

Business Continuity Plan

Institution Name: _____

SCD: _____

Question	Response	Comment
1. Is the BCP updated at least annually, or more frequently if necessary (due to changes in operating environment, audit recommendations, staffing or personnel changes, etc.)?		
2. Has the board been involved in the BCP process (at a minimum, they should review the plan)?		
3. Is the BCP readily accessible to staff in either hard copy or electronic form?		
4. Is there a process in place to ensure the BCP is updated and maintained as needed?		
5. Does the plan identify who has responsibility for declaring a disaster?		
6. Does the plan address the recovery of each business unit or department (including branch offices) according to their ranking in the Business Impact Analysis?		
7. Does the plan include defined Business Continuity and Recovery Teams?		
8. Are the roles and responsibilities of recovery teams clearly defined?		
9. Does the plan include specific procedures for plan implementation in the event of a business disruption? This information may be included in the BCP or a separate Emergency Response Plan (or other similar document).		
10. Does the BCP address communications and connectivity with Technology Service Providers in the event of a disruption at any of the service provider's facilities?		
11. Does the plan include a notification tree or some method of notifying employees, customers, vendors, and local authorities in the event of a disaster event?		

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12. Is the contact information up-to-date?		
13. In the event of an activation of the plan, does the plan direct the institution to notify FCA's Office of Chief Examiner at 1-888-244-3365?		
14. Does the BCP establish the communications guidelines and processes needed to ensure consistent, timely, and accurate information during a crisis? This information may be included in the BCP or in a separate Crisis Communication Plan (or other similar document).		

Comments:

This workpaper is not intended to create any rights, substantive or procedural, enforceable at law or in any administrative proceeding. While the workpaper was carefully reviewed for applicability and accuracy, changes may occur in the wording or interpretation of laws and regulations. If a situation arises where the workpaper becomes inconsistent with applicable laws or regulations, the requirement of the laws or regulations will prevail. Examination scope may vary between institutions. On a particular examination activity, the workpaper may not pertain to all factual situations or interpretations, additional concerns or issues may be addressed that are not covered in the workpaper, and some portions of the workpaper may not be used.