

Business Continuity Questionnaire V1.1 - September 2014

Supplier Company Details

Supplier:

Address:

Contact name:

Telephone:

Email:

Please complete this questionnaire as fully as possible.

If you have any questions, please contact:.....

1 GOVERNANCE									
#	Question	Details	Evidence requirement	Yes	Partial	No	Dont Know	Not Applicable	Supplier's comments
1.1	Do you have a Business Continuity Plan ?	Business Continuity Plan describes the processes and procedures an organization puts in place to ensure that essential functions can continue during and after an incident. A Business Continuity Plan exists and refers to the strategy, the organization and the plan to respond to incidents and business disruptions in order to continue business operations at an acceptable predefined level	Documentational evidence of an overarcing strategy for Business Continuity Management containing details of the program sponsor, leader and owner, together with an organization chart with individually named contacts for each role.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Is there someone in your organization who has responsibility for looking after Business Continuity Management?	The organization's management should: appoint one or more individuals to implement and maintain the BCM programme.The plan includes clear strategy and identification of the management team that is responsible for the BCM Program and development, with clear objective and staff responsibilities and a single point of contact for BCM related communication.	Documentational evidence of an overarcing strategy for Business Continuity Management containing details of the program sponsor, leader and owner, together with an organization chart with individually named contacts for each role.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Do you regularly review and update your plan?	Business continuity arrangements should be reviewed and updated whenever there is a significant change in the organization's operating environment, personnel, processes or technology, and when an exercise or incident highlights deficiencies. The BCP is reviewed and updated once a year or in case of internal or external change impacting the organization in the scope of its activities and/or key resources. Additionally, BCP is documented, circulated and accessible off site by key personnel in multiple format (hard copy, IT memory stick or shared drive).	Documentational evidence of an overarcing strategy for Business Continuity Management review, exercise and education containing schedules and the individual task owner(s), together with an organization chart with individually named contacts for each role.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2 RAW MATERIALS AND SERVICES FOR GEMALTO PRODUCTS AND/SERVICES									
2.1	Have you identified the raw material and services that are essential for the production and delivery of the Gemalto Products?	The organization should identify the raw materials entering into the production flows of the Gemalto products and the services required for their delivery.	Process flow documentation showing all critical processes provided, together with the back up strategy should the raw material not be available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3 BUSINESS IMPACT ANALYSIS - CRITICAL ACTIVITIES AND THE RESOURCES REQUIRED TO RESUME THE PROCESS/ACTIVITY									

3.1	Have you identified the critical activities and resources (internal and external) required to maintain and resume the production of the Gemalto products by way of conducting a Business Impact Analysis.	<p>Those activities, whose loss would have the greatest impact in the shortest time and which need to be recovered most rapidly may be termed "critical activities".</p> <p>Each critical activity supports one or more key products or services.</p> <p>Critical activities are underpinned by resources such as :</p> <ul style="list-style-type: none"> - the people (employees, contractors...) required to maintain business operations during the event - the premises, where the products are processed/manufactured/stored, including the manufacturing equipment used. - the technology and data(e.g. IT critical systems and data). - the operations (e.g. critical equipment and/or machinery) - supplies (raw materials, energy., services...) used for the business operations and production. Acceptable predefined level has been defined from a Business Impact Analysis. 	Overview of the BIA process and strategy undertaken to determine critical activities and their recovery requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4 RISK ASSESSMENT									
4.1	Have you assessed the risks or threats to your critical activities?	<p>The organization should understand the threats to the resources (i.e. People, Premises, Technology, Information and Suppliers), the vulnerability of each resource, and the impact that would arise if a threat became an incident and caused a business disruption..</p> <p>Threats could be natural disasters, fire, flood, power failure, staff loss, staff absenteeism, communications, transportation, safety and service sector failure, computer viruses, hardware failure, loss of key suppliers...</p> <p>A risk assessment looks at likelihood and impact of a variety of risks that could cause a business interruption. By assessing these risks, you will be able to prioritize your risk reduction activities</p>	Overview of the risk assessment process and strategy undertaken to highlight these critical activities , or evidence that it is recorded in another document. Evidence of last revision to the Risk assessment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5 BUSINESS CONTINUITY RESPONSE PLANNING									
5.1	Do you have business continuity responses for the PEOPLE identified as essential to maintain business operations?	<p>The organization should identify the appropriate strategies for maintaining core skills and knowledge of people (employees, contractors...).</p> <p>Such strategies may include:</p> <ul style="list-style-type: none"> - documentation of the way in which critical activities are performed, - multi-skill training of staff and contractors, - separation of core skills to reduce concentration of risk - use of third parties, - key staff members, subject matter experts or single points of failure - knowledge retention and management, multi-skill training of staff and contractors, - personnel relocation and associated planning 	All strategies need to contain a clear scope, on circumstances of activation, personnel responsible for activation and a clear communication plan (who, when, how).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Do you have business continuity responses for the PREMISES identified as essential to maintain business operations?	<p>The organization should identify the appropriate strategies for reducing the impact of the unavailability of its normal worksite.</p> <p>Such strategies may include:</p> <ul style="list-style-type: none"> - back-up site within the organization - alternative premises provided by other organizations, - working from home or at remote sites, - use of alternative workforce in an established site. - alternative source of machinery and other equipment 	All strategies need to contain a clear scope, on circumstances of activation, personnel responsible for activation and a clear communication plan (who, when, how).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.3	Do you have business continuity responses for the TECHNOLOGY AND DATA identified as essential to maintain business operations?	<p>Technology and Data strategies may include:</p> <ul style="list-style-type: none"> - geographical spread of technology, i.e. maintaining the same technology at different locations that will not be affected by the same disruption, - holding older equipment as emergency replacement or spares, - additional risk mitigation for unique or long lead time equipment, <p>Information technology services strategies may include:</p> <ul style="list-style-type: none"> - recovery time objectives for systems and applications which support the critical activities, - number of technology sites, - remote access, - telecom connectivity and redundant routing, - third party connectivity and external links. <p>Information technology services strategies may include:</p> <ul style="list-style-type: none"> - recovery time objectives for systems and applications which support the critical activities, - number of technology sites, - remote access, - telecom connectivity and redundant routing, - third party connectivity and external links. <p>DATA strategies may include:</p> <ul style="list-style-type: none"> - various methods of copying such as electronic, tape backups, photocopies, creating dual copies at the time of production - having copies of your critical records at a safe and separate location - checking the effectiveness of your data back up and recovery policies and procedures. 	All strategies need to contain a clear scope, on circumstances of activation, personnel responsible for activation and a clear communication plan (who, when, how).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	Do you have business continuity responses for the OPERATIONS identified as essential to maintain business operations?	<p>The operations should identify the appropriate strategies for reducing the impact of the unavailability of its normal worksite.</p> <p>Such strategies may include:</p> <ul style="list-style-type: none"> - alternative source of machinery and other equipment 	All strategies need to contain a clear scope, on circumstances of activation, personnel responsible for activation and a clear communication plan (who, when, how).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Do you have business continuity responses for the SUPPLIERS identified as essential to maintain business operations?	<p>The organization should identify and maintain an inventory of the core supplies that support its critical activities. Strategies to provide them may include :</p> <ul style="list-style-type: none"> - multi-sourcing capabilities - storage of additional supplies at another location, - arrangements with third parties for delivery of stock at short notice, - diversion of just-in time deliveries to other locations, - holding of materials at warehouses, - transfer of sub-assembly operations to an alternative location which has supplies, - identification of alternative/substitute supplies. 	All strategies need to contain a clear scope, on circumstances of activation, personnel responsible for activation and a clear communication plan (who, when, how).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6 INTERDEPENDENCIES									
6.1	Have you encouraged your suppliers/partners to have a business continuity capability?	<p>It is important that the organization understand the interdependencies of its activities and any reliance it has on external organizations.</p> <p>You should consult your suppliers, service and utilities providers and regularly check that they will be able to continue service to you, even in the event of them having an incident.</p> <p>For those suppliers identified as critical, planning should be in place that outline mitigation strategies that effectively reduces risk to an acceptable predefined level.</p>	Overview of the assessment process and strategy undertaken to determine critical activities and their recovery requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7 EXERCISE									
7.1	Have you exercised your BCP?	Your BCP arrangements cannot be considered reliable until they are exercised and have proved to be workable. A comprehensive testing program detailing scope and method (read through, desktop simulation or operational simulation or exercise) with documented reporting and continuous process improvement.	Evidence to support current and previous schedule . Documented approach to exercising including scope, objectives, exercise triggers, criteria. Documented continuous improvements, action planning/change log	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8 COMMUNICATION									
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

8.1	Have you briefed the employees with direct responsibilities on the content of the BCP?	Is a staff awareness programme in place and does it include any of the following components: Reference to business continuity as part of staff induction, periodic review of business continuity related documents , periodic review and run through of business continuity arrangements during staff/team meetings	Evidence of BCM discussions at staff meetings, training plans/schedules, list or post reports on events and attendees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Do you have a method to communicate with your key customers during a service disruption?	Is there a mechanism in place and the details of how contact is to be made with key customers.	Documented Communications plan either held as a separate document or as part of the BCP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Do you have contact process/point specifically for Gemalto?	Is there a mechanism in place and the details of how contact is to be made with Gemalto.	Documented Communications plan either held as a separate document or as part of the BCP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Gemalto will require viewing of all BCM related documentation referred to within this questionnaire upon request, is there a process in place to follow to carry out this action?			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Any information you wish to add?