



FARM CREDIT ADMINISTRATION

Examination Workpaper

Business Continuity Testing

Institution Name:

SCD:

Question	Response	Comment
1. Does management test the Business Continuity Plan (BCP) annually?		
2. Did management test the BCP after significant changes to:		
a. technology systems?		
b. business operations?		
c. facilities?		
d. organizational structure?		
3. Which of the following methods did the institution use in the most recent tests of business continuity or recovery processes?	<input type="checkbox"/> Desk Review <input type="checkbox"/> Simulation <input type="checkbox"/> Technical Recovery <input type="checkbox"/> Alternate Site Testing <input type="checkbox"/> Comprehensive BCP Test <input type="checkbox"/> Other (describe)	
4. Were the testing methods used in the most recent BCP tests appropriate and sufficient?		
5. Did the tests involve the staff who will be involved in implementing the BCP? (i.e., were senior management and staff from the appropriate business units involved?)		
6. Were test results documented?		
7. Were corrective actions identified?		
8. Were internal audit staff involved in the testing process to validate the testing process and accuracy of reporting?		

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9. Did the BC Executive Sponsor or Program Manager report test results, gaps between the BCP and the actual test results, the resolution of any problems, and the need for additional testing or training to the board and senior management?		
10. If the institution relies on a technology service provider (TSP) for technology services, did management determine the adequacy of TSP plans and the effectiveness of TSP testing processes?		

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.