NomoRisk Sample Business Continuity Plan (BCP) for Financial Institutions

as of: February 2011

The following table of contents provides an example of a business continuity plan for a financial institution. Information provided in the BCP relating to specific departments should be given to this department only, while sections marked with "(to ALL)" should be distributed to all staff.

Timelines suggested are subject to change as per the details established in the Business Impact Analysis.

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main

Annex II – Emergence Response Checklist (ALL)

This checklist should be printed and distributed to all staff, who should have it at hand at all times.

Disaster during the day

1. If necessary, security services to invoke emergency signal of site affected
2. If necessary, start evacuation of all people from site and gathering at assembly site. Fire wardens and Emergency Response Team / Business Continuity Coordinators to ensure all people are evacuated as necessary.
3. Inform Company Management or, if they are unavailable, Emergency Response Team / Business Continuity Management Team and Business Continuity Officer (phone numbers: 123456, …)
4. Emergency Response Team / Business Continuity Management Team and Business Continuity Officer to gather and assess the situation
5. Analyse the situation in detail
    a) verify reason for evacuation
    b) find out expected duration of business disruption
    c) assess damage to the firm (Damage Assessment Team)
    d) assess availability of services and resources (Damage Assessment Team)
6. Report on unaccounted staff to HR (phone number of HR continuity officer: 12345)
7. Company Management or, in absence of them, Emergency Response Team / Business Continuity Management Team to decide where staff should go to (back into building, assembly site, contingency site, home, other)
8. Department heads, Branch Managers together with Business Continuity Coordinators to check for necessary end of day processes and how to execute
9. Set up conference call facility for coordination of further steps (Business Continuity Management Team members, Business Continuity Officer and all affected Business Continuity Coordinators to participate)

System outage during the day

1. Whoever detects the system outage needs to inform the Business Continuity Officer and the IT dept.
2. IT dept. and Business Continuity Officer to assess the situation to identify which services will be unavailable for how long
3. Continue with 7 above

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main

Disaster during out of office hours

1. Whoever detects the disaster needs to inform Company Management or ERT/BCMT and the Business Continuity Officer (phone numbers: 123456, …)
2. Company Management or Emergency Response Team / Business Continuity Management Team and Business Continuity Officer to gather and assess the situation
3. Analyse the situation in detail
    a) find out if building is available still
    b) find out expected duration of business disruption
    c) assess damage to the bank (Damage Assessment Team)
    d) assess availability of services and resources (Damage Assessment Team)
4. Invoke emergency call tree to inform all staff
5. Report on any unaccounted staff to HR (phone number of HR responsible: 12345)
6. Company Management or Emergency Response Team / Business Continuity Management Team and Business Continuity Officer to decide where staff should go to (normal building, contingency site, stay home, other)
7. Use call tree to inform all staff about changes in work time and -place
8. Department heads, Branch Managers together with Business Continuity Coordinators to check for necessary start of day processes and how to execute
9. Set up conference call facility for coordination of further steps (Business Continuity Management Team members, Business Continuity Officer and all affected Business Continuity Coordinators to participate)

NomoRisk GmbH
Zum Laurenburger Hof 28
D-60594 Frankfurt am Main
www.nomorisk.com

Phone: +49 (0)69 17554020-0
Fax: +49 (0)69 17554020-9
General Manager: Stephan Hartenstein
HRB 90056 Frankfurt am Main