d |
| 1. 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 |
| 1. Operations | 1w |
| 1. Treasury | 1d |
| 1. Risk Management | 1d |
| 1. Accounting & Finance | 1d |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Phone |
| 1. Printers |
| 1. Copiers |
|  |

## 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. Market Research Documents | OneNote |
| 1. Advertisement Documents | OneNote |
| 1. Presentations | Network Storage |
|  |  |
|  |  |

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

|  |
| --- |
| 1. MICR printer |
|  |
|  |
|  |
|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
|  |
|  |
|  |
|  |

|  |  |
| --- | --- |
| Business Unit: | Risk Management |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSally Zach | Y |  |  |  |
| Bob Nathan | Y |  |  |  |
| Tiffany | N |  |  |  |
| T3 Fredrich | N |  |  |  |
|  |  |  |  |  |
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|  |  |  |  |  |
|  |  |  |  |  |
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|  |
| --- |
| 2 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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 |
| 1. Managing Risk Policies | Office 365, Internet | 1w |
| 1. Risk Assessments | SAS (RM Software), Printers | 1w |
| 1. Managing Insurance Budgets | SAS (RM Software), Excel | 1w |
| 1. Communicating with other departments regarding safe behavior | PowerPoint, Email | 1w |
| 1. 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 |
| 1. Insurance Agencies | 1d |
| 1. Consultants/Outsourced Work | 1w |
|  | 1d |
|  | 1d |

## 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 |
| 1. Email | 1d |
| 1. 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 |
| 1. Operations | 1d |
| 1. Treasury | 1w |
| 1. Human Resources | 1d |
|  |  |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Phone |
| 1. Printers |
| 1. Copiers |
|  |

## 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. Risk Policy & Procedures | Network Storage |
| 1. Insurance Documents | Network Storage |
| 1. Risk Assessment/Analysis Documents | Network Storage |
|  |  |
|  |  |

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

|  |
| --- |
| 1. MICR printer |
|  |
|  |
|  |
|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
|  |
|  |
|  |
|  |

|  |  |
| --- | --- |
| Business Unit: | Treasury |
| Location(s) | Chicago |
| Alternate Location(s) | Schaumberg |

## Section 1 - Department

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Remote Access Y/N** |  | **Name** | **Remote Access Y/N** |
| SalSally Leonard | Y |  |  |  |
| Bob Emilio | Y |  |  |  |
| Rebecca | Y |  |  |  |
| T3 Emily | N |  |  |  |
| Alex | N |  |  |  |
| Chris | N |  |  |  |
| S Sean | N |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |
| --- |
| 4 |

## Minimum number of employees required at the alternate location?

## Critical/Peak Times?

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 |
| 1. Cash Flow | Oracle EBS, Excel | 1d |
| 1. Investment Management | Portfolio | 2d |
| 1. Fund Raising | Portfolio, Email | 1w |
| 1. Mergers and Acquisitions | Email, Office 365 | 1d |
| 1. 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 |
| 1. Equifax | 1d |
| 1. Experian | 1d |
| 1. TransUnion | 1d |
| 1. Correspondent Banks | 1d |

## 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 |
| 1. Email | 1d |
| 1. 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 |
| 1. Operations | 1d |
| 1. Marketing | 1w |
| 1. Risk Management | 1d |
| 1. Accounting & Finance | 1d |

## Section 4 – Equipment/Supplies

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

|  |
| --- |
| 1. Computers |
| 1. Phone |
| 1. Printers |
| 1. Copiers |
|  |

## 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. Investment Documents | Network Storage, Portfolio |
| 1. Cash Flow Documents | Network Storage |
| 1. Credit Rating Documents | Network Storage |
| 1. Merger & Acquisition Documents | Network Storage |
|  |  |

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

|  |
| --- |
| 1. MICR printer |
|  |
|  |
|  |
|  |

## What supplies do you depend on for critical departmental functions?

|  |
| --- |
| 1. General office supplies |
|  |
|  |
|  |
|  |