# Laboratory #7

**Lab #7: Identify Necessary Policies for Business Continuity – BIA & Recovery Time Objectives**

## Learning Objectives and Outcomes

Upon completing this lab, students will be able to complete the following tasks:

- Identify the major elements of a Business Continuity Plan (BCP)
- Align the major elements of a Business Continuity Plan with required policy definitions
- Review the results of a qualitative Business Impact Analysis (BIA) for a mock organization
- Review the results of defined Recovery Time Objectives (RTOs) for mission-critical business functions and applications
- Create a BCP policy defining an organization's prioritized business functions from the BIA with assigned RTOs

## Required Setup and Tools

This is a paper-based lab. Internet access and the student's Microsoft Office applications are needed to perform this lab.

The following summarizes the setup, configuration, and equipment needed to perform Lab #7:

1. Standard onsite student workstation must have the following software applications loaded and Internet access to perform this lab:
   a. Microsoft Office 2007 or higher
   b. Adobe PDF reader
   c. Internet access

## Recommended Procedures

### Lab #7 – Student Steps

The following represents the steps that students need to follow for this lab:

1. Review the sample BCP outline provided with this lab
2. Participate in class discussions on the sample BCP outline. Note the difference between Part 1 and Part 2 and where BCP policy definitions are required within Part 1

3. Participate in class discussions on the sample BIA report. Take notice of the prioritization of the mission-critical business functions from the Lab #7 – Assessment Worksheet – BIA

4. Identify which IT systems and applications are impacted by the prioritization of mission critical business functions in the BIA

5. Review these BIA/BCP metrics and incorporate into the BCP Policy Definition:

   **Recovery Time Objective (RTO)** - defines how quickly IT systems, servers, applications, and access to data services and processes must be operational following some kind of incident, including recovery of applications and data and end-user access to those applications.

   **Recovery Point Objective (RPO)** - defines the point in time that marks the end of the period during which data can still be recovered using backups, journals or transaction logs.

   The following defines the RTO and RPO metrics for Lab #7 - Identify Necessary Policies for Business Continuity - BIA & Recovery Time Objectives:

   | **Critical:** | **RTO: 8 Hours** | **RPO: 0 Hours** |
   |---|---|---|
   | **Major:** | **RTO: 24 Hours** | **RPO: 8 Hours** |
   | **Minor:** | **RTO: 1 Week** | **RPO: 3 Days** |
   | **None:** | **RTO: 1 Month** | **RPO: 7 Days** |

6. Review the BCP/BIA Policy Definition template and ask questions if you need clarification.

7. Create a Business Continuity Plan Policy Definition – Business Impact Analysis and reference the RTO and RPO standards in the Standards Section of the policy definition.

8. Answer the Lab #7 – Assessment Questions & Answers

## Deliverables

Upon completion of the Lab #7 – Identify Necessary Policies for Business Continuity – BIA & Recovery Time Objectives, students are required to provide the following deliverables as part of this lab:

1. Lab #7 – Assessment Worksheet, Part B – BCP Policy Definition – BIA

2. Lab #7 - Assessment Questions & Answers

## Evaluation Criteria and Rubrics

The following are the evaluation criteria and rubrics for Lab #7 that the student must meet:

1. Was the student able to identify the major elements of a Business Continuity Plan (BCP)? – [**20%**]

2. Was the student able to align the major elements of a Business Continuity Plan to the required policy definitions? – [**20%**]

3. Was the student able to review the results of a qualitative Business Impact Analysis (BIA) for a mock organization? – [**20%**]

4. Was the student able to review the results of defined Recovery Time Objectives (RTOs) for mission-critical business functions and applications? – [**20%**]

5. Was the student able to create a BCP policy defining an organization's prioritized business functions from the BIA with assigned RTOs? – [**20%**]

## Lab #7 – Assessment Worksheet

### Part A – Sample Business Impact Analysis for an IT Infrastructure

**Course Name:** _____

**Student Name:** _____

**Instructor Name:** _____

**Lab Due Date:** _____

### Overview

When conducting a BIA, you are trying to assess and align the affected IT systems, applications, and resources to their required recovery time objectives (RTOs). The prioritization of the identified mission-critical business functions will define what IT systems, applications, and resources are impacted. The RTO will drive what type of business continuity and recovery steps are needed to maintain IT operations within the specified time frames.

1. Sample BIA with prioritization in (parentheses):

| Business Function Or Process | Business Impact Factor | RTO/RPO | IT Systems/Apps Infrastructure Impacts |
|---|---|---|---|
| Internal and external voice communications with customers in real-time | | | |
| Internal and external e-mail communications with customers via store and forward messaging | | | |
| DNS – for internal and external IP communications | | | |
| Internet connectivity for e-mail and store and forward customer service | | | |
| Self-service website for customer access to information and personal account information | | | |

| | | | |
|---|---|---|---|
| e-Commerce site for online customer purchases or scheduling 24x7x365 | | | |
| Payroll and human resources for employees | | | |
| Real-time customer service via website, e-mail, or telephone requires CRM | | | |
| Network management and technical support | | | |
| Marketing and events | | | |
| Sales orders or customer/ student registration | | | |
| Remote branch office sales order entry to headquarters | | | |
| Voice and e-mail communications to remote branches | | | |
| Accounting and finance support: Accts payable, Accts receivable, etc. | | | |

# Lab #7 – Assessment Worksheet

## Part B – Craft a Business Continuity Plan Policy – Business Impact Analysis

**Course Name:** _____

**Student Name:** _____

**Instructor Name:** _____

**Lab Due Date:** _____

## Overview

When conducting a BIA, you are trying to assess and align the affected IT systems, applications, and resources to their required recovery time objectives (RTOs). The prioritization of the identified mission-critical business functions will define what IT systems, applications, and resources are impacted. The RTO will drive what type of business continuity and recovery steps are needed to maintain IT operations within the specified time frames. In this lab, you are to create a Business Continuity Plan Policy Definition – Business Impact Analysis that points to the RTOs and RPOs for the identified mission-critical business functions of the organization.

## Instructions

Using Microsoft Word, create a Business Continuity Plan Policy Definition using the following policy template:

## ABC Credit Union

## Policy Name

**Policy Statement**

{Insert policy verbiage here}

**Purpose/Objectives**

{Insert purpose of the policy as well as the objectives – bulleted list of the policy definition. This should mirror the purpose/objectives of a Business Impact Analysis (BIA).}

**Scope**

{Define this policy's scope and whom it covers.

Within a BCP outline, what are this policy's scope and boundaries?

What elements or criteria are within the scope of this policy?}

**Standards**

{Does this policy point to any hardware, software, or configuration standards? In this case, we need to reference the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPO) as standards and metrics within the policy definition itself. List them here and explain the relationship of this policy to these standards.}

**Procedures**

{Explain how you intend to implement this policy across the entire organization.}

# Guidelines

{Explain any road blocks or implementation issues that you must address in this section and how you will overcome them per defined policy guidelines.}

**Note: Your policy document may be no more than 3 pages long.**

## Lab #7 – Assessment Worksheet

### Perform a Business Impact Analysis for an IT Infrastructure

Course Name: **_____**

Student Name: **_____**

Instructor Name: **_____**

Lab Due Date: **_____**

### Overview

After completing your Business Continuity Plan Policy Definition, answer the following Lab #7 – Assessment Worksheet questions. These questions are specific to the sample BIA report provided with this lab.

### Lab Assessment Questions & Answers

1. Why must an organization define policies for an organization's Business Continuity and Disaster Recovery Plans?

2. When should you define a policy definition and when should you not define one?

3.  What is the purpose of having a Business Continuity Plan policy definition that defines the organization's Business Impact Analysis?

4.  Why is it critical to align the RTO and RPO standards within the policy definition itself?

5.  What is the purpose of a Business Impact Analysis (BIA)?

6.  Why is a business impact analysis (BIA) an important first step in defining a business continuity plan (BCP)?

7.  How does risk management and risk assessment relate to a business impact analysis for an IT infrastructure?

8.  True or False – If the Recovery Point Objective (RPO) metric does not equal the Recovery Time Objective (RTO), you may potentially lose data or not have data backed-up to recover. This represents a gap in potential lost or unrecoverable data.

9.  What question should an organization answer annually to update its BCP, BIA, and RTOs and RPOs?

10. Why is it a good idea to have critical documentation recordkeeping defined in a policy definition?

11. From Part A - Sample BIA for an IT Infrastructure Worksheet, which systems, applications, and functions were mission critical to this organization?

12. From Part B – Define a Policy Definition for a BCP/DRP, how did you answer the procedures for how to implement this policy throughout your business?

13. True or False. It is a best practice to define policy definitions for an organization-wide BCP and DRP.

14. True or False. An organization must have a Business Impact Analysis and list of prioritized business functions and operations defined first prior to building a BCP and DRP.

15. Explain how having proper security controls and documented BIA, BCP, and DRP can help organizations reduce their business liability insurance premiums and errors and omissions insurance premiums.