

Asia Pacific Processing Center

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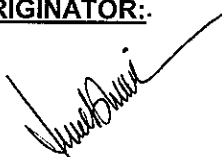
VOLUME : 4 - PROCEDURES & WORK INSTRUCTIONS

DOCUMENT : **181 - REGIONAL COB LEVEL 3
PROCEDURE FOR CTI ASIA
PACIFIC**

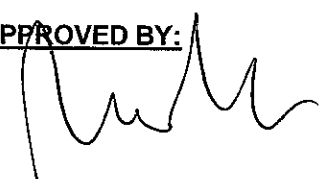
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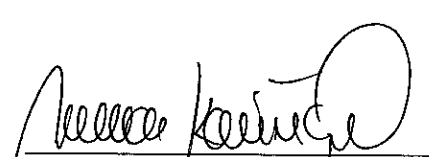

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VERSION HISTORY

Version 1.0 :

Initial Release

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1. INTRODUCTION

1.1 APPLICABILITY

- 1.1.1 This document serves as a CTI Asia Pacific Regional Continuity of Business (COB) Level 3 Procedures document for Citigroup Information Technology Management Policy or CITMP compliance. These procedures form the minimum set of Level 3 procedures to be followed by all Asia Pacific countries in COB management to achieve compliance with both the Continuity of Business Policy and Standard - Approved version 1.0 (April, 2005) and CITMP.

1.2 SCOPE

- 1.2.1 This document summarizes for all Asia Pacific countries the regional Level 3 procedures in COB management.

2. REGIONAL COB LEVEL 3 PROCEDURES

2.1 OBJECTIVES

- 2.1.1 The objective of establishing the regional COB Level 3 procedures is to document for the CTI Asia Pacific a set of procedures for complying with the COB Policy and Standards in order to consistently achieve compliance with the Continuity Of Business functional policy required by the CITMP.
- 2.1.2 Supplementary country-specific Level 3 procedures are required to address the specific needs of a country/business in COB management. In particular, two examples of such procedures are the business unit COB plan and COB test plan, which are different for each business unit. In addition, since it is already a well-established standard to construct all unit-level COB plans in LDRPS, the LDRPS plan construction procedure is a global COB Level 3 procedure that must be followed by all business units to comply with CITMP.
- 2.1.3 The regional COB Level 3 procedures are summarized as the following procedures in this document for COB management or Business Continuity Planning:
- Quarterly Procedures
 - Semi-annual Procedures
 - Annual Procedures
 - Other Procedures
- 2.1.4 A set of regional Level 3 documentation has been determined for the Asia Pacific business units as evidence of CoB Policy and Standards Approved Ver.1.0 April, 2005 compliance. This document lists out the current set.

2.2 QUARTERLY PROCEDURES

2.2.1 On a quarterly basis, a business must complete the following activities for COB planning:

- Update its unit COB plans in LDRPS.

2.2.2 On a quarterly basis, a business must complete the following activities for COB testing:

- Review and update all call trees with current contact information of all staff.
- Review and update all emergency evacuation procedures for all locations with CRS or building management of each premise in the country.

2.2.3 On a quarterly basis, a business must complete the following activities for COB assessment:

- Review all outstanding exceptions for action/project planning and re-planning.
- Report the COB Key Risk Indicator(s) in its RCSA COB self-assessment process.

Template of CoB RCSA:



ASPAC-RCSA-Matrix-
1Q06-V2.xls

- Review any outstanding deviations on their annual expiry for action/project planning and re-planning. Deviations Process and Form are attached:



COB_DEVIATION_PRFeb_15_2005_deviat
OCESS_FINAL.doc



ion.doc

2.3 SEMI-ANNUAL PROCEDURES

2.3.1 There are no activities required on a semi-annual basis in addition to that which are already covered by the quarterly and annual procedures for COB planning.

2.3.2 On a semi-annual basis, a business must complete the following activities for COB testing:

- Test all call trees by calling the staff on the call tree and recording failure with reasons documented.
- Test all emergency evacuation procedures based on the drill procedures maintained by CRS or building management of each premise in the country.

2.4 ANNUAL PROCEDURES

2.4.1 On an annual basis, a business must complete the following activities for COB planning:

- Review and update each section in its master COB plan including BIA.
- Complete an Independent Plan Review using the latest Sector Peer Review Guideline.

COB Peer Review Guide Process



"CTI Peer Review Questions.xls"



"INDEPENDENT REVIEW OF BRP FIN"



"Peer Review Process.doc"

2.4.2 On an annual basis, a business must complete the following activities for COB testing:

- Review and update test plans before the annual drills. All business recovery plans (BRPs) and crisis management plans must be tested. The business sector or unit selects the type of test needed to ensure the compliance to Section 5 of the CoB Policy and Standards Approved Version 1.0 effective April 1, 2005.
- Test its COB plans every twelve months by following the test scripts defined in the test plans and record all test results.

2.4.3 On an annual basis, a business must complete the following activities for COB assessment:

- Complete the Concentration/Proximity Risk Assessment in the third quarter by reviewing and updating each of the following sections in the spreadsheet.
 - Summary of COB and Mutual Backup Facilities with such subsections as Office Space Backup, Network Backup, Server Backup, PABX Backup, Power & Water Supply, Telecommunication Services, Building Power Generator, HVAC, Water Supply, COB Command Centers, Spare Capacity for LAN and phone connection;
 - Telecom Diagram;
 - Geography & Distances, Summary of Buildings & Offices, Threats from Natural Disasters;
 - Executive Summary recapitulating the various factors considered in the assessment;
 - Conclude with a risk rating of High, Medium or Low in Concentration Risk.



"Proximity_Concentration_Risk_Assessme"

- Complete the SP-5 Assessment in the fourth quarter by following the instruction given annually by OBC, New York.
- Complete the EDP Insurance Questionnaire Requirement by following the instruction provided annually by Corporate Insurance and Risk Management



"EDP Qnaire.xls"


"Site Inventory
Matrix.xls"

- Complete the COB Budget Review by following the instruction given annually by New York's COB committee in the following mail.


CoB Finance
Workgroup Deliverab

- Complete the Plan Effectiveness Review in the fourth quarter as part of the SP-5 Assessment.
- Complete an SP-5 Survey with the regional BCP coordinator and report any SP-5 exceptions to be tracked under the SP5 report database.

2.5 OTHER PROCEDURES

- 2.5.1 A post-mortem with lessons learnt document must be completed for an invocation of COB plan by a business within 30 days of closure of the incident. The Lesson Learnt Report must be updated to the OBC eTools – 195 Website via the submission through the Regional COB Head.



lessons_learned_tem
plate.doc

- 2.5.2 Communication materials such as presentation materials or videos must be made available to employees on a regular basis as training and education on COB awareness. Sample Material can be found on the OBC Website. URL:

<http://www.citigroup.net/operationsandtechnology/cob/webcasts.htm>

- 2.5.3 Country Coordinators shall update the Business Unit Score Card on a monthly basis as required by OBC. The entities required are similar to the annual SP-5 Business Entities.



"ASPAC - CoB BU
Metrics.xls"

- Country CoB Coordinator to collect country CoB metrics for the update the CTI Global BCS Governance and Reporting Section 3 in the etools - 2001.

etools – 2001 website can be founded on the following URL:

<https://stcprod001.nj.ssmb.com/siteminderagent/forms/login.fcc?Programid=2001>

- 2.5.4 All Business Unit CoB coordinator should take one OBC CoB training course annually.

- 2.5.5 Business units should NOT disclose CoB Information to External Parties. The standard customer letter should be used. The Boiler-Plate customer letter can be founded



"COB Inquiry
Response.doc"

3. REGIONAL LEVEL 3 DOCUMENTATION FOR EVIDENCE OF POLICY COMPLIANCE

3.1 REGIONAL LEVEL 3 DOCUMENTATION SET

3.1.1 A set of regional Level 3 documentation has been determined for the Asia Pacific businesses as evidence of policy compliance. They are listed below. References are given in the list of documents below to indicate where the standard or sample templates can be found.

- Country/business BRP master plan
- SP-5 Survey spreadsheet
- Image copy of the SP-5 Long Form and Short Form sign off
- Proximity/concentration risk assessment spreadsheet
- Crisis management plan
- Emergency evacuation plan
- BCP budget templates
- EDP Insurance Questionnaire spreadsheet
- Test plan and documented test results for units residing in the country/business
- Country communications
- List of BCP vendors and annual validation (if any)
- List of deviations
- Key risk indicators periodic measurement
- Peer Review Guideline