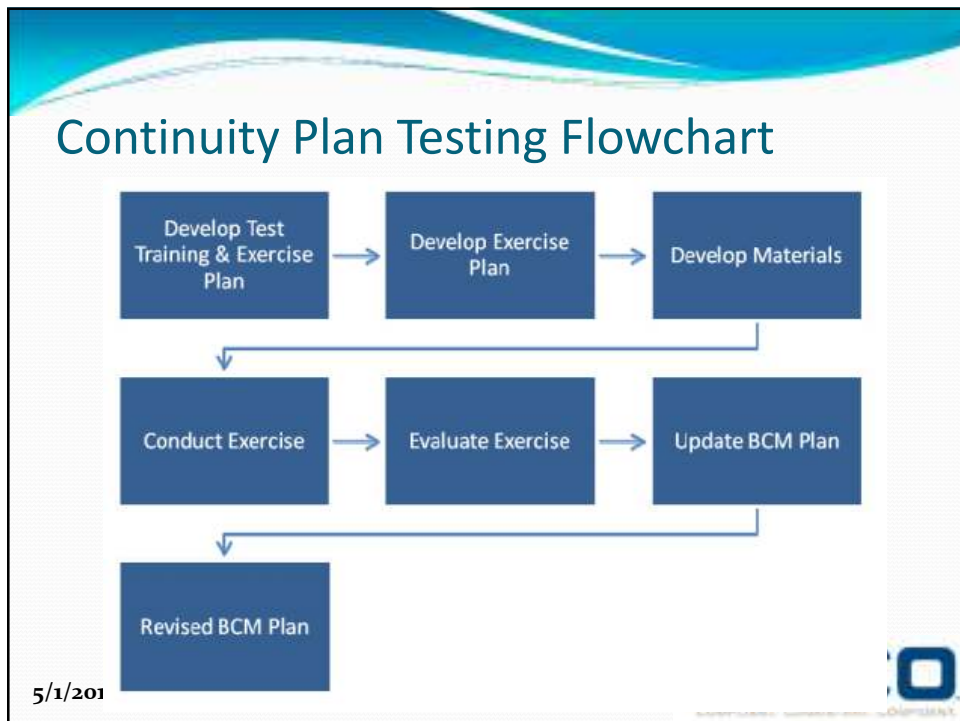



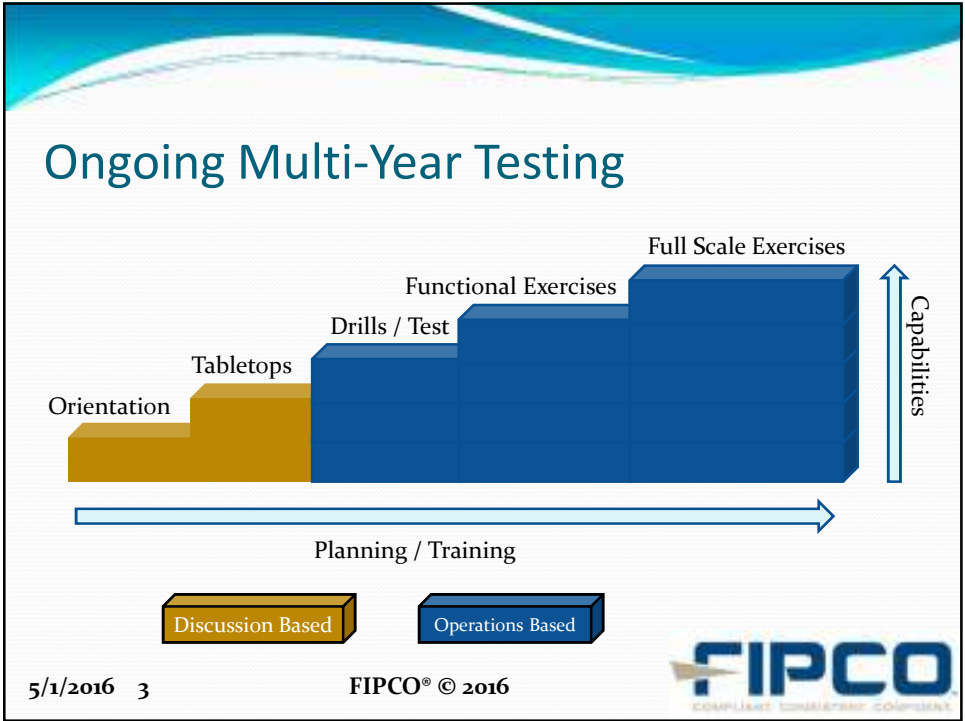
Surviving a Mock Disaster

Building an effective Tabletop Exercise

Presented by:
Ken M. Shaurette, CISSP, CISA, CISM, CRISC
FIPCO Director IT Services

5/1/2016 1 FIPCO® © 2016





Types of Tests

Exercise Type	Description
Orientation	A seminar and/or briefing activity used to familiarize participants with BCM responsibilities
Test or Functional Drill	Coordinated, supervised activity normally used to test, develop, or maintain skills in a single operation or function in a single office or organization
Tabletop Exercise	Simulates emergency situation in an informal, stress-free environment; designed to elicit constructive scenario-based discussions for an examination of the existing BCM plan and individual state of training and preparedness
Functional Exercise Combination Test	Used to validate the capability of an organization to respond to a simulated emergency, in order to test one or more functions of the plan
Full Scale Exercise ALL OUT TEST	Simulates an actual emergency; intended to evaluate operational BCM procedures and capabilities under simulated stressful conditions

5

Defining Roles and responsibilities

Position	Roles and Responsibilities
DR/BCP Coordinator / Information Security Officer	<ul style="list-style-type: none"> Coordinate schedule / Exercise facilitator
Management Team	<ul style="list-style-type: none"> Provide guidance and approval of Exercise Plan
IT – Manager / Network Admin	<ul style="list-style-type: none"> Coordinate IT Recovery Plans Plan and conduct IT Tests Support BCP Coordinator in Development and exercising
Participants (all employees, DR/BCP Team, Business Area Managers/SME)	<ul style="list-style-type: none"> Member of recovery team Familiar with Plan Know assignments Perform specific business duties

5/1/2016 5

FIPCO® © 2016



Functional and Full Scale Tests

- IT Recovery - test restore of technology, (i.e. data, network)
- Going offsite to a backup location tests recovery site preparedness, communications and utilities
- Trained and informed personnel are typically performing recovery steps
- Transaction testing verifies restore, connectivity and access using a person that knows the business process
- Community resources may be involved

What verifies the completeness of the Plan?

5/1/2016 6

FIPCO® © 2016



Why Tabletop Exercises?

Provide a forum for the following:

- Team Building
- Validate the Plan Documentation
- Information Collection and Sharing
- Obtain consensus from team
- Evaluation of Differing Perspectives

5/1/2016 7

FIPCO® © 2016



Why Tabletop Exercises?

Provide a forum for the following:

- Check that functional testing occurs
- Problem solving of complex issues
- Test considerations for new situations, ideas, processes and/or procedures
- Training/Awareness for management and staff

5/1/2016 8

FIPCO® © 2016



Exercise Development Steps

Goals and Objectives –

What will success look like?

(SMART)

- Simple (concise)
- Measurable (how to document)
- Achievable (can this be done during the exercise?)
- Realistic (and challenging)
- Task Oriented (fits to business functions)

5/1/2016 9

FIPCO® © 2016



Exercise Development Steps

Scope:

- Exercise Activities
- Departments Involved
- Hazard Type of Threat Source
- Geographic or outage Impact Area
- Staff Impacted
- Facilities Impacted

5/1/2016 10

FIPCO® © 2016




Exercise Development Steps

Building a Scenario

- Choosing a Threat to Test Threat Risk Asmt
- Vulnerability – Threat Assessment
- Start with simple basic scenarios – basic Fire minimal damage

Note: For example tornado incidents in the Midwest increased awareness of their threat risk.

The state may provide ongoing tasks of planning, preparing, and training for Tornado preparedness.

5/1/2016 11
FIPCO® © 2016


Threat Risk Assessment

Threat-Description	High Medium Low	High Medium Low	High Medium Low	Risk- Rating
Accidental-explosion—off-site	°	°	°	°
Accidental-explosion—on-site	°	°	°	°
Aircraft-crash	°	°	°	°
Ancillary-equipment-failure	°	°	°	°
Arson	°	°	°	°
Bomb-threat	°	°	°	°
Bombing	°	°	°	°
Central-computer-equipment-failure	°	°	°	°
Computer-Intruder	°	°	°	°

Exercise Development Steps

Building a Scenario

- As your DR/BC matures - make scenarios more complex
- Consider the unexpected
- Don't share the full scenario before the event
- Does the DR/BCP Team always know when a tabletop will occur?

5/1/2016 13

FIPCO® © 2016



Exercise Development Steps

Building a Scenario

- How quickly can you pull together key Business Team Members?
- How quickly can all key individuals be contacted and mobilized to the alternate location?
- Do you test the involvement of any outside parties? (i.e. law enforcement, safety, utilities, telephone, ISP)

5/1/2016 14

FIPCO® © 2016



Exercise Development Steps

Objectives of Exercise

Tabletop Exercise Program Objectives

- To improve operational readiness by demonstrating knowledge of the DR/BCP Plan overall
- To improve bank-wide coordination and response capabilities for effective disaster response
- To identify communication pathways and problem areas between IT, outside entities (utilities, media) business areas, regional and state emergency operations centers
- To establish timely response for safety, recovery and restore to normal operation.

5/1/2016 15

FIPCO® © 2016



Tips for an Effective Tabletop

- **Decide how much gloom and doom you want.**
 - Do you want this to be a physical event with assets damaged and destroyed,
 - Do you just want things inaccessible?
 - Do you want death and injuries, or just to test the ability to get work up and going someplace else?
 - Do you test unavailable key people?
 - How long will your downtime duration be?

5/1/2016 16

FIPCO® © 2016



Conducting the Exercise

- Set the Ground Rules
 - Silence Cell Phones
 - Establish timelines – Maximum 4 Hours - breaks, lunch etc..
 - Who leads the exercise?
 - Consider issues that need to be tabled for later discussion

5/1/2016 17

FIPCO® © 2016



Conducting the Exercise

- Set the Ground Rules (cont...)
 - Accept the Scenario as Real
 - Stay in the Scenario - stay in the mindset that the disaster is really occurring
 - Who will take notes – record issues / follow-up
 - Consider taping the exercise on an audio recorder

5/1/2016 18

FIPCO® © 2016



Exercise – Evaluate - Update

- Planned Test scheduled in advance
 - Attendance by all BCP Team required
 - Team is aware of test scenario
- Document Team Member Attendance
- Confirm that all Team Members have their own up-to-date copy of the plan
- The BC coordinator confirms updates are in the plan.

5/1/2016 19

FIPCO® © 2016



Exercise – Evaluate - Update

- Review policies and procedures
- Discuss business area changes since last updates?
- Confirm accuracy of phone numbers
- Verify Secure and accessible storage of plan (at home)
- Executive summary of the test and discussion results

5/1/2016 20

FIPCO® © 2016



TIP

Experience has shown that well planned and interesting exercises yield a high level of preparedness with personnel who are able to better cope with the stressful environment of an actual emergency.

5/1/2016 21

FIPCO® © 2016



Resources

- NIST SP800-84 - Guide to Test, Training, and Exercise Programs for IT Plans and Capabilities
- Homeland Security Exercise and Evaluation Program (HSEEP) hseep.dhs.gov, FEMA: www.ready.gov/
- Wisconsin Emergency Management emergencymanagement.wi.gov/
- CSOnline Business Continuity, www.csoonline.com
- FIPCO, www.fipco.com/itservices

5/1/2016 22

FIPCO® © 2016



If Time Allows,
if not email kshaurette@fipco.com

Sample Tabletop Exercise Testing

FIRE

CLICK
HERE

STORM

CLICK
HERE

5/1/2016 23

FIPCO® © 2016

