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BCM Legislations, Regulations, Standards and Good Practice

February 2016

INTRODUCTION

The BCI is regularly asked by members and other interested parties about current legislation, regulation and standards that exist nationally and internationally for Business Continuity Management.

It is difficult to provide a definitive list because there are regular changes and amendments at a country level and often inconsistent terminology between countries, sectors and legislators.

The document that follows is the most comprehensive that it was possible to produce based upon information provided to us by our members around the world. Where we have country input we have included it alphabetically. At the start of the document we have listed current and projected international initiatives, particularly those supported by the International Standards Organization (ISO), The European Union (EU) and the Basel Committee on Banking Supervision.

Each entry is categorized into one of four headings:

LEGISLATIONS: Government laws which include aspects of Business Continuity Management by name or are sufficiently similar in nature (Disaster Recovery, Emergency Response, Crisis Management) to be treated as BCM legislation for this purpose. To be included in this category they must be legally enforceable legislation passed by a national, federal, state or provincial government depending upon the legal structure in each particular country.

REGULATIONS: Mandatory rules or audited guidance documents from official regulatory bodies in sectors such as Financial Services, Telecommunications, Energy, Oil, Gas and Chemicals. Those which could reasonably be construed as having some implications on an organization's BCM provisions are included. General help and guidance documents are included under Good Practice.

STANDARDS: Official standards from national (and international) accredited standards bodies which relate to Business Continuity as a whole or to a specific related subset such as IT Service Continuity. The list also includes standards for different but related topics (like Information Security) when BCM is included only as a part requirement for compliance. "Standards" that are issued by 3rd parties or professional groups will only be included if they are issued by an accredited national standards body or accredited directly by a national accreditation service.

GOOD PRACTICE: Guidelines published as good (or best) practice by various authoritative bodies. These documents may form part of a wider set of advice provided by a professional body of which BCM is only a peripheral activity. Alternatively, they might be issued by a BCM professional body as general guidance either locally or internationally. They will provide no mandated rules but will be well used and accepted as credible advice by BCM professionals.

Countries for which we have no information available under any of the 4 headings will not be included. If any reader has additional information to help us fill in these gaps, then please submit details to Patrick.Alcantara@thebci.org for future amendment of the document. We normally update this at the beginning of each calendar year.

WARNING

The BCI has done its best to check the validity of these details but takes no responsibility for their accuracy and currency at any particular time or in any particular circumstances.

Some of the listed items (particularly under legislation and regulation) are only indirectly related to Business Continuity Management, and should not be interpreted as specifically designed for BCM. However they will contain sections which can be useful to a BCM practitioner, and are consequently included in this reference document.

It should also be noted that in some countries Regulatory Practices and/or ISO Standards might be incorporated into national legislation, thus giving the document additional importance in those specific countries.

BCI Editorial Team

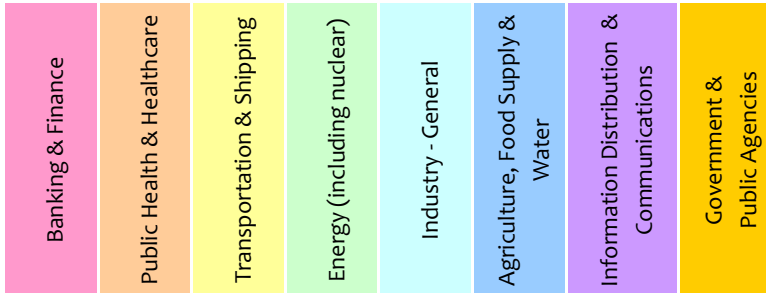
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LEGEND

The following colours are used against various entries to indicate which sectors are affected by the relevant guidance, rule or regulation. We acknowledge the efforts of the Disaster Recovery Journal in coming up with these categories.



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0.1	October 09	Lyndon Bird		DRAFT
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INTERNATIONAL

TITLE		AUTHORITY	SUMMARY	LINK
The European Programme for Critical Infrastructure Protection (EPCIP)	Legislation	European Commission	<p>The European Programme for Critical Infrastructure Protection (EPCIP) has been laid out in EU Directives by the Commission (e.g. EU COM (2006) 786 final). It has proposed a list of European critical infrastructures (ECIs) based upon inputs by its Member States. Reference Memo-06-477_EN.</p> <p>Each designated ECI will have to have an Operator Security Plan (OSP) covering the identification of important assets, a risk analysis based on major threat scenarios and the vulnerability of each asset, and the identification, selection and prioritization of counter-measures and procedures.</p> <div data-bbox="1088 885 1624 973"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> </div>	http://europa.eu/legislation_summaries/justice_freedom_security/fight_against_terrorism/l33260_en.htm
Solvency II (2009/138/EC)	Legislation	European Commission	<p>Directive 2009/138/EC of the European Parliament and of the Council of 25 November 2009 on the taking-up and pursuit of the business of Insurance and Reinsurance (Solvency II).</p> <div data-bbox="1088 1149 1624 1236"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	http://eur-lex.europa.eu/legal-content/SV/TXT/HTML/?uri=CELEX:32009L0138&from=EN




<p>High Level Principles for Business Continuity</p>	<p>Regulation</p>	<p>Basel Joint Forum: Basel Committee on Banking Supervision International Organization of Securities Commissions (IOSCO) International Association of Insurance Supervisors Published by Bank of International Settlements, Basel in August 2006</p>	<ol style="list-style-type: none"> 1. A comprehensive BCM process with responsibility by the Board of Directors and Senior Management. 2. Integration of risk of significant operational disruptions into BCM. 3. Recovery objectives that take account of their systemic relevance and the resulting risk for the financial system. 4. Definition of internal and external communication measures in the event of major business interruptions. 5. Communication concepts must cover communication with foreign supervisory authorities. 6. Testing of BCP's to evaluate their effectiveness. 7. Institutions are subject to supervision as part of the ongoing monitoring process. <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	<p>http://ithandbook.ffiec.gov/media/22111/ex_basel_high_princ_bc_a.pdf</p>
<p>Basel II: BASEL capital accord (April 2003)</p> <p><i>(Currently incorporated in the International Convergence of Capital Measurement and Capital Standards: A Revised Framework)</i></p>	<p>Regulation</p>	<p>Basel Committee on Banking Supervision</p>	<p>Addresses operational risk and defines it as “the risk of loss resulting from inadequate or failed internal processes, people & systems, or from external events.”</p> <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	<p>http://www.bis.org/pub/bcbs107.htm</p>


Basel III (Basel 3)	Regulation	Basel Committee on Banking Supervision	<p>The term is now in common usage anticipating the next revision to the Basel Accords. The Bank for International Settlements (BIS) itself began referring to this new international regulatory framework for banks as "Basel III" in September 2010.</p> 	http://www.bis.org/publ/bcb201.pdf
ISO TC 292	Standard	Technical Committee 292 of the International Standards Organization (ISO)	<p>TC292 is responsible for a wide range of standards under the general title of Security and Resilience.</p> <p>Work Group 2 concentrates on BCM and Organizational Resilience.</p> 	http://www.iso.org/iso/home/standards_development/list_of_iso_technical_committees/iso_technical_committee.htm?commid=295786
BS EN ISO 22300:2014 – Societal Security - Terminology	Standard	International Standards Organization (ISO)	<p>Societal Security – Vocabulary for all 223 series standards including direct BCM standards ISO 22301 and ISO 22313.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=56199
BS EN ISO 22301:2014 – Societal Security – Business Continuity Management Systems – Requirements	Standard	International Standards Organization (ISO)	<p>Requirements to plan, establish, implement, operate, monitor, review, maintain and continually improve a documented management system to protect against, reduce the likelihood of occurrence, prepare for, respond to, and recover from disruptive incidents when they arise.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=50038

BS EN ISO 22311:2014 – Societal Security – Video Surveillance – Export Interoperability	Standard	International Standards Organization (ISO)	<p>Specifies a common output file format that can be extracted from the video-surveillance contents collection systems (stand-alone machines or large scale systems) by an exchangeable data storage media or through a network to allow end-users to access digital video-surveillance contents and perform their necessary processing.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=53467
ISO/TR 22312:2011 – Societal Security – Technological Capabilities	Standard	International Standards Organization (ISO)	<p>An enumeration of different existing available technologies which would be relevant to standardize within the field of societal security.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=56897
BS EN ISO 22313:2014 – Societal Security – Business Continuity Management Systems – Guidance	Standard	International Standards Organization (ISO)	<p>Guidance for establishing incident response and continuity programs. This will support implementation of ISO 22301.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=50050
BS ISO 22315:2014 – Societal Security – Mass Evacuation – Guidelines for Planning	Standard	International Standards Organization (ISO)	<p>Guidelines for mass evacuation planning in terms of establishing, implementing, monitoring, evaluating, reviewing, and improving preparedness.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=50052

PD ISO/TS 22317:2015 – Societal Security – Business Continuity Management Systems – Guidelines for Business Impact Analysis (BIA)	Standard	International Standards Organization (ISO)	Guidance for establishing Business Impact Analysis. This will support implementation of ISO 22301. 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=50054
PD ISO/TS 22318:2015 – Societal security. Business continuity management systems. Guidelines for supply chain continuity+	Standard	International Standards Organization (ISO)	Guidance for establishing supply chain continuity programs. 	
ISO 22320:2011 – Societal Security – Emergency Management – Requirements for Incident Response	Standard	International Standards Organization (ISO)	Minimum requirements for effective incident response and provides the basics for command and control, operational information, coordination and cooperation within an incident response organization. 	http://www.iso.org/iso/catalogue_detail?csnumber=53347
BS ISO 22322:2015 – Societal Security – Emergency Management – Guidelines for Public Warning	Standard	International Standards Organization (ISO)	Provides guidelines for developing, managing, and implementing public warning before, during, and after incidents. 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=53335
BS ISO 22324:2015 – Societal Security – Emergency Management – Guidelines for Colour-Coded Alert	Standard	International Standards Organization (ISO)	Guidelines for the use of colour codes to inform people at risk as well as first response personnel about danger and to express the severity of a situation. 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=50061

BS ISO 22397:2014 – Societal Security – Guidelines for Establishing Partnering Arrangements	Standard	International Standards Organization (ISO)	<p>Provides guidelines for establishing partnering arrangements among organizations to manage multiple relationships for events impacting on societal security. Incorporates principles and describes the process for planning, developing, implementing and reviewing partnering arrangements.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=50293
BS ISO 22398:2013 – Societal Security – Guidelines for Exercises	Standard	International Standards Organization (ISO)	<p>Guidelines for an organization to plan, conduct, and improve its exercise projects which may be organized within an exercise programme. It is intended for use by anyone with responsibility for ensuring the competence of the organization's personnel, particularly the leadership of the organization, and those responsible for managing exercise programmes and exercise projects.</p> 	http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=50294
COBIT 5 – Control Objectives for Information & Related Technology 5 (September 2014)	Standard	IT Governance Institute Standards	<p>Generally accepted information technology control objectives. Domains include:</p> <ul style="list-style-type: none"> • Principles, Policies and Frameworks • Processes • Organizational Structures • Culture, Ethics and Behaviour • Information • Services, Infrastructure and Applications • People, Skills and Competencies 	http://www.isaca.org/cobit/pages/default.aspx




<p>ITIL v.3 (international) – IT Infrastructure Library</p>	<p>Standard</p>	<p>IT Service Continuity Management is part of the “Service Design” book in ITIL version 3.</p>	<p>Global standard in the area of service management. ITIL® (IT Infrastructure Library®) is the most widely accepted approach to IT service management in the world. ITIL provides a cohesive set of best practice, drawn from the public and private sectors internationally.</p> <p>Contains comprehensive publicly accessible specialist documentation on the planning, provision and support of IT services.</p> 	<p>http://en.wikipedia.org/wiki/Information_Technology_Infrastructure_Library</p> <p>http://www.itil-officialsite.com/</p>
<p>ISO 9000 Series – Quality Management</p>	<p>Standard</p>	<p>International Standards Organization (ISO)</p>	<p>ISO 9000:2015, Basic Concepts and Language ISO 9001:2015, Quality Management Systems ISO 9002:2000, Quality Assurance ISO 9004:2009, Managing for Sustained Success ISO 19001:2011, Internal and External Audits</p> 	<p>http://www.iso.org/iso/home/standards/management-standards/iso_9000/iso9001_revision.htm</p>
<p>BS ISO/IEC 17021-1:2015</p>	<p>Standard</p>	<p>ISO/IEC</p>	<p>This Technical Specification complements the existing requirements of ISO/IEC 17021:2011. It includes specific competence requirements for personnel involved in the certification process for business continuity management systems (BCMS).</p> 	<p>http://www.iso.org/iso/catalogue_detail.htm?csnumber=64956</p>

<p>BS ISO/IEC 27001:2013 – Information Technology – Security Techniques – Information Security Management Systems - Requirements</p>	<p>Standard</p>	<p>ISO/IEC</p>	<p>Information Security Management system requirements. Minor focus on:</p> <ul style="list-style-type: none"> • Business continuity management process • Writing and implementing continuity plans • Business continuity planning framework • Business continuity and impact analysis • Testing and maintaining BCPs <p>BCM clauses are now overtaken by ISO 22301.</p> 	<p>http://www.iso.org/iso/catalogue_detail?csnumber=54534</p>
<p>BS ISO/IEC 27002:2013 – Information Technology – Security Techniques – Code of Practice for Information Security Controls</p>	<p>Standard</p>	<p>ISO/IEC</p>	<p>Guidelines for organizational information security standards and information security management practices including the selection, implementation and management of controls taking into consideration the organization's information security risk environment(s).</p> 	<p>http://www.iso.org/iso/catalogue_detail?csnumber=54533</p>
<p>BS ISO/IEC 27003:2010 – Information Technology – Security Techniques – Information Security Management System Implementation Guidance</p>	<p>Standard</p>	<p>ISO/IEC</p>	<p>Critical aspects needed for successful design and implementation of an Information Security Management System (ISMS) in accordance with ISO/IEC 27001:2013.</p> 	<p>http://www.iso.org/iso/catalogue_detail?csnumber=42105</p>

BS ISO/IEC 27004:2009 – Information Technology – Security Techniques – Information Security Management – Measurement	Standard	ISO/IEC	<p>Guidance on the development and use of measures and measurement in order to assess the effectiveness of an implemented information security management system (ISMS) and controls or groups of controls, as specified in ISO/IEC 27001.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=42106
BS ISO/IEC 27035:2011 – Information Technology – Security Techniques – Information Security Incident Management	Standard	ISO/IEC	<p>Information Security Incident Management</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=44379
BS ISO/IEC 27036-1:2014 – Information Technology – Security Techniques - Information Security for Supplier Relationships – Overview and Concepts	Standard	ISO/IEC	<p>Provides an overview of the guidance intended to assist organizations in securing their information and information systems within the context of supplier relationships. It also introduces concepts that are described in detail in the other parts of ISO/IEC 27036. ISO/IEC 27036-1:2014 addresses perspectives of both acquirers and suppliers.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=59648
BS ISO/IEC 27036-2:2014 – Information Technology – Security Techniques – Information Security for Supplier Relationships - Requirements	Standard	ISO/IEC	<p>Specifies fundamental information security requirements for defining, implementing, operating, monitoring, reviewing, maintaining and improving supplier and acquirer relationships.</p> 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=59648

BS ISO/IEC 27036-3:2013 – Information Technology – Security Techniques – Information Security for Supplier Relationships – Part 3: Guidance for Information and Communication Technology Supply Chain Security	Standard	ISO/IEC	<p>Provides product and service acquirers and suppliers in the information and communication technology (ICT) supply chain.</p> 	http://www.iso.org/iso/catalogue/catalogue_tc/catalogue_detail.htm?csnumber=59688
ISO/IEC 27301:2011 – Information Technology – Security Techniques – Guidelines for Information and Technology Readiness for Business Continuity	Standard	ISO/IEC (International Electrotechnical Commission)	<p>ISO/IEC 27031:2011 describes the concepts and principles of information and communication technology (ICT) readiness for business continuity, and provides a framework of methods and processes to identify and specify all aspects (such as performance criteria, design, and implementation) for improving an organization's ICT readiness to ensure business continuity.</p> 	http://www.iso.org/iso/home/store/catalogue_tc/catalogue_detail.htm?csnumber=44374
ISO 31000:2009 Risk Management Standard	Standard	ISO	<p>ISO 31000 provides high level principles and generic guidelines for Risk Management.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=43170 http://en.wikipedia.org/wiki/ISO_31000
ISO Guide 73:2009 – Risk Management – Vocabulary	Standard	ISO	<p>Definitions of generic terms related to risk management.</p> 	http://www.iso.org/iso/catalogue_detail?csnumber=44651

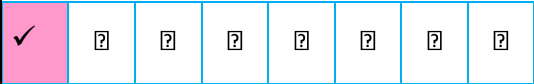
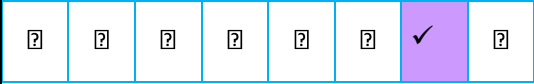

ISO/IEC 20000-1:2011 – Information Technology – Service Management – Part 1: Service Management System Requirements	Standard	ISO/IEC	IT Service Management. 	http://www.iso.org/iso/catalogue_detail?csnumber=51986
IEC 61508:2010 - Functional Safety of Electrical, Electronic and Programmable Electronic Safety Related Systems	Standard	IEC	It outlines the management requirements in part 1. The other 6 parts deal with hardware, software, documentation, explanatory notes and risk management. In essence, part 1 deals with the management requirement to manage the overall risks of process automation software development not just software and hardware, so it is all encompassing. 	http://www.iec.ch/functionalsafety/
IEC 60300 – Dependability	Standard	IEC	This standard deals with the availability, reliability, serviceability and maintainability of process automation software systems. This is part of a family of standards on dependability, a link to the full list is found here. 	http://www.iec.ch/about/brochures/pdf/technology/dependability.pdf
IEC 61804 – Digital Communication	Standard	IEC	Function blocks (FB) for process control. Overview of system aspects. 	http://webstore.iec.ch/previiew/info_iec61804-2%7Bed2.0%7Den.pdf

BCI Good Practice Guidelines 2013 Global Edition	Good Practice	BCI (Business Continuity Institute)	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 is intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles. The Guide is now available in English (UK and US), French, Spanish, Italian, Arabic, Mandarin, Japanese, Greek, Romanian, Portuguese and Russian.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
Generally Accepted Principles (GAP) for Business Continuity.	Good Practice	DRJ (Disaster Recovery Journal) Editorial Advisory Board	<p>Professional practice including developing business continuity management strategies and other contingency planning measures.</p> 	http://www.drj.com/GAP/gap.pdf
DRI International : “Ten Professional Practices for Business Continuity Professionals”	Good Practice	DRII (Disaster Recovery Institute International)	<p>Professional practice guidance for developing business continuity management strategies and other contingency plans.</p> 	https://www.drii.org/certification/professionalprac.php
ISACA Doc G32	Good Practice	ISACA	<p>Audit guidance for assessing BC plans from the perspective of IT audit and control standards.</p> 	

<p>Business Continuity Planning Committee Best Practice Guidelines (April 2011)</p>	<p>Good Practice</p>	<p>ISIA (International Securities Industry Association)</p>	<p>Presents guidelines that can assist in the establishment of a comprehensive business continuity program. It is not intended to be an outline of a business continuity plan or as a single best approach, but rather it should be viewed as a summary of significant components that an organization may wish to consider when developing a full business continuity program.</p> 	<p>http://www.sifma.org/uploadedfiles/services/bcp/sifma-bc-practices-guidelines2011-04.pdf</p>
<p>COSO Enterprise Risk Management Framework (Sept 2004)</p>	<p>Good Practice</p>	<p>COSO (Committee of Sponsoring Organizations of the Treadway Commission)</p>	<p>Defines essential enterprise risk management components, discusses key ERM principles and concepts, suggests a common ERM language and provides clear direction & guidance for enterprise risk management.</p> 	<p>http://www.coso.org/guidance.htm</p>
<p>Statement on Auditing Standards (SAS) No. 70, Service Organizations</p>	<p>Good Practice</p>	<p>American Institute of Certified Public Accountants (AICPA).</p>	<p>A service auditor's examination performed in accordance with SAS No. 70 ("SAS 70 Audit") is widely recognized, because it represents that a service organization has been through an in-depth audit of their control objectives and control activities, which often include controls over information technology and related processes. Service organizations receive significant value from having a SAS 70 engagement performed.</p> 	<p>http://www.sas70.com/</p>

EBA Guidelines on Internal Governance (GL 44)	Good Practice	European Banking Authority (EBA)	<p>EBA's guidelines aim to strengthen internal governance and control at credit institutions and securities institutions. EBA has focused, for example, on tightening requirements regarding corporate structure; the supervisory authority's role, duties and responsibilities; information and IT systems; continuity planning; and heightened transparency requirements.</p>	https://www.eba.europa.eu/regulation-and-policy/internal-governance/guidelines-on-internal-governance
			<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

ALBANIA

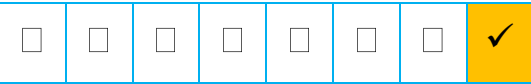
TITLE		AUTHORITY	SUMMARY	LINK
Regulation on Operational Risk Management	Regulation	Bank of Albania (BoA)	<p>Sets out the requirements and rules for the operational risk management in the banking and/or financial industries. In force from 24 February 2011.</p> 	http://www.bankofalbania.org/web/Regulation_On_the_operational_risk_management_6063_2.php?kc=0,28,0,0,0
Law on Electronic Communications	Legislation	Authority of Electronic and Postal Communications (AEPC)	<p>Lays down the principles of the competition and the efficient infrastructure on electronic communications aiming to ensure necessary and appropriate services in Albania. In force from 25 June 2008.</p> <p><i>Chapter XII "Electronic Communications in Special Cases".</i></p> 	http://www.akep.al/informacion/legislacioni/ligjekom-elek-ligji-sherb-postar
National Civil Emergency Plan (NCEP)	Guideline	Council of Ministers	<p>Serves as a comprehensive practical guide and covers in detail all stages of the disaster cycle, including the prevention, mitigation and preparedness phases. In force from 03 December 2004</p> 	http://www.mbrojtjacivile.al/wp-content/uploads/2013/09/National-Civil-Emergency-Plan-of-Albania-2004.pdf

ARGENTINA

TITLE		AUTHORITY	SUMMARY	LINK
Requisitos mínimos de gestión, implementación y control de los riesgos relacionados con tecnología informática y sistemas de información – Communication A4609	Regulation	Central Bank of Argentina	Standard about " Minimum Management Requirements, Implementation and Control Related Information Technology, Information Systems and associated facilities for financial institutions' 	http://www.bcra.gov.ar/pdfs/texord/texord_viejos/v-rmsist_12-12-11.pdf
BCI Good Practice Guidelines 2013 (Spanish)	Good Practice	BCI	Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the	http://www.thebci.org/index.php/resources/the-good-practice-guidelines



AUSTRALIA




TITLE		AUTHORITY	SUMMARY	LINK
Protective Security Framework – June 2010 <i>Approved June 2010</i> <i>Amended July 2015</i>	Legislation	Australian Government Attorney General's Department (AGD)	Applies to all Australian Government Agencies and mandates BCM for all agencies. 	https://www.protectivesecurity.gov.au/ExecutiveGuidance/Documents/ProtectiveSecurityPolicyFrameworkSecuringGovernmentBusinesses.pdf
APRA Prudential Standard CPS 232 Business Continuity Management	Regulation	Australian Prudential Regulation Authority (APRA)	APRA regulation for BCM used by ADIs, General Insurance and Life Insurance	http://www.apra.gov.au/CrossIndustry/Documents/Prudential%20Standard%20C

January 2015			<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	PS%20232%20Business%20Continuity%20Management.pdf
APRA Prudential Standard CPS 220 Risk Management January 2015	Regulation	Australian Prudential Regulation Authority (APRA)	APRA Risk Management Regulation <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/CrossIndustry/Documents/Final-Prudential-Standard-CPS-220-Risk-Management-(January-2014).pdf
APRA Prudential Standard CPS 231 Outsourcing January 2015	Regulation	Australian Prudential Regulation Authority (APRA)	Outsourcing, regulation for BCM used by ADIs, General Insurance and Life Insurance. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/CrossIndustry/Documents/Prudential%20Standard%20CPS%20231%20Outsourcing.pdf
APRA Prudential Standard SPS 232 Business Continuity Management November 2012	Regulation	Australian Prudential Regulation Authority (APRA)	Applies to all Registrable Superannuation Entity (RSE) licensees <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/Supper/PrudentialFramework/Documents/Final-SPS-232-BCM-November-2012.pdf
APRA Prudential Practice Guide SPG 200 Risk Management August 2010	Good Practice	Australian Prudential Regulation Authority (APRA)	The purpose of this Prudential Practice Guide (PPG) is to assist Registrable Superannuation Entity (RSE) licensees and their directors in complying with provisions relating to risk management frameworks and, more generally, to outline sound practices in relation to this particular area of a licensee's superannuation operations. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/Supper/PrudentialFramework/Documents/SPG-200-Risk-Management.pdf
APRA Prudential Practice	Good Practice	Australian Prudential	This PPG aims to assist regulated institutions in	http://www.apra.gov.au/CrossI

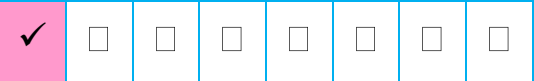
Guide CPG 233 Pandemic Planning <i>May 2013</i>		Regulation Authority (APRA)	considering and prudently managing the risks posed by a potential influenza pandemic, or any other widespread outbreak of contagious disease that could affect their operations <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	industry/Documents/Prudential-Practice-Guide-CPG-233-Pandemic-Planning-May-2013.pdf
APRA Prudential Practice Guide - CPG 234 – Management of security risk in information and information technology <i>May 2013</i>	Good Practice	Australian Prudential Regulation Authority (APRA)	This PPG aims to assist regulated institutions in the management of security risk in information and information technology (IT) . <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/CrossIndustry/Documents/Prudential-Practice-Guide-CPG-234-Management-of-Security-Risk-May-2013.pdf
APRA Prudential Practice Guide CPG 235 Managing Data Risk. <i>September 2013</i>	Good Practice	Australian Prudential Regulation Authority (APRA)	This PPG aims to assist regulated entities in managing data risk. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/CrossIndustry/Documents/Prudential-Practice-Guide-CPG-235-Managing-Data-Risk.pdf
APRA Prudential Standard CPS 510. Governance <i>January 2015</i>	Regulation	Australian Prudential Regulation Authority (APRA)	APRA Regulation on Good Governance used by ADIs, General Insurance and Life Insurance. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.apra.gov.au/CrossIndustry/Documents/Final-Prudential-Standard-CPS-510-Governance-(January-2014).pdf
Australian Financial Markets Association (AFMA) Code of Conduct Guidelines	Good Practice	Australia Financial Markets Association	These Guidelines are intended to assist AFMA Members in their understanding and application of the AFMA Code of Conduct and the Ethical Principles. See section 1, for their guideline on "Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP) Testing"	http://www.afma.com.au/afmawr/assets/main/LIB90010/Code%20of%20Conduct%20-%20GUIDELINES.pdf

				
AS/NZS 5050:2010 Business continuity - Managing disruption-related risk	Standard	Standards Australia	<p>Provides a generic guide for Business continuity - Managing disruption-related risk. It may be applied to a wide range of activities or operations of any public, private or community enterprise, or group.</p> 	http://infostore.saiglobal.com/store/details.aspx?ProductID=1409610
AS 3745-2010/Amdt 1-2014 Planning for emergencies in facilities AS 3745-2010/Amdt 1-2014	Standard	Standards Australia	<p>Planning for emergencies in facilities</p> 	http://infostore.saiglobal.com/EMEA/Details.aspx?ProductID=1724114
Business Continuity Management Handbook HB 221:2004	Good Practice	Standards Australia	<p>Information security risk management guidelines</p> 	http://infostore.saiglobal.com/EMEA/Details.aspx?ProductID=568847
A Practitioner's Guide to Business Continuity Management HB 292-2006	Good Practice	Standards Australia	<p>This Guide provides an overview of selected 'generally accepted practices' and emerging new practices used variously within Australasia, USA and UK. BCM practice is such that approaches that work well in one organization may be wholly inappropriate for a different organization. Extreme care therefore needs to be taken in deciding what and how aspects of BCM will be implemented within an organization.</p> 	http://infostore.saiglobal.com/EMEA/Details.aspx?ProductID=568883

<p>Executive guide to business continuity management HB 293:2006</p>	<p>Good Practice</p>	<p>Standards Australia</p>	<p>Provides senior management with an overview of the key concepts and processes that are required to implement and maintain an integrated, robust business continuity management program.</p> 	<p>http://infostore.saiglobal.com/EMEA/Details.aspx?ProductID=568884</p>
<p>Australia: Financial Safety Net and Crisis Management Framework</p>	<p>Report</p>	<p>International Monetary Fund (IMF)</p>	<p>IMF report on crisis management in the financial sector</p> 	<p>http://www.apra.gov.au/AboutAPRA/Publications/Documents/Financial%20Safety%20Net%20and%20Crisis%20Management%20Framework%20%E2%80%93%20Technical%20Note%20%E2%80%93%20November%202012.pdf</p>
<p>Business Continuity Management, Building Resilience in Public Sector Entities <i>(Updates planned 2016)</i></p>	<p>Good Practice</p>	<p>Australian National Audit Office (ANAO)</p>	<p>Produced following consultation with Australian Government and private sector entities. It is 'presented in a more user-friendly format, and includes contemporary practical advice, case studies and references as well as exploring issues within the business continuity environment that have arisen since the previous ANAO publication'.</p> <p>ANAO states that business continuity management is an essential component of good public sector governance and is part of an entity's overall approach to effective risk management. It says that the guide will be a useful reference document for boards, chief executives and senior management in public</p>	<p>http://www.anao.gov.au/uploads/documents/Business_Continuity_Management_.pdf</p>

			sector entities. 	
AIIMS 2004 - Australian Inter-service Incident Management System	Good Practice	The Australasian Inter-Service Incident Management System (AIIMS)	The nationally recognised system of incident management for the nation's fire and emergency service agencies organizational principles and structure used to manage bushfires and other large emergencies (e.g. floods, storms, cyclones etc). 	
Australian Emergency Manual Series (several volumes) 2013	Good Practice	Emergency Management Australia	Providing guiding principles and practices and skills references in emergency management can assist agencies in creating emergency management plans, programs and activities that are consistent with existing programs and policies. 	https://www.emknowledge.gov.au/


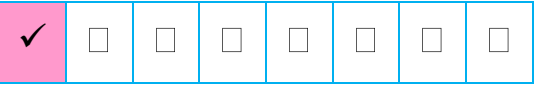


AUSTRIA

TITLE		AUTHORITY	SUMMARY	LINK
ONR 49000	Standard	Austria National Standards	German language – Risk Management Definitions. 	

ONR 49001	Standard	Austria National Standards	German language – Risk Management. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
ONR 49002-1	Standard	Austria National Standards	German language – Risk Management Guidelines. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
ONR 49002-2	Standard	Austria National Standards	German language – Risk Management Methods. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
ONR 49002-3	Standard	Austria National Standards	German language – Crisis Management & BCM. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
ONR 49003:2008	Standard	Austria National Standards	Qualification Requirements for Crisis Managers. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
BCI Good Practice Guidelines 2013 (German)	Good Practice	BCI	Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles. <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	http://www.thebci.org/index.php/resources/the-good-practice-guidelines

BAHAMAS

TITLE	AUTHORITY	SUMMARY	LINK
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<p>Disaster Preparedness and Response Act 2006</p> <p>Emergency Relief Guarantee Fund Act 1999</p>	<p>Legislation</p>	<p>National Emergency Management Agency (NEMA)</p>	<p>NEMA is the government agency of the Commonwealth of The Bahamas. It is responsible for all disaster planning and related legislation and guidance, particularly related to hurricanes.</p> 	<p>http://faolex.fao.org/docs/pdf/bha112237.pdf</p>
<p>PU19-0406 - Supervisory and Regulatory Guidelines – Business Continuity 1st May 2007</p>	<p>Regulation</p>	<p>The Central Bank of the Bahamas</p>	<p>The directives apply to all commercial banks (domestic or foreign) operating in all territories of the Bahamas. They are based upon the Basel Committee’s Joint Forum “High Level Principles.”</p> 	
<p>BCM Standards</p>	<p>Standard</p>	<p>The Bahamas tend to use North American standards rather than British or ISO equivalents</p>	<p>A number of banks are Canadian owned and their BCM policy is influenced by the Canadian standard CAN/CSA-Z 731-03.</p> 	
<p>Guidelines provided by NEMA (printed and downloadable from NEMA website)</p>	<p>Good Practice</p>	<p>NEMA</p>	<p>Family Disaster Plan / Disaster Supplies Kit / Shelter Information / Mobility Checklists / Pets in Disasters.</p> 	

BARBADOS

TITLE		AUTHORITY	SUMMARY	LINK
Operational Risk Guidelines, June 2007 Emergency Relief Guarantee Fund Act 1999	Regulation	The Central Bank of Barbados	The guidelines apply to all commercial banks operating in Barbados. They are based upon the Basel Committee’s Joint Forum “High Level Principles.” <div style="display: flex; border: 1px solid black; padding: 2px;"> <div style="background-color: #f08080; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">✓</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> </div>	

BELGIUM





TITLE		AUTHORITY	SUMMARY	LINK
Additional prudential expectations regarding operational business continuity and security of systemically important financial institutions	Regulation	Belgium National Bank	Expectations of the National Bank of Belgium (NBB) regarding operational business continuity and security for financial institutions. <div style="display: flex; border: 1px solid black; padding: 2px;"> <div style="background-color: #f08080; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">✓</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> <div style="width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">□</div> </div>	https://www.nbb.be/doc/cp/eng/sfi/20151218_nbb_2015_32.pdf

Circular PPB-2006-1-CPA	Regulation	Belgium National Bank	<p>Sound management practices in outsourcing for insurance companies.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	https://www.nbb.be/doc/cp/fr/vo/circ/pdf/ppb_2006_1_cpa_circular.pdf
Press Release	Regulation	Belgium National Bank	<p>Recommendations of the Financial Stability Committee on business continuity planning</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	https://www.nbb.be/doc/ts/enterprise/press/2004/n/cpcfs041020nl.pdf
Circular PPB 2004/5	Regulation	Belgium National Bank	<p>sound management practices in outsourcing by credit institutions and investment firms</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	https://www.nbb.be/doc/cp/fr/ki/circ/pdf/ppb_2004_5_circular.pdf



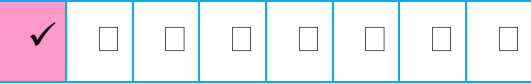
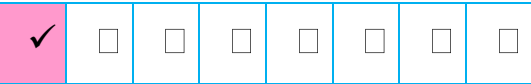
Circular PPB/D.256	Regulation	Belgium National Bank	Circular regarding sound management practices to ensure business continuity financial institutions	https://www.nbb.be/doc/cp/fr/vo/circ/pdf/ppb_d_256.pdf
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BRAZIL

TITLE		AUTHORITY	SUMMARY	LINK
NBR15999-1: Gestão de continuidade de negócios - Parte 1: Código de prática	Regulation	ABNT (Associação Brasileira de Normas Técnicas)	Brazilian Portuguese straight translation of the English standard BS 25999-1 Business continuity management. Code of practice. <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	

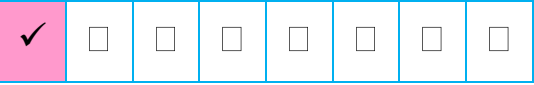
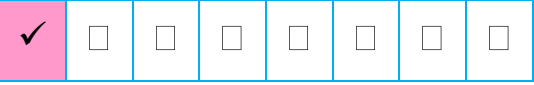
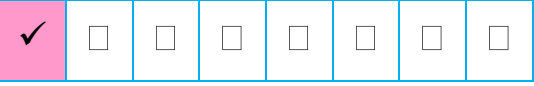


<p>NBR15999-2: Gestão de continuidade de negócios - Parte 2: Requisitos</p>	<p>Regulation</p>	<p>ABNT (Associação Brasileira de Normas Técnicas)</p>	<p>Brazilian Portuguese straight translation of the English standard BS 25999-2. Specification for business continuity management.</p> 	
<p>NBR ISO/IEC24762: Tecnologia da informação Técnicas de segurança - Diretrizes para os serviços de recuperação após um desastre na tecnologia da informação e de comunicação</p>	<p>Regulation</p>	<p>ABNT (Associação Brasileira de Normas Técnicas)</p>	<p>Brazilian Portuguese straight translation of the ISO standard 24762 - Information technology -- Security techniques -- Guidelines for information and communications technology disaster recovery services.</p> 	
<p>NC nº06/IN01/DSIC/GSIPR – Gestão De Continuidade de Negócios</p>	<p>Standard</p>	<p>Institutional Security Cabinet – Information Security and Communication Department</p>	<p>Establishing guidelines for BCM, in the bodies and entities of Federal Public Administration.</p> 	
<p>BCI Good Practice Guidelines 2013 (Portuguese)</p>	<p>Good Practice</p>	<p>BCI</p>	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	<p>http://www.thebci.org/index.php/resources/the-good-practice-guidelines</p>

CANADA


TITLE		AUTHORITY	SUMMARY	LINK
Emergency Management & Civil Protection Act 1990 Chapter E.9	Legislation	Canadian Government	Defines the legal framework and powers available for dealing with a national emergency. 	
Emergency Management & Civil Protection Act – Ontario Regulation	Legislation	Ontario Regional Government	A bilingual regulation, detailing ministerial responsibilities and how Continuity of Operations Plans will operate. 	
IDA By-Law 17.19 – Business Continuity Plan Requirement	Regulation	OSC (Ontario Securities Commission)	The purpose of the proposed by-law is to require each IDA member to establish and maintain a business continuity plan, such that the member can stay in business in the event of a significant business disruption and can meet obligations to its customers and other capital markets counterparts. 	http://www.osc.gov.on.ca/MarketRegulation/SRO/ida/rr/srr-ida_20050107_not-pro-bylaw-17-19.pdf
Letter March 2006	Regulation		Letter to Federally Regulated Financial Institutions and Insurance Companies in March 2006. 	

CAN/CSA-Z 731-03	Standard	CSA (Canadian Standards Association)	Canada's emergency preparedness and response standards. 	http://www.techstreet.com/standards/CAN_CSA/Z731_03?product_id=1270242
CSA Z1600-08	Standard	CSA (Canadian Standards Association)	Canadian standard for integrating business continuity and emergency management programmes, based on NFPA 1600. 	
Information Technology Control Guidelines	Good Practice	Canadian Institute of Chartered Accountants	Crisis Management for Directors. 	http://www.cica.ca/applyin-g-the-standards/canadian-standards-on-quality-control/index.aspx
Government of Saskatchewan Business Continuity Guide	Good Practice	Government of Saskatchewan	Business Continuity Guidelines. 	

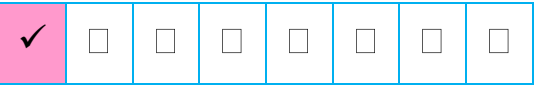

CHINA

TITLE		AUTHORITY	SUMMARY	LINK
Guidelines on Financial Innovation of Commercial Banks, Article 23	Regulation	China Banking Regulatory Commission		
Law of the People’s Republic of China on Banking Regulation and Supervision, Article 29	Regulation	China Banking Regulatory Commission		
Provisional Administrative Rules governing derivatives activities of financial institutions, Articles 10 & 16	Regulation	China Banking Regulatory Commission		
Use of ISO, ANSI or BS standards in use by international firms based in China.	Standard			
BCI Good Practice Guidelines 2013 (Mandarin)	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines

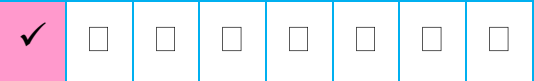
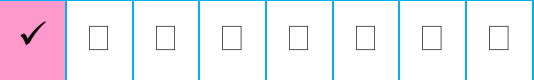
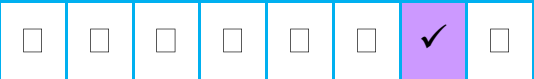


DENMARK



TITLE		AUTHORITY	SUMMARY	LINK
DS 3001:2009 Organisatorisk Robusthed	Standard	Dansk Standard	<p>This standard is an exact translation of ASIS Standard SPC.1-2009 – Organizational Resilience.</p> 	

FRANCE



TITLE		AUTHORITY	SUMMARY	LINK
CRBF Regulation 97-02 <i>(Amended by Regulation 2004-02)</i>	Regulation	EU references	<p>International control for credit institutions.</p> 	http://www.banque-france.fr
BCI Good Practice Guidelines 2013 (French)	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines


GERMANY

TITLE		AUTHORITY	SUMMARY	LINK
MaRisk (for banks)	Regulation	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Office of Financial Service Regulations)	National version of the rules of Basel II, includes a passage on contingency planning. 	
MaRisk VA (for insurance companies)	Regulation	Bundesanstalt für Finanzdienstleistungsaufsicht (Federal Office of Financial Service Regulations)	National version of the rules of Solvency II, includes a passage on contingency planning. 	
IT Baseline Protection Manual	Good Practice	Federal Government	IT Grundschutzhandbuch – English & German versions available. 	
Pandemic Planning Handbook: 2007	Good Practice	Federal Government	Handbuch Pandemieplanung – only German version. 	
BSI 100-4	Good Practice	Federal Office for Information Security	Business Continuity Management – Versions in German and English. 	


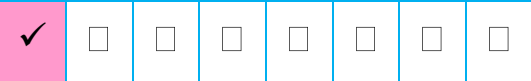
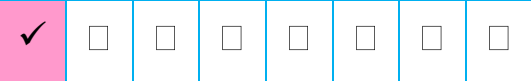
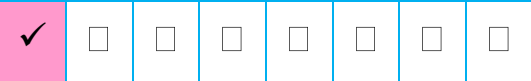
Protecting Critical Infrastructures – Risk and Crisis Management	Good Practice	Federal Ministry of the Interior	<p>A guide for companies and government authorities.</p> 	www.bmi.bund.de
BCI Good Practice Guidelines 2013 (German)	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines

GREECE

TITLE		AUTHORITY	SUMMARY	LINK
<p>Framework of Operational Principles and Criteria for the Evaluation of the Organization and Internal Control Systems of Credit and Financial Institutions and Relevant Powers of their Management bodies</p>	<p>Regulation</p>	<p>Bank of Greece</p>	<p>Framework of operational principles and criteria for the evaluation of the organization and Internal Control Systems of credit and financial institutions and relevant powers of their management bodies.</p> <p>In force from: 09 March 2006 <i>Annex 2 Operational Risk management principles for information systems in financial institutions, Section C4: Business continuity and disaster recovery plans</i></p> 	<p>http://www.bankofgreece.gr/BogDocumentEn/GA.BG2577-9.03.2006_Annex_2_Operational_Risk_management_principles_for_information_systems_in_financial_institutions.pdf</p>
<p>Secrecy Assurance Regulations for Telecommunication Services</p>	<p>Regulation</p>	<p>Hellenic Authority for Communication Security and Privacy</p>	<p>Regulatory framework for Organizations providing telecom services to retail or corporate clients. An internal control framework is defined for certain aspects of IT operations for the IT systems supporting telecom operations.</p> <p>Article 4: Business Impact Analysis Article 5: Risk Analysis Article 6: Business Continuity Article 10: Contingency</p> 	<p>http://www.adae.gr/fileadmin/docs/nomoi/kanonismoj/Kanonismos_FEK_1742_B_15_07_2013_asfaleia_akeraitita_ADAE_205_2013.pdf</p>


<p>BCI Good Practice Guidelines 2013 (Greek)</p>	<p>Good Practice</p>	<p>BCI</p>	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	<p>http://www.thebci.org/index.php/resources/the-good-practice-guidelines</p>
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HONG KONG

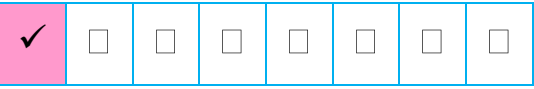
TITLE		AUTHORITY	SUMMARY	LINK
Personal Data (Privacy) Ordinance	Legislation	Office of the Privacy Commissioner for Personal Data – the Government of the Hong Kong Special Administrative Region	<p>The purpose of the Ordinance is to protect the privacy interests of living individuals in relation to personal data. It also contributes to Hong Kong’s continued economic well-being by safeguarding the free flow of personal data.</p> 	http://www.pco.org.hk/english/ordinance/ordglance.html
Business continuity planning supervisory policy manual – TM-G-2	Regulation	The Hong Kong Monetary Authority	<p>Sets out the HKMA’s latest supervisory policies and practices, the minimum standards authorised institutions (AI’s) are expected to attain in order to satisfy the requirements of the Banking ordinance and recommendations on best practices.</p> 	http://www.hkma.gov.hk/media/eng/doc/key-functions/banking-stability/supervisory-policy-manual/TM-G-2.pdf
Circular to licensed corporations – “Business continuity planning against serious communicable diseases”	Regulation	Securities and Futures Commission of Hong Kong	<p>Circular to remind licensed persons to take precautions against a re-occurrence of SARS or other serious communicable diseases.</p> 	http://www.sfc.hk/web/EN/published-resources/business-continuity/
HKMA Supervisory Policy Manual, BCP TM-G-2, V1, 02.12.02	Regulation	The Hong Kong Monetary Authority	<p>Enforced by onsite examinations, requires need for BCP documentation and testing at least annually, planning for different scenarios and prolonged outages.</p> 	

<p>HKMA Supervisory Policy Manual, General Principles for Technology Risk Management TM-G-1, V.1, 24.06.03</p>	<p>Regulation</p>	<p>The Hong Kong Monetary Authority</p>	<p>Refers to TM-G-2 on BCP on the need to provide continuous and /or alternative services. To provide authorised institutions (AIs) with guidance on general principles which AIs are expected to consider in managing technology-related risks. Section 3.1.4 discusses "adequate off-site back-up and contingency arrangements". In section 2.6, policies, procedures or service agreements of between AIs and the overseas offices (e.g. parent banks, subsidiaries, head offices or other regional offices of the same banking group) with regard to certain IT controls or support activities. Section 7.1.1 includes "should develop a contingency plan for critical outsourced technology services to protect them from unavailability of services due to unexpected problems of the technology service provider."</p> <div data-bbox="1088 833 1624 917"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<p>http://www.hkma.gov.hk/media/eng/doc/key-information/guidelines-and-circular/2003/tm-g-1.pdf</p>
<p>HKMA Supervisory Policy Manual, Supervision of E-Banking TM-E-1, V.1, 17.02.04</p>	<p>Regulation</p>	<p>The Hong Kong Monetary Authority</p>	<p>Refers to TM-G-2 on BCP on the need to provide continuous and /or alternative services.</p> <div data-bbox="1088 1013 1624 1098"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<p>http://www.hkma.gov.hk/media/eng/doc/key-functions/banking-stability/supervisory-policy-manual/TM-E-1.pdf</p>

IT Security Guidelines – G3	Regulation	Information Technology Services Dept. – The Government of the Hong Kong Special Administrative Region	<p>Introduces general concepts relating to IT Security and elaborates interpretations on the Baseline IT Security policy. It also provides some guidelines and considerations in defining security requirements.</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/></p>	http://www.ogcio.gov.hk/en/infrastructure/methodology/security_policy/
Management, Supervision and Internal Control Guidelines (“the Internal Control Guidelines”)	Regulation	Securities and Futures Commission of Hong Kong	<p>A licensed or registered person should have internal control procedures and financial and operational capabilities which can be reasonably expected to protect its operations, its clients and other licensed or registered persons from financial loss arising.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	http://en-rules.sfc.hk/en/display/display_main.html?rbid=3527&element_id=162
No specific standards for Hong Kong or Macau. Use of ISO, ANSI or BS standards is common by international firms	Standard		<p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
Guidance Note on the Use of internet for Insurance activities (GN8)	Good Practice	Office of the Commissioner of Insurance – The Government of the Hong Kong special Administrative region	<p>To better protect the insuring public and ensuring the healthy development of the industry in the information technology era.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	http://www.oci.gov.hk/download/gn8-eng.pdf

BCI Good Practice Guidelines 2013 (Mandarin)	Good Practice	BCI	<p>Versions in both English and Mandarin. Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
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INDIA

TITLE		AUTHORITY	SUMMARY	LINK
Reserve Bank of India Circulars	Regulation	<ol style="list-style-type: none"> Reserve Bank of India (RBI) Securities & Exchange Board of India (SEBI) National Stock Exchange (NSE) Bombay Stock Exchange (BSE) 	<p>RBI/2009-10/108 - National Electronic Funds Transfer (NEFT) System – Business Continuity Plan.</p> <p>RBI/2008-09/495 - IT based systems – Business Continuity and DR Operations.</p> <p>RBI/2004-05/420 - Operational Risk Management - Business Continuity Planning.</p> 	http://www.rbi.org.in/scripts/BS_EntireSearch.aspx?searchString=business%20continuity&strSection=Notifications

Insurance Companies	Regulation	Insurance Regulatory and Development Authority of Government of India (IRDA)	Guidelines for the insurance companies to have robust BCM arrangements. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
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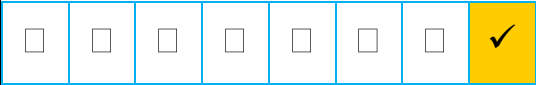

INDONESIA

TITLE		AUTHORITY	SUMMARY	LINK
Regulation No 9/15/PBI/2007	Regulation	Bank Indonesia (Central Bank)	Implementation of Risk Management in the use of information technology by commercial banks. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Regulation no. 6/8/PBI/2004	Regulation	Bank Indonesia (Central Bank)	The Bank Indonesia real time gross settlement system (unofficial translation). <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular Letter No. 9/30/DPNP - Risk Management in the Use of Information Technology by Commercial Banks (March 31st, 2008)	Regulation	Bank Indonesia (Central Bank)	Requires BCP documentation and at least annual testing with focus on Bank Indonesia RTGS system. Requires internal audit to conduct an audit at least annually and provide report to Bank Indonesia. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.bi.go.id/web/en/Peraturan/Perbankan/se_093007.htm

ISRAEL


TITLE		AUTHORITY	SUMMARY	LINK
SI 24001:2007	Standard	Standards Institution of Israel (SIA)	Security and Continuity Management System standard. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

ITALY

TITLE		AUTHORITY	SUMMARY	LINK
Law Decree n. 61 – April 11 th 2011	Legislation	Italian government	<p>Implementation of the European Directive 2008/114/CE on the designation of European Critical Infrastructures and their strategic protection</p> 	http://www.gazzettaufficiale.it/atto/serie_generale/caricaDettaglioAtto/originario?atto.dataPubblicazioneGazzetta=2011-05-04&atto.codiceRedazionale=011G0101&elenco30giorni=false
Art. 34 Law Decree n. 235 – December 30 th 2010	Legislation	Italian government	<p>Modifications and integrations to the Art. 50-bis Law Decree n. 82 – March 7th 2005 (Codice di Amministrazione Digitale/Digital Administration Code)</p> 	http://archivio.digitpa.gov.it/sites/default/files//CAD_DECRETO_LEGISLATIVO_30_dicembre_2010.pdf
Minister Decree n. 269 – December 1 st 2010	Legislation	Italian government	<p>Minimal requirements for organizational and quality standards of security & surveillance companies as critical providers to many sectors.</p> 	http://www.prefettura.it/FILES/AllegatiPag/1183/Decreto%20Ministro%20Interno%201122010.pdf

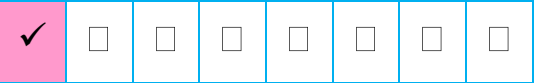


Law Decree n. 81 – April 9 th 2008	Legislation	Italian government	Act on Health & Safety on workplace 	http://www.lavoro.gov.it/SicurezzaLavoro/MS/Normativa/Documents/TU%2081-08%20-%20Ed.%20Settembre%202015.pdf
Law Decree n. 196 – June 30 th 2003	Legislation	Italian government	Code on Personal Data and Sensitive Information Protection 	http://www.garanteprivacy.it/web/guest/home/docweb/-/docweb-display/export/1311248
Law Decree n. 231 – June 8 th 2001	Legislation	Italian government	Act on Administrative Responsibilities of corporations 	http://www.camera.it/parlam/leggi/deleghe/01231dl.htm
Bank of Italy Circular n. 285 – December 17 th 2013 (First Part - Title IV - Chapter 5)	Regulation	Bank of Italy	General recommendation on Business Continuity for banks with further specifications for Systemically Important Financial Institutions. 	https://www.bancaditalia.it/compiti/vigilanza/normativa/archivio-norme/circolari/c285/Circ_285_14_Aggto_Testo_Integrale_segnaibri.pdf
ISO 22301:2012 -- Societal Security -- Business Continuity Management Systems -- Requirements	Standard	ISO	International Standard on Business Continuity 	http://www.iso.org/iso/catalogue_detail?csnumber=50038

ISO 22313:2012 -- Societal Security -- Business Continuity Management Systems -- Guidance	Standard	ISO	International Standard on Business Continuity 	http://www.iso.org/iso/catalogue_detail?csnumber=50050
ISO 22317:2015 -- Societal Security -- Business Continuity Management Systems -- Guidelines for Business Impact Analysis (BIA)	Standard	ISO	International Standard on Business Impact Analysis 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=50054
ISO 22318:2015 -- Societal Security -- Business Continuity Management Systems -- Guidelines for Supply Chain Continuity	Standard	ISO	International Standard on Supply Chain Continuity Management 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=65336
UNI 10459:2015 – February 12 th 2015	Standard	ISO	Requirements for Security Officers 	http://store.uni.com/magento-1.4.0.1/index.php/uni-10459-2015.html
UNI PdR 6:2014 – February 12 th 2015	Standard	ISO	Requirements for Resilience Management Systems in Critical Infrastructures 	http://catalogo.uni.com/pdr/pub/uni_pdr_6_2014.pdf

BCI Good Practice Guidelines 2013 (Italian version)	Good Practices	BCI	The Good Practice Guidelines (GPG) are the independent body of knowledge for good Business Continuity practice worldwide 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
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JAPAN

TITLE		AUTHORITY	SUMMARY	LINK
Business Continuity at Bank of Japan	Regulation	BOJ (Bank of Japan)	<p>The Bank develops and continually revises business continuity plans for functions such as circulation of banknotes and operation of payment and settlement systems, in order to carry out its responsibilities in times of disaster. The Bank trains its staff and conducts emergency drills on a regular basis to ensure a timely and appropriate response.</p> <p>The Bank also coordinates with relevant parties for effective business continuity planning at payment and settlement systems, at the market level, and in the financial system as a whole. For example, the Bank tests contingency procedures with market participants and with related administrative institutions, based on various scenarios including large-scale earthquakes.</p> <div data-bbox="1093 890 1624 970"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	http://www.boj.or.jp/en/about/bcp/

<p>Manual for the Development of Contingency Plans in Financial Institutions: Japan FSA</p>	<p>Regulation</p>	<p>FISC (The Centre for Financial Industry Information System)</p>	<p>Audit considerations:</p> <ul style="list-style-type: none"> • Appointment of BCP Manager • Implementation of policy & standard • Proper documentation • Regular review of plan • Corporate-wide testing at least annually • Planning for different scenarios 	
<p>ISO 22301. ISO standards are well-accepted and might become incorporated into corporate law.</p>	<p>Standard</p>	<p>JIPDEC (Japanese Information Processing Development Corporation).</p>	<p>JIPDEC accredits certification bodies who certify against ISO 22310.</p> 	
<p>BCI Good Practice Guidelines 2013 (Japanese)</p>	<p>Good Practice</p>	<p>BCI</p>	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	<p>http://www.thebci.org/index.php/resources/the-good-practice-guidelines</p>

KAZAKHSTAN

TITLE		AUTHORITY	SUMMARY	LINK
Government Regulation as of 30 Sept 2005. Instruction #359.	Regulation	Financial Control Agency of Kazakhstan (local name АФН)	<p>Requirements for the Risk and Internal Audit of Commercial banks to have adequate management system in place, covering all kinds of risks. Business Continuity is mandatory to be properly documented, approved by Board of Directors, tested. Walkthrough scenario is to be conducted on monthly basis and reported respectively to the Regulatory body.</p> <div data-bbox="1088 549 1621 632"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
Monetary Policy Guidelines of the Republic of Kazakhstan 2014	Regulation	National Bank. Republic of Kazakhstan	<p>To define the requirements for the formation of the bank's risk management systems, internal controls to ensure the implementation of effective control by the board of directors of the bank for the bank's activities and its financial condition.</p> <div data-bbox="1088 890 1621 973"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	http://www.nationalbank.kz/cont/publish169022_24039.DOC

KENYA

TITLE		AUTHORITY	SUMMARY	LINK
Central Bank (CBK) Prudential Guidelines on BCM for Institutions Licenced under Banking Act.	Regulation	The Central Bank of Kenya	Guidance note TM-G-2 requires all licenced institutions to implement and maintain a BCP. It is based upon the Basel Committee’s Joint Forum “High Level Principles.” <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	

LATVIA

TITLE		AUTHORITY	SUMMARY	LINK
BCM provision for Payment and Securities Settlement Systems in Latvia.	Regulation	Latvijas Banka (Bank of Latvia)	It is based upon the Basel Committee’s Joint Forum “High Level Principles.” <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	

MALAYSIA



TITLE		AUTHORITY	SUMMARY	LINK
BNM/RH/GL013-3 Guidelines on BCM for Banking Institutions – July 2008	Regulation	Bank Negara Malaysia (BNM) – Central Bank of Malaysia	<p>Outlines and enforces minimum BCM requirements on the institution so as to ensure the continuity of critical business functions and essential services within a specified timeframe in the event of a major disruption.</p> <div data-bbox="1088 453 1621 536"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
Guidelines on Management of IT Environment BNM/RH/GL/ 013-3	Regulation	Bank Negara Malaysia (BNM) – Central Bank of Malaysia	<p>Outlines minimum responsibilities and requirements for planning and managing, as well as establishing preventive and detective measures that should be implemented by institutions to mitigate the risks pertaining to IT environment.</p> <div data-bbox="1088 798 1621 880"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	http://www.calamityprevention.com/links/FCP_copy_Bank_Negara_Malaysia_BCM_Guidelines_2008.pdf
MS1970:2007	Standard	Malaysian Standards	<p>Business Continuity Management high-level framework.</p> <div data-bbox="1088 973 1621 1056"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
Draft Malaysian Standard 2- Business Continuity Framework - 2006	Standard	Malaysian Standards	<p>This Malaysian Standard was developed by the Working Group on Business Continuity Management under the authority of the Information Technology, Telecommunication and Multimedia Industry Standards Committee.</p> <div data-bbox="1088 1276 1621 1359"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	http://www.calamityprevention.com/links/Draft_Malaysian_SIRIM_BCM_standard_Aug_2006.pdf

MALTA

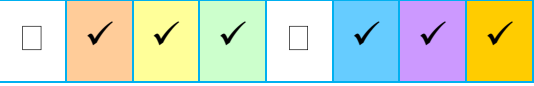

TITLE		AUTHORITY	SUMMARY	LINK
Guidelines on Business Continuity and Contingency Procedures.	Regulation	The Central Bank of Malta	Directive No 6: Harmonised Conditions for Participation in Target2-Malta. Appendix IV, 2008. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	




NETHERLANDS

TITLE		AUTHORITY	SUMMARY	LINK
Additional prudential expectations regarding operational business continuity and security of systemically important financial institutions	Regulation	Belgium National Bank	DNB BCM Benchmark Standard for Institutions belonging to the Financial Key Infrastructure of NL. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.dnb.nl/en/binaries/DNB%20Assessment%20Framework%20Business%20Continuity%20version%202011_tcm47-253700.PDF
Assessment Framework for Financial Core Infrastructure – Business Continuity Management: May 2011	Regulation	De Nederlandsche Bank NV	A BCM framework for banks regulated in The Netherlands. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
BCM principles and requirements for the Dutch financial sector and its providers. September 2011.	Regulation	De Nederlandsche Bank NV	For all financial institutions operating in The Netherlands. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

NEN 7131:2010 Organizational Resilience	Standard	NEN (Dutch Standards Authority)	This standard is an exact translation of ASIS Standard SPC.1-2009 – Organizational Resilience. 	
CIP in The Netherlands – The Dutch Approach. March 2004	Guidelines	Ministry of the Interior – The Netherlands	This is based on EU Guidelines for Critical National Infrastructure Protection. 	

NEW ZEALAND

TITLE		AUTHORITY	SUMMARY	LINK
The Civil Defence & Emergency Management Act (2002)	Legislation	Ministry of Civil Defence and Emergency Management	The purpose of this Act is to improve and promote the sustainable management of hazards in a way that contributes to the social, economic, cultural, and environmental well-being and safety of the public and also to the protection of property; and encourage and enable communities to achieve acceptable levels of risk. 	http://www.civildefence.govt.nz/memwebsite.NSF/Files/CDEMAct/\$file/Civil%20Defence%20Emergency%20Management%20Act%202002.pdf
AS/NZS 5050:2010 Business continuity - Managing disruption-related risk	Standard	NZ Standards - with Standards Australia	Provides a generic guide for Business continuity - Managing disruption-related risk. It may be applied to a wide range of activities or operations of any public, private or community enterprise, or group. 	http://infostore.saiglobal.com/store/details.aspx?ProductID=1409610

<p>HB 221:2004 Business Continuity Management Handbook</p> <p><i>(Probably superseded but requires further verification)</i></p>	<p>Good Practice</p>	<p>NZ Standards - with Standards Australia</p>	<p>Sets out a definition and process for business continuity management, and provides a workbook that may be used by organizations to assist in implementation.</p> <p>Sets out the principles and guidance that the Commission expects companies listed on the NZ Stock Exchange to follow for Business Continuity Management and establishing a Business Continuity Plan.</p> 	<p>http://infostore.saiglobal.com/store/Details.aspx?ProductID=1378670</p>
<p>AS/NZS ISO 31000:2009</p>	<p>Standard</p>	<p>NZ Standards - with Standards Australia</p>	<p>Provides a generic guide for Risk management - Principles and guidelines. It may be applied to a wide range of activities or operations of any public, private or community enterprise, or group.</p> 	
<p>New Zealand Coordinated Incident Management System (CIMS), 2nd Edition</p>	<p>Good practice</p>	<p>Ministry of Civil Defence and Emergency Management</p>		<p>http://www.civildefence.govt.nz/resources/new-zealand-coordinated-incident-management-system-cims-2nd-edition/</p>

PAKISTAN

TITLE		AUTHORITY	SUMMARY	LINK
Risk Management Guidelines for Commercial Banks and DFIs 5.10.1	Good Practice	State Bank of Pakistan (SBP)	<p>Banks should have in place contingency and business continuity plans to ensure their ability to operate as going concerns and minimize losses in the event of severe business disruption. The State Bank requires all licenced institutions to implement and maintain a BCP. It is based upon the Basel Committee’s Joint Forum “High Level Principles.”</p> <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	http://www.sbp.org.pk/about/riskmgm.pdf
Guidelines on Business Continuity Planning, BSD Circular No. 13 of 2004	Good Practice	State Bank of Pakistan (SBP)	<p>Guidelines on Business Continuity Planning. They are based upon the Basel Committee’s Joint Forum “High Level Principles.”</p> <div style="border: 1px solid black; display: flex; padding: 2px;"> ✓ □ □ □ □ □ □ □ </div>	http://www.calamityprevention.com/links/Pakistan_BCP_BSD_Circular_No.13_of_2004.pdf

PALESTINE

TITLE		AUTHORITY	SUMMARY	LINK
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Business Continuity Management Regulation (instruction no. 2/2009)	Regulation	Palestine Monetary Authority	Regulation for Banks operating in Palestine. This regulation aims at developing a comprehensive management of business continuity life cycle. It is prepared in accordance with Basel committee recommendations and the sound international practices related to business continuity.	
			<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

PERU

TITLE		AUTHORITY	SUMMARY	LINK
Circular No. 139 -2009G	Standard	Supreme Decree	To establish criteria minimum for managing business continuity. This is part of the proper management of operational risk that the supervised company faces.	https://intranet1.sbs.gob.pe/IDXALL/FINANCIERO/DOC/CIRCULAR/PDF/G-139-2009.C.PDF
			<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	

PHILIPPINES

TITLE		AUTHORITY	SUMMARY	LINK
BSP Memorandum (2004) - MAB/NBFIs - Establishment of Back-Up Operation Centers and Data Recovery Sites	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Enforced by audit, requires all banks to set up a disaster recovery facility.	http://www.bsp.gov.ph/regulations/regulations.asp?type=1&id=236
			<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

BSP Circular Letter (2001) - Business Continuity Plan	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Requires a comprehensive and updated business continuity plan as an integral part of the risk management process of all financial institutions. The overall goal of this business continuity plan must be to (1) ensure that there will be minimal disruption of bank operations (2) to minimize financial losses through lost business opportunities or asset deterioration, and (3) to ensure a timely resumption of normal operations. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.bsp.gov.ph/regulations/regulations.asp?type=1&id=669
542 Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Consumer protection for electronic banking. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Back up operation centers and data recovery sites. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Business continuity plan. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Updated business continuity plan. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	


Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Extension of submission of business continuity plan. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular	Regulation	The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Business continuity plan. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
269 Circular		The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	New guidelines concerning electronic banking activities. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
268 Circular		The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Implementing rules and regulations of Sec 55.1 (e) of the General Banking Law 2000. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Circular		The Bangko Sentral ng Pilipinas (BSP) (Central Bank of the Republic of the Philippines)	Year 2000 business continuity/business Resumption contingency planning. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

POLAND

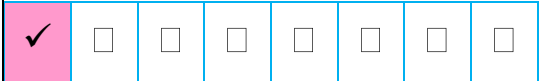
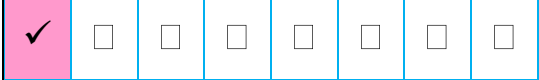
TITLE		AUTHORITY	SUMMARY	LINK
Business Continuity of Payment and Security Settlement Systems infrastructure	Regulation	The National Bank of Poland	Financial institutions to have BCP validated by and submitted to Central Bank. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	


PORTUGAL

TITLE		AUTHORITY	SUMMARY	LINK
Recomendações sobre Gestão da Continuidade de Negócio	Regulation	Comissão Nacional de Supervisores Financeiros (National Commission of Financial Supervisors)	<p>Recommendations on Business Continuity Management issued by CNSF, body responsible for FS supervision, including Bank of Portugal, Portuguese Insurance Institute and Stock Exchange Commission.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
Carta-Circular nº 75/2010/DSB, Gestão de Continuidade de Negócio no sector Financeiro - Recomendações Prudenciais	Regulation	Banco de Portugal (Bank of Portugal)	<p>Prudential recommendations on BCM for Portuguese Banks (adopted from the CNSF BCM recommendations).</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
Aviso do Banco de Portugal nº 5/2008	Regulation	Banco de Portugal (Bank of Portugal)	<p>Risk management and Internal Control systems and development principles for Banks including the development of Business Continuity Plans.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
Norma nº 14 - Princípios para o desenvolvimento de sistemas Gestão de Risco e Controlo Interno em Empresas de Seguros	Regulation	Instituto de Seguros de Portugal (Portuguese Insurance Institute)	<p>Risk management and Internal Control systems. Development principles and technical guidelines for Insurance companies including the development of Business Continuity Plans.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	

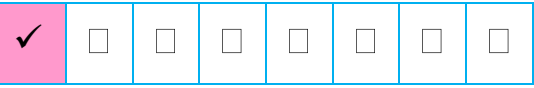
BCI Good Practice Guidelines 2013 (Portuguese)	Good Practice	The BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
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RUSSIA (Russian Federation)

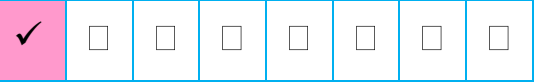
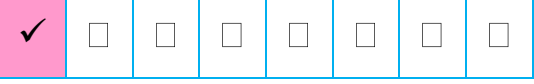


TITLE		AUTHORITY	SUMMARY	LINK
STO BR IBBS-1.0-2010	Regulation	Central Bank of the Russian Federation (STO BR IBBS-1.0-2006)	<p>Standard of Bank of Russia. Information Security of Russian Banking System Entities. Common Regulations.</p> 	
242-P	Regulation	Central Bank of the Russian Federation	<p>Banking internal control regulations.</p> 	http://www.cbr.ru/eng/press/pr.aspx?file=10072014_114556eng2014-07-10T11_40_24.htm


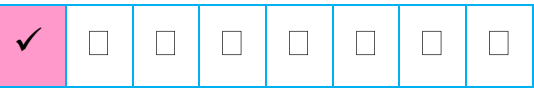
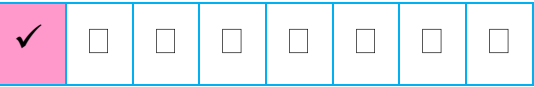
BCI Good Practice Guidelines 2013 (Russian)	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
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RWANDA

TITLE		AUTHORITY	SUMMARY	LINK
Regulation No. 4/2011 on Business Continuity	Regulation	National Bank of Rwanda	<p>To set the minimum requirements for establishing sound and effective business continuity management practices in banks in Rwanda.</p> 	



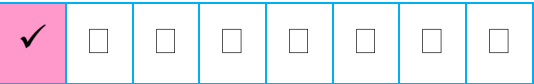
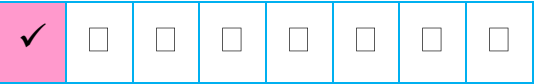
SINGAPORE

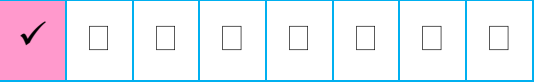


TITLE		AUTHORITY	SUMMARY	LINK
MAS Business Continuity Management Guidelines (June 2003)	Regulation	MAS (Monetary Authority of Singapore)	<p>7 Guiding principles on senior management responsibilities for BCM; embedding BCM into business-as-usual activities, incorporating sound practices, testing BCP regularly, completely and meaningfully; developing Recovery strategies.</p> 	http://www.mas.gov.sg/search?q=business%20continuity%20guidelines
SGX Member Rules Effective 22 January 2009	Regulation	SGX (Singapore Exchange Limited))	<p>Rules requiring SGX member firms to develop robust “Business Continuity Management (BCM)” arrangements.</p> 	
SS 540:2008	Standard	SPRING Singapore (Singapore productivity and innovation)	<p>Specifies requirements for setting up and managing an effective business continuity management system (BCMS).</p> 	
SS507:2004	Standard	SPRING	<p>Standard for business continuity/disaster recovery service providers.</p> 	

BCI Good Practice Guidelines 2013	Good Practice	BCI	<p>English and Mandarin versions of global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
MAS Consultation Paper on Business Continuity Planning (BCP) Guidelines (10 Jan-2003)	Good Practice	MAS (Monetary Authority of Singapore)	<p>Guidelines to encourage adoption of BCP practices by financial institutions in Singapore.</p> <p>Guidelines to help financial institutions to prepare to be aware by establishing a comprehensive business continuity plan.</p> 	
MAS SPRING Singapore BCM Fact Sheet 2006. Further guidance issued 6 th January 2006. Circular SRD BCM 01/2006	Good Practice	MAS (Monetary Authority of Singapore)	<p>Rule 3.5.4(1) requires Clearing Members to maintain adequate business continuity arrangements, and document such arrangements in a business continuity plan.</p> 	


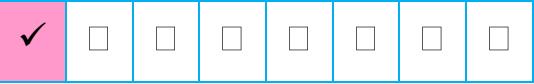
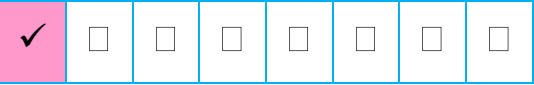
<p>MAS Guidelines on Outsourcing – Section 6.6 BCM (Oct 2004)</p>	<p>Good Practice</p>	<p>MAS (Monetary Authority of Singapore)</p>	<p>Guidelines on ensuring BC preparedness is not compromised by outsourcing; taking steps to evaluate and satisfy itself that interdependency risk arising from the outsourcing arrangement can be adequately mitigated; and assurance on the functionality.</p> <p> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>	<p>http://www.mas.gov.sg/search?q=business%20continuity%20guidelines</p>
<p>Internet Banking and Technology Risk Management Guidelines – 2nd June 2006. Version 3.0.</p>	<p>Good Practice</p>	<p>MAS (Monetary Authority of Singapore)</p>	<p>Guidelines on internet banking and technology.</p> <p> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>	


SOUTH AFRICA

TITLE		AUTHORITY	SUMMARY	LINK
Ministry for Provincial & Local Government Disaster Management Act, 2002	Legislation	Department of Labour (Republic of South Africa)	<p>Disaster Management Act (2002) – an integrated and coordinated disaster management policy that focuses on preventing or reducing the risk of disasters, mitigating the severity of disasters, emergency preparedness, rapid and effective response to disasters and post-disaster recovery; the establishment of national, provincial and municipal disaster management centres and disaster management volunteers.</p> 	www.info.gov.za/view/DownloadFileAction?id=68094
Major Hazard Installation Regulations, 1993	Legislation	Occupational Health & Safety	<p>Talks about emergency plans (“emergency plan” means a plan in writing which, on the basis of identified potential incidents at the installation, together with their consequences, describes how such incidents and their consequences should be dealt with.</p> 	
Public Finance Management Act, 1999 – Draft Treasury Relations	Regulation		<p>No specific mention of BC or DR but “availability of financial information” is included.</p> 	
SAMOS and CLS Business Continuity Procedures – SA Reserve Bank	Regulation	South African Reserve Bank National Payment System Department	<p>Business Continuity Procedures for SA Reserve Bank and participants.</p> 	http://www.resbank.co.za/RegulationAndSupervision/NationalPaymentSystem(NPS)/Documents/Oversight/Oversight.pdf


Banks Act 2007 revision	Regulation	South African Reserve Bank	<p>To provide for the regulation and supervision of the business of public companies taking deposits from the public; and to provide for matters connected therewith.</p> 	http://www.resbank.co.za/RegulationAndSupervision/BankSupervision/BankingLegislation/Pages/BanksAct.aspx
<p>King I Report 1994</p> <p>King II Report – 2002</p>	Standard	King Committee on Corporate Governance	<p>This is a standard for good corporate governance which most companies in South Africa make reference to in their AFS and try to adhere to.</p> 	http://en.wikipedia.org/wiki/King_Committee
BCI Good Practice Guidelines 2013	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines

SOUTH KOREA (Republic of Korea)


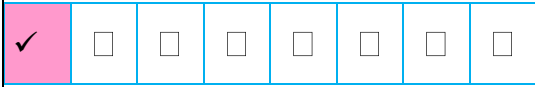
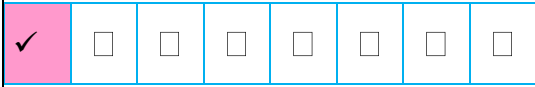
TITLE		AUTHORITY	SUMMARY	LINK
Act on Assistance to the Autonomous Activities of Enterprises for Disaster Mitigation	Legislation	National Emergency Management Agency (NEMA)	<p>To promote BCP and Disaster management for local companies.</p> 	
Korea BCP	Regulation	Financial Supervisory Commission	<p>Recovery of core business (bank, securities, futures) within 3 hours.</p> <p>Need for proper capacity planning.</p> <p>Appropriate access control to DR system.</p> <p>Regular & ad-hoc test requirement.</p> 	
Supervisory Guidelines for BCP	Regulation	New Basel Accord Office, Financial Supervisory Service (FSS)	<p>Governance for BCP (Board and Senior Management, BCP Function, Independent Review Function), Risk Analysis, Business Impact Analysis, BCM Strategy Formulation, Business continuity Plan (BCP) Development, Alternate Sites, Testing.</p> 	

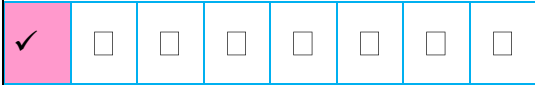


BCI Good Practice Guidelines 2013 (Korean)	Good Practice	BCI	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines
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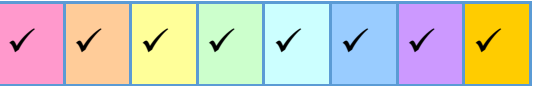


SRI LANKA

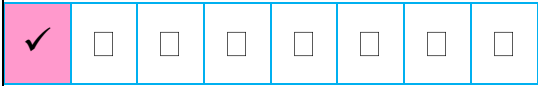
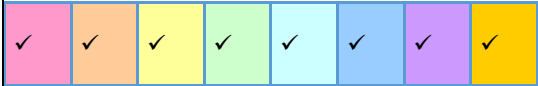

TITLE		AUTHORITY	SUMMARY	LINK
Guidelines on Business Continuity Planning	Regulation	Insurance Board of Sri Lanka	<p>Financial institutions to have BCP in place.</p> 	




SWEDEN



TITLE		AUTHORITY	SUMMARY	LINK
MSB (2009), Myndigheten för samhällsskydd och beredskaps föreskrifter om statliga myndigheters Informationssäkerhet (MSBFS 2009:10) (Swedish)	Legislative act	Myndigheten för samhällsskydd och beredskap (MSB) (Swedish Civil Contingency Agency)	A legislative act about authorities and information security practice. 	https://www.msb.se/externdata/rs/94a3d208-2ac4-48a1-84f2-208268f5767e.pdf
Finansinspektionen's Regulatory Code (FFFS) 2014:1	Regulation	Finansinspektionen (FI) -Sweden's financial supervisory authority	Finansinspektionen's Regulations and General Guidelines regarding governance, risk management and control at credit institutions. In force from: 1 April 2014. <i>Chapter 2 General organisational requirements, Section 9</i> <i>Chapter 10 Outsourcing agreements, Section 5</i> 	http://fi.se/Regler/Fls-forfattningar/Samtliga-forfattningar/20141/
Finansinspektionen's Regulatory Code (FFFS) 2014:4	Regulation	Finansinspektionen (FI) - Sweden's financial supervisory authority	Finansinspektionen's Regulations and General Guidelines regarding the management of operational risks. In force from: 1 June 2014. <i>Chapter 4 reporting, section 1</i> <i>Chapter 5 Management of operational risks in operations, Continuity Management Section 15-23</i> 	http://fi.se/Regler/Fls-forfattningar/Samtliga-forfattningar/20144/

Finansinspektionen's Regulatory Code (FFFS) 2014:5	Regulation	Finansinspektionen (FI) - Sweden's financial supervisory authority	Finansinspektionen's Regulations and General Guidelines regarding information security, IT operations and deposit systems. In force from: 1 June 2014. 	http://fi.se/Regler/Fls-forfattningar/Samtliga-forfattningar/20145/
*Samhällssäkerhet - Ledningssystem för kontinuitet - Krav (SS-EN ISO 22301:2012, IDT) (Swedish)	Standard	ISO/SIS	ISO 22301 specifies the requirements for a management system to protect against, reduce the likelihood of, and ensure your business recovers from disruptive incidents. 	http://www.sis.se/standard/std-102515
*Samhällssäkerhet - Ledningssystem för kontinuitet - Riktlinjer (ISO 22313:2012, IDT) (Swedish)	Standard	ISO/SIS	ISO 22313:2012 for business continuity management systems provides guidance based on good international practice for planning, establishing, implementing, operating, monitoring, reviewing, maintaining and continually improving a documented management system that enables organizations to prepare for, respond to and recover from disruptive incidents when they arise. 	http://www.sis.se/sociologi-service-foretagsorganisation-och-ledning-och-administration/foretagsorganisation-och-foretagsledning/allmant/ss-iso-223132013

<p>*Samhällssäkerhet - Vägledning för övningar (ISO 22398:2013, IDT) (english) Societal security - Guidelines for exercises (ISO 22398:2013, IDT)</p>	<p>Standard</p>	<p>ISO/SIS</p>	<p>ISO 22398:2013 recommends good practice and guidelines for an organization to plan, conduct, and improve its exercise projects which may be organized within an exercise program.</p> 	<p>http://www.sis.se/ledningssystem/samhällssäkerhet/ss-iso-223982013</p>
<p>Samhällssäkerhet — Ledningssystem för kontinuitet — Vägledning till SS-ISO 22301 (2014)</p>	<p>Standard</p>	<p>Swedish Standards Institute (SIS)</p>	<p>SS 22304, Samhällssäkerhet – Ledningssystem för kontinuitet – Vägledning, is a Swedish initiative, made to be a complement to the existing ISO standards within the area, and is focused on giving a more practical guideline on how to work with continuity management.</p> 	<p>http://www.sis.se/standard/std-102929</p>
<p>*Guidelines for information and communication technology readiness for business continuity ISO/IEC 27031:2011</p>	<p>Standard</p>	<p>ISO</p>	<p>ISO/IEC 27031:2011 describes the concepts and principles of information and communication technology (ICT) readiness for business continuity, and provides a framework of methods and processes to identify and specify all aspects (such as performance criteria, design, and implementation) for improving an organization's ICT readiness to ensure business continuity.</p> 	<p>http://www.iso.org/iso/home/stor/catalogue_tc/catalogue_detail.htm?csnumber=44374</p>

<p>FSPOS Vägledning för Kontinuitetsshantering, 2014 (Swedish)</p>	<p>Good Practice</p>	<p>Finansiella Sektorns Privat- Offentliga Samverkan (FSPOS)</p>	<p>To give stakeholders within the financial sector support and good practice how they can work with development, implementation and follow up on continuity management. Updated 2015 with a guide for outsourcing in a separate appendix G.</p> 	<p>http://www.fspos.se/siteassets/fspos/rapporter/2013/fspos-vagledning-for-kontinuitetsshantering.pdf</p> <p>http://www.fspos.se/siteassets/fspos/rapporter/2015/appendix-g---outsourcing-inom-finansiell-sektor--version-2.0---fspos-vagledning-for-kontinuitetsshantering.pdf</p>
<p>Handbok för kontinuitetsplanering i privat-offentlig samverkan (Swedish)</p>	<p>Good practice</p>	<p>Privat Offentlig Samverkan – Södra Roslagen</p>	<p>The network POS-SR that is a collaboration between public and private sector in Södra Roslagen have developed a guideline for continuity planning.</p> 	<p>http://docplayer.se/3198171-Natverket-pos-sr-handbok-for-kontinuitetsplanering-i-privat-offentlig-samverkan.html</p>
<p>Vägledning för samhällsviktig verksamhet: att identifiera samhällsviktig verksamhet och kritiska beroenden samt bedöma acceptabel avbrottstid (2014) (Swedish)</p>	<p>Guideline</p>	<p>Myndigheten för samhällsskydd och beredskap (MSB) (Swedish Civil Contingency Agency)</p>	<p>MSB has developed this guideline to strengthen the work with societal security and to support the work with risk and vulnerability analyses.</p> 	<p>https://www.msb.se/RibData/Filer/pdf/27285.pdf</p>

Systematiskt arbete med skydd av samhällsviktig verksamhet (2015) (Swedish)	Good practice	Myndigheten för samhällsskydd och beredskap (MSB) (Swedish Civil Contingency Agency)	<p>This supporting document aims to concretize what may be part of a systematic approach with the protection of critical infrastructure and risk management, continuity management, and manage events. The document is aimed at private and public actors that own or operate critical infrastructure. The content is based on national and international standards and guidelines in the areas of their respective areas.</p> 	https://www.msb.se/RibData/Filer/pdf/27978.pdf
Kontinuitetsplanering – en introduktion (2006) (Swedish)	Good practice	Krisberedskapsmyndigheten (KBM)	<p>An introduction to continuity planning from 2006.</p> 	https://www.msb.se/Upload/Produktioner_tjanster/Publikationer/KBM/Kontinuitetsplanering%20-%20en%20introduktion.pdf
Information Technology Infrastructure Library	Framework	OGC	<p>Information Technology Infrastructure Library (ITIL) is a framework of best practices to manage IT operations and services defined in mid 1980s by Government of Commerce, UK. Popular in Sweden as a framework.</p> 	http://www.itsm-officialsite.com/

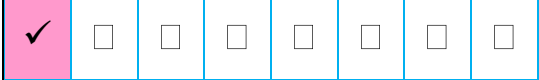
<p>*Informationsteknik - Säkerhetstekniker - Ledningssystem för informations säkerhet - Krav (ISO/IEC 27001:2013 IDT)</p>	<p>Standard</p>	<p>ISO</p>	<p>ISO/IEC 27001:2013 specifies the requirements for establishing, implementing, maintaining and continually improving an information security management system within the context of the organisation.</p> 	<p>http://www.sis.se/terminologi-och-dokumentation/informationsvetenskap-publicering/dokument-f%C3%B6r-administration-handel-och-industri/ss-iso-iec-270012014</p>
<p>Guidelines for information and communications technology disaster recovery services. (ISO/IEC 24762:2008)</p>	<p>Guideline</p>	<p>ISO/IEC</p>	<p>ISO/IEC 24762:2008 provides guidelines on the provision of information and communications technology disaster recovery (ICT DR) services as part of business continuity management, applicable to both “in-house” and “outsourced” ICT DR service providers of physical facilities and services.</p> 	<p>http://www.sis.se/sok/?q=24762</p>

SWITZERLAND


TITLE		AUTHORITY	SUMMARY	LINK
FINMA Recommendations for BCM: Nov 2007	Regulation	Swiss Financial Market Supervisory Authority	Overall BCM is not mandated but two elements (BIA and BCM Strategy) are binding as minimum standards under supervisory law. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
SFBC 06/6	Regulation	Swiss Federal Banking Commission (SFBC)	Supervision of Internal Control. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
SFBC 06/3	Regulation	Swiss Federal Banking Commission (SFBC)	Capital Adequacy for Operational Risk. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
SBA Self Regulation	Regulation	Swiss Bankers Association	Self-regulatory guidelines for BCM, supported by SFBC. These are based upon the Basel Joint Forum “High-Level Principles for Business Continuity.” <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
EBK Empfehlung zum BCM	Good Practice	EBK	German language guidance for Swiss banks. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
EBK Rundschreiben 99/02	Good Practice	EBK	German language guidance for Swiss banks. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	



THAILAND

TITLE		AUTHORITY	SUMMARY	LINK
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118/2550 – Policy on BCM and BCP for Financial Institutions.	Regulation	Bank of Thailand	<p>This Policy Statement provides general framework for Business Continuity Management and Business Continuity Plan for financial institutions in Thailand. The policy requires board-level involvement, identification and recovery plans for “Critical Business Functions,” writing plans and testing them at least once every 12 months.</p> 	http://www2.bot.or.th/fipc/s/Documents/FPG/2550/EngPDF/25500011.pdf
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UAE

TITLE		AUTHORITY	SUMMARY	LINK
AE/HSC 7000: 2011	Standard	UAE National Crisis and Emergency Management Authority (NCEMA).	<p>A Business Continuity Management standard based upon international best practice and local additional input.</p> 	

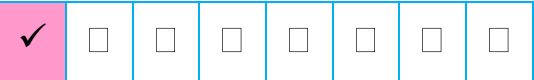

Business Continuity Standard and Guide AE/HSE/NCEMA 7000:2012	Standard	National Emergency Crisis and Disasters Management Authority (NCEMA)	Developed to help entities systematically build their business continuity capability during and after an emergency, disaster or crisis. Initiatives are aimed at ensuring ongoing performance of essential functions and services in both the public and private sectors, for the purpose of enhancing the UAE's national stability. 	http://www.ncema.gov.ae/content/documents/BCM%20English%20NCEMA_29_8_2013.pdf
BCI Good Practice Guidelines 2013 (Arabic)	Good Practice	BCI	Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles. 	http://www.thebci.org/index.php/resources/the-good-practice-guidelines



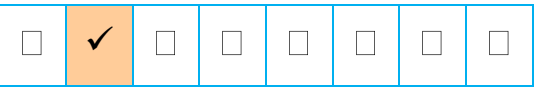
UK



TITLE		AUTHORITY	SUMMARY	LINK
BS 12999:2015	Standard	British Standards Institution (BSI)	Damage management - Code of practice for the organization and management of the stabilization, mitigation and restoration of properties, contents, facilities and assets following incident damage. 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030296352

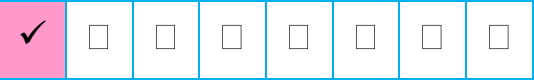

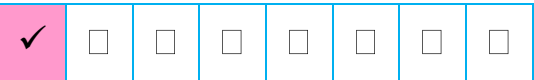
BS 8584:2015	Standard	British Standards Institution (BSI)	Vacant property protection services - Code of practice 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030311655
BS 16000:2015	Standard	British Standards Institution (BSI)	Security management - Strategic and operational guidelines 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030285866
BS 65000:2014	Standard	British Standards Institution (BSI)	Guidance for Organizational Resilience 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030258792
BS 11200:2014	Standard	British Standards Institution (BSI)	Crisis management - Guidance and good practice 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030274343
PD 25666:2010	Standard	British Standards Institution (BSI)	Business continuity management. Guidance on exercising and testing for continuity and contingency programmes 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030203702
ISO 11064-4:2013	Standard	British Standards Institution (BSI)	Ergonomic design of control centres 	http://www.iso.org/iso/catalogue_detail.htm?csnumber=54419

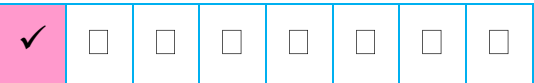

Civil Contingencies Act (2004 & 2005)	Legislation	UK Government	<p>The CCA defines various categories of responders to manage incidents and mandates BCM for all category 1 providers. It provides the legal framework for the establishment of local resilience forums and delegates responsibility of BCM awareness to local authorities.</p>	http://www.legislation.gov.uk/ukpga/2004/36/content_s
			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>	

Financial Conduct Authority Handbook – Prudential Regulation Authority Handbook	Regulation	Prudential Regulation Authority (PRA) Financial Conduct Authority (FCA)	<p>A firm must take reasonable steps to ensure continuity and regularity in the performance of its regulated activities. To this end the firm must employ appropriate, proportionate systems, resources and procedures. It must establish, implement and maintain an adequate business continuity policy aimed at ensuring, in the case of an interruption to its systems and procedures, that any losses are limited, the preservation of essential data and functions, and the maintenance of its regulated activities, or, where that is not possible, the timely recovery (Systems and Controls – SYSC 4.16 and 4.17).</p> <p>A firm must disclose to their regulators any material disruption to regulated activities in an open and cooperative way. (Principle 11 – The Principles for Businesses)</p> <p>Further rules and guidance on topics relating to BCM can be found within the FCA handbook within SYSC 3, 4, 8, 13 and 18, and within the specialist sourcebooks.</p> 	http://fshandbook.info/FS/html/FCA
BS EN ISO 22301:2014 – Societal security – Business continuity management systems – Requirements	Standard	British Standards Institution (BSI)	<p>This is the British Standards published version of ISO 22301. This document has superseded BS25999-2 since 2012.</p> 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030292502

BS 31100:2009 – Risk Management Standard	Standard	British Standards Institution (BSI)	Principles and Guidance on implementing Risk Management. 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030228064
BS 11000-1:2010 – Collaborative Working	Standard	British Standards Institution (BSI)	Provides a framework for collaborative business relationships, to help companies develop and manage their interactions with other organizations for maximum benefit to all. Using an eight stage approach, the framework is designed to enable organizations of any size and sector to apply best practice principles to its own ways of working, to get the very most out of its business relationships. Work is underway to upgrade this to an ISO standard (ISO 11000). 	http://shop.bsigroup.com/ProductDetail/?pid=000000000030212011
PAS 2015:2010 – NHS Resilience Framework for Health Services Resilience	Standard	British Standards Institution (BSI)	Publicly available specification for operational resilience guidance in the NHS. 	





<p>PAS 7000:2014 – Supply Chain Risk Management – Supplier Prequalification</p>	<p>Standard</p>	<p>British Standards Institution</p>	<p>Developed in response to clients around the world requesting a universal standard that would combine supplier profiles, capabilities and performance in order to make informed decisions about whether or not to engage with a potential supply chain partner. This standard helps address these issues and specifies a universal package of supplier information to be shared with supply chain partners. This covers, key supplier information, capabilities and performance which will help buyers trace back and secure their supply chains, mitigate risk and brand reputation and for suppliers to promote their products.</p> 	<p>http://shop.bsigroup.com/ProductDetail/?pid=000000000030289498</p>
<p>BCI Good Practice Guidelines 2013 (English – UK)</p>	<p>Good Practice</p>	<p>The Business Continuity Institute</p>	<p>Global best practice based upon the 6 professional practices defined in the BCM Lifecycle. The GPG 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.</p> 	<p>http://www.thebci.org/index.php/resources/the-good-practice-guidelines</p>





CPNI Advice and Guidance	Good Practice	The Centre for the Protection of National Infrastructure (CPNI)	<p>CPNI is a government agency providing information, personnel and physical security advice to the entities which make up the UK's national infrastructure, helping to reduce its vulnerability to terrorism and other threats.</p> <p>It can call on resources from other government departments and agencies, including MI5 and the Communications Electronics Security Group.</p> 	
Risk Management Standard, AIRMIC, ALARM, IRM: 2002	Good Practice	<p>AIRMIC (Association of Insurance and Risk Managers)</p> <p>ALARM (National Forum for risk management in the public sector)</p> <p>IRM (Institute of Risk Management)</p>	<p>Establishes guidelines for Risk Management including Risk Assessment, Risk Reporting and Risk Treatment.</p> 	
FSA BCM Staff Guide 2007	Good Practice	Financial Services Authority (FSA). The FSA was abolished in 2013 and replaced by two authorities: Prudential Regulation Authority (PRA) and Financial Conduct Authority (FCA)	<p>Advice for FSA staff involved with BCM internally or within regulated firms. The guidance remains applicable across the two new organizations.</p> 	


Business Continuity Management Practice Guide	Good Practice	Financial Services Authority (FSA). The FSA was abolished in 2013 and replaced by two authorities: Prudential Regulation Authority (PRA) and Financial Conduct Authority (FCA)	<p>The Business Continuity Management Practice Guide is not general guidance from the Tripartite Authorities, nor is it guidance on FSA rules. Rather, it aims to help regulated firms in their business continuity planning by identifying and sharing examples of business continuity practice observed in firms that participated in the benchmarking exercise.</p> 	http://www.bankofengland.co.uk/financialstability/fsc/Documents/bcmanagementguide.pdf
Business Information Publications (BIP)	Good Practice	BSI Publications	<p>The route-map, auditing and exercising books have all been revised following the publication of ISO22301.</p> 	

USA

TITLE		AUTHORITY	SUMMARY	LINK
P.L. 110-53 Title IX	Legislation		Legislates voluntary implementation of business continuity plans and accreditation and certification of those plans by authorized third party organizations. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Consumer Credit Protection Act (CCPA) of 1992 Section 2001 Title IX – Electronic Funds Transfer	Legislation		Provides a basic framework establishing the rights, liabilities and responsibilities of participants in electronic fund transfer systems. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Electronic Fund Transfer Act (EFTA)	Legislation	OCC (Office of the Comptroller of the Currency)	Establishes the basic responsibilities, rights & liabilities of consumers and financial institutions that use electronic fund transfer services. BCP to meet “reasonable standard of care.” <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.fdic.gov/regulations/laws/rules/6500-1350.html
Fair Credit Reporting Act	Legislation	FTC (Federal Trade Commission)	Ensures credit information is accurate and up to date. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.ftc.gov/os/statutes/fcra.htm
FDICIA – Federal Deposit Insurance Corporation Improvement Act of 1991	Legislation	FDIC (Federal Deposit Insurance Company_	Requires all FDIC insured depository institutions with total assets of \$500 million or more to certify that there is effective functioning of their internal controls systems. <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	http://www.fdic.gov/regulations/laws/rules/8000-2400.html



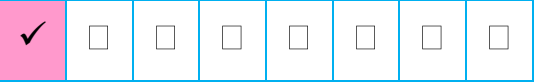
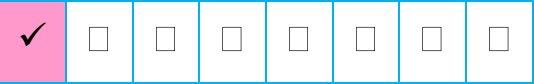
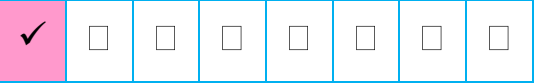
Financial Institutions Reform, Recovery and Enforcement Act (FIRREA) of 1989; (P.L. 101-73 1989 HR 1278)	Legislation	FIRREA	<p>Policy allows regulators/examiners to impose civil penalties for violations or non-compliance with regulations, laws, temporary agency orders or any breach of a written agreement between an agency and the institution.</p> 	
FISMA: Federal Information Security management Act of 2002	Legislation	FTC (Federal Trade Commission)	<p>Details requirements to assess risk, determine levels of security necessary to protect such information, periodically test and evaluate information security controls and techniques etc.</p> 	http://csrc.nist.gov/drivers/documents/FISMA-final.pdf
Foreign Corrupt Practices Act 1977 (P.L 95-213)	Legislation		<p>Policy states that Directors and Officers can be held liable for “failure to enact standards of care” should they fail to document their assessment for determining not to develop a contingency plan.</p> 	
Gramm-Leach-Bliley Act of 1999, section 501 (b) (PL 106-102 1999 S 900)	Legislation	Public Law	<p>Guidelines in this section address standards for developing and implementing administrative, technical and physical safeguards to protect the security, confidentiality and integrity of customer information.</p> 	http://banking.senate.gov/conf/confrpt.htm

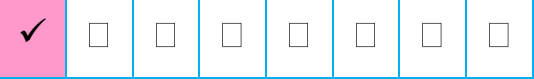
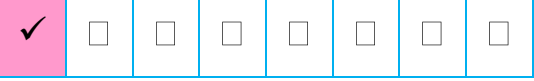

<p>HIPAA (Health Insurance Portability and Accountability Act) Final Security Rule #7. Contingency Plan (164.308 (a) (7) (i))</p>	<p>Legislation</p>	<p>GAO (Government Accountability Office)</p>	<p>Proposed contingency plan in effect with data backup plan, disaster recovery plan, emergency mode operation plan, testing and revision procedures, and applications and data criticality analysis.</p> 	<p>http://www.nchica.org/HIPAAResources/Security/rule.htm</p>
<p>Privacy Act of 1974 (SUSC552a)</p>	<p>Legislation</p>		<p>Requires management to safeguard and to keep the information accurate and current to protect the individual.</p> 	<p>http://www.justice.gov/opcl/privstat.htm</p>
<p>Sarbanes-Oxley Act of 2002 (PL 107-204 2002 HR 3763) – Section 404</p>	<p>Legislation</p>	<p>PCAOB (Public Company Accounting Oversight Board)</p>	<p>Auditors are increasing scrutiny of all areas of internal control, including security and business continuity controls.</p> <p>Potential for data loss (ability to identify and rebuild lost transactions and source documents).</p> 	<p>http://news.findlaw.com/hdocs/docs/gwbush/sarbanesoxley072302.pdf</p>
<p>Sarbanes-Oxley Act of 2002 Section 409</p>	<p>Legislation</p>	<p>PCAOB (Public Company Accounting Oversight Board)</p>	<p>Issuers must disclose information on material changes in financial condition on a result basis.</p> 	

California SB 1386 Security of Non-encrypted customer information (July 2003)	Legislation	State of California	<p>Bill requires all agencies, persons or businesses that conduct business in California that owns or licenses computerized data containing personal information to notify the owner or licensee of the information of any breach of security of the data.</p> 	http://www.legalarchiver.org/sb1386.htm
Computer Fraud and Abuse Act	Legislation	FTC (Federal Trade Commission)	<p>Makes it a federal offence to produce, buy, sell or transfer a credit card or other access devices that are counterfeit, forged, lost or stolen.</p> 	http://www.panix.com/~eck/computer-fraud-act.html
IRS Procedure 91-59 (superseded IRS Procedure 86-19)	Legislation	IRS (Internal Revenue Service)	<p>Legal requirements for computer records containing tax information. Requires off site protection and documentation of computer records maintaining tax information.</p> 	http://www.uiowa.edu/~fusrmp/irsruling98-25.html
USA Patriot Act of 2001: (P.L. 107-56 2001 HR 3162)	Legislation	Department of Homeland Security (DHS)	<p>Applies to all Financial Institutions in the U.S. and any individual responsible for an act of terror defined by the Act. Business continuity implications include records protection and availability. Most frequently enforced for compliance purposes.</p> 	http://www.epic.org/privacy/terrorism/hr3162.html

Securities and Exchange Act, Sections 32(a) and (b)	Legislation	Securities and Exchange Commission (SEC)	<p>Policy addresses criminal liability of Directors and officers for failure to protect computerized information/document. Process used to assess risks of information loss/exercise duty of care.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
2013 ACH Rules Book	Regulation	ACH (Federal Reserve Bank's Automated Clearing-House association).	<p>Requires 6 year file retention on all ACH transactions. An ACH transaction is a batch-processed, value-dated electronic funds transfer between originating and receiving financial institution.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	http://www.achrulesonline.org/


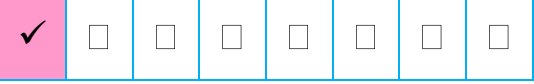
<p>Interagency Paper for Strengthening the Resilience of US Financial System (May 2003: Implementation in 2007)</p>	<p>Regulation</p>	<p>FRB (Federal Reserve Bank)</p> <p>OCC (Office of the Comptroller of the Currency)</p> <p>SEC (Securities and Exchange Commission)</p>	<p>During discussions about the lessons learned from 9/11, industry participants and others agreed that three business continuity objectives have special importance for all financial firms and the US financial system as a whole.</p> <ul style="list-style-type: none"> • Rapid recovery and timely resumption of critical operations following a wide-scale disruption • Rapid recovery and timely resumption of critical operations following the loss or inaccessibility of staff in at least one major operating location • A high level of confidence, through ongoing use or robust testing, that critical internal and external continuity arrangements are effective and compatible <div data-bbox="1093 770 1624 853"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<p>http://www.sec.gov/news/studies/34-47638.htm</p>
<p>NASD Rule 108 (Sept 9, 02) and SR-NASD 2002-112 (March 10 2003)</p> <p>(Release No. 34-48503: File NO SR-NASD-2002-108)</p>	<p>Regulation</p>	<p>NASD (North American Securities Dealers Association) / SEC</p>	<p>Each member must create and maintain a written business continuity plan identifying procedures relating to an emergency or significant business disruption.</p> <p>Must update this plan in the event of any material change to the members operations, structure.</p> <div data-bbox="1093 1209 1624 1292"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	<p>http://www.sec.gov/rules/sro/34-48503.htm</p>

6 CFR Part 29: Procedures for Handling Critical Infrastructure Information (Aug 2009)	Regulation	Code of Federal Regulations (CFR)	<p>Continuity of operations for critical infrastructure. Disclosure of critical information to the government.</p> 	http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=bbbd14179df7951f63694b36dec73dba&rgn=div5&view=text&node=6:1.0.1.1.11&idno=6
Federal Acquisition Regulation: Electronic Funds Transfer Final Rule	Regulation	Securities and Exchange Commission (SEC)	<p>Addresses the collection of EFT information through the contract process for vendors providing goods and services to the Federal Government.</p> 	http://banking.senate.gov/conf/confrpt.htm
FFIEC FIL 67-97/82-96	Regulation	FFIEC (Federal Financial Institutions Examination Council)	<p>Board of Directors is responsible for ensuring that a comprehensive business resumption and contingency plan has been implemented, to encompass distributed computing and external service bureau.</p> 	
FFIEC Policy SP-5	Regulation	FFIEC	<p>Policy mandating corporate-wide contingency planning, including the development of recovery alternatives for distributed processing and service bureau information processing.</p> 	
FRB (Federal Reserve Banks) SR 96-22	Regulation	Board of Governors of the Federal Reserve System	<p>Reviews and enforces the FFIEC's Interagency Supervisory Statement on Risk Management of Client/Server Systems SP-12.</p> 	

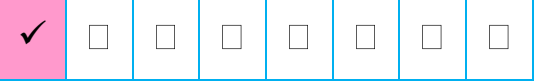

FRB (Federal Reserve Banks) SR 03-5	Regulation	Board of Governors of the Federal Reserve System	<p>Amended Interagency Guidance on the Internal Audit Function and its Outsourcing (SR 03-5) (Supersede: Outsourcing of Information and Transaction Processing Cross Reference: SR letter 97-35).</p> 	http://www.federalreserve.gov/boarddocs/SRLETTERS/2003/SR0305.HTM
FERC COOP 2007: FERC RM01-12-00	Regulation	Federal Energy Regulatory Commission (FERC)	<p>Provides a regulatory framework for the energy sector and sets performance requirements.</p> 	
GAO Supplier Requirements	Regulation	GAO (Government Accountability Office)	<p>Requirements for federal agencies to include the requirement for contingency plans in contracts with private sector organizations providing data processing services. Will apply to all organizations providing suppliers or services to GAO or Federal Agencies.</p> 	http://www.gao.gov/special.pubs/bcpguide.pdf http://archive.gao.gov/f0102/115703.pdf http://archive.gao.gov/d49t13/149920.pdf http://www.gao.gov/products/EMD-78-59 http://archive.gao.gov/d22t8/142596.pdf


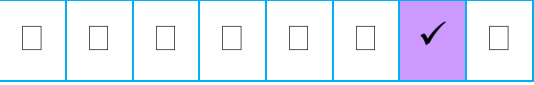
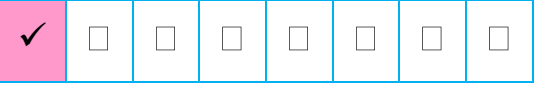

<p>NASD Rule 3500: Emergency Preparedness Part 3510: Business Continuity Plans</p>	<p>Regulation</p>	<p>NASD (North American Securities Dealers Association)</p>	<p>Requires business continuity plan addressing:</p> <ul style="list-style-type: none"> • Alternative communications between customers, firm and employees • Business constituent, bank and counter party impact • Regulatory reporting • Mission critical systems • Operational and financial impacts <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p>http://www.nasd.com/web/groups/rules_regs/documents/notice_to_members/nasdw_003095.pdf</p>
<p>NASD Rule 3500: Emergency Preparedness Parts 3510/3520: Emergency Contact information</p>	<p>Regulation</p>	<p>NASD (North American Securities Dealers Association)</p>	<p>Rule 3520 requires NASD members to provide NASD with emergency contact information and to update information upon the occurrence of a material change. The Rule requires members to designate two emergency contact persons that NASD may contact in the emergency.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p>http://www.nasd.com/web/groups/rules_regs/documents/notice_to_members/nasdw_003095.pdf</p>
<p>NFA Compliance Rule 2-38: Business Continuity and Disaster Recovery Plan</p>	<p>Regulation</p>	<p>CFTC (Commodity Futures Trading Commission)</p>	<p>Requires all National Futures Association members to establish and maintain a written business continuity and disaster recovery plan that outlines procedures to be followed in the event of an emergency or significant disruption.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p>http://www.nfa.futures.org/nfamanual/NFAManual.aspx?RuleID=9052&Section=9</p>



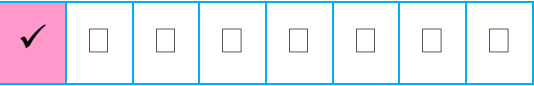

FINRA Rule 4370 - emergency preparedness rule	Regulation	FINRA (Financial Industry Regulatory Authority)	<p>Rule 4370—FINRA's emergency preparedness rule—requires firms to create and maintain BCPs appropriate to the scale and scope of their businesses, and to provide FINRA with emergency contact information. This page provides general information related to BCPs for securities firms.</p> <div data-bbox="1093 379 1624 464"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
OSHA- Occupational Safety and Health Administration	Regulation	OSHA (Occupational Safety & Health Administration)	<p>Disaster preparedness – OSHA requires that all businesses with more than 10 employees have a written Emergency Contingency Plan (ECP). For businesses with 10 or less, a written plan is not mandated but recommended.</p> <div data-bbox="1093 724 1624 809"> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> </div>	http://www.osha.gov/SLTC/emergencypreparedness/index.html
Telecommunications Act of 1996	Regulation	FCC - Federal Communications Commission	<p>The FCC's Network Reliability and Interoperability Council provide best practices for business continuity and disaster recovery in the telecommunications industry. (www.nric.org).</p> <div data-bbox="1093 1034 1624 1118"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> </div>	http://www.drj.com/article-archives/communications/the-impact-of-the-telecommunications-act-on-business-continuity-plans.html





<p>NFPA 1600 : Standard on Disaster/Emergency Management and Business Continuity Programs</p>	<p>Standard</p>	<p>National Fire Protection Association (NFPA)</p>	<p>This standard shall establish a common set of criteria for all hazards disaster/emergency management and business continuity programs, hereinafter referred to as "the program." It also provides the fundamental criteria to develop, implement, assess, and maintain the program for prevention, mitigation, preparedness, response, continuity and recovery, for which this document shall be applied to public, not-for-profit, nongovernmental organizations and to private entities.</p> 	<p>http://www.nfpa.org/codes-and-standards/document-information-pages?mode=code&code=1600</p>
<p>OCC 2001-47. Third Party Relationships (Nov 1 2001)</p>	<p>Standard</p>	<p>OCC (Office of the Comptroller of the Currency)</p>	<p>This bulletin provides guidance to national banks on managing the risks that may arise from their business relationship with third parties. A third party's inability to deliver products and services, whether arising from fraud, error, inadequate capacity, or technology failure, exposes the bank to transaction risk.</p> 	<p>http://www.occ.treas.gov/fp/bulletin/2001-47.txt</p>




Private Sector Preparedness (PS-Prep)	Standard	Department of Homeland Security (DHS)	<p>PS-Prep is a partnership between DHS and the private sector that enables private entities to receive emergency preparedness certification from a DHS accreditation system created in coordination with the private sector.</p> <p>The standards—developed by the National Fire Protection Association, the British Standards Institution and ASIS International—were published for public comment in the Federal Register in Oct 2009. The adoption of the final standards was published in a Federal Register notice following a series of regional public meetings and the incorporation of public comments. The standards currently included are: NFPA1600, BS25999 and ASIS SPC.1-2009.</p> <p>DHS will continue to accept comments on PS-Prep, the three adopted standards, and/or proposals to adopt any other similar standard that satisfies the target criteria of the December 2008 Federal Register notice.</p> <div data-bbox="1093 1015 1624 1098"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
ASIS SPC.1-2009	Standard	ASIS	<p>Specification and guidance on addressing organizational resilience issues. This is accepted under PS-Prep regulation.</p> <div data-bbox="1093 1241 1624 1324"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	

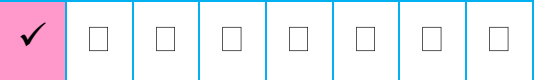
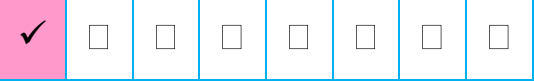

ANSI/ASIS SPC.4 : Maturity model of organizational resilience	Standard	ANSI / ASIS	<p>This Standard provides guidance for the use of a maturity model for the phased implementation of the ANSI/ASIS SPC.1-2009 organizational resilience standard in six phases, ranging from an unplanned approach, to managing events, to going beyond the requirements of the ANSI/ASIS SPC.1-2009 Standard and creating a holistic environment for resilience management.</p> 	
ASIS American National Standard (2009)	Standard	ASIS	<p>The ASIS Organizational Resilience American National Standard provides organizations with a comprehensive management framework to anticipate, prevent if possible, and prepare for and respond to a disruptive incident. It provides generic auditable criteria to establish, check, maintain, and improve a management system to enhance prevention, preparedness (readiness), mitigation, response, continuity, and recovery from an emergency, crisis, or disaster. The standard addresses the core elements and criteria of the DHS Title IX preparedness program.</p> 	https://www.asisonline.org/Standards-Guidelines/Standards/published/Pages/Organizational-Resilience-Security-Preparedness-and-Continuity-Management-Systems-Requirements-with-Guidance-for-Use.aspx?cart=a8ee9a0a0b4d440e91c5ba199afa0e87


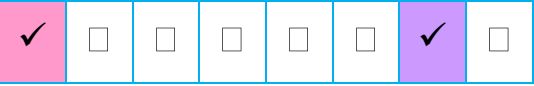
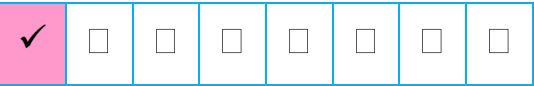
<p>ANSI/ARMA 5-2003</p> <p><i>(2010 revised version available)</i></p>	<p>Standard</p>	<p>American National Standards Institute</p>	<p>This standard sets the requirement for establishment of a Vital Records Program. It includes clarification of what a Vital Records Program encompasses and the requirements for identifying and protecting vital records, assessing and analyzing their vulnerability, and determining the impact of their loss on the organization.</p> 	<p>http://webstore.ansi.org/RecordDetail.aspx?sku=ANSI%2fARMA+5-2010</p>
<p>CTIA Telecommunication Industry BCM Standard and certification</p>	<p>Standard</p>	<p>CTIA (Cellular Telecommunications and Internet Association)</p>	<p>Plans to offer standard business continuity guidance to the communications industry.</p> 	<p>http://www.tiaonline.org/standards/</p>
<p>NERC CIP 002-009 2006</p>	<p>Standard</p>	<p>North America Electric Reliability Corporation</p>	<p>Sets reliability standards for the electricity industry.</p> 	
<p>NFPA 111: Standard on Stored Electrical Energy Emergency and Standby Power Systems</p>	<p>Standard</p>	<p>National Fire Protection Association (NFPA)</p>	<p>Readiness of emergency power is a key consideration in safeguarding building occupants in the event of a disruption of the normal utility supply. NFPA 111: Standard on Stored Electrical Energy Emergency and Standby Power Systems covers performance requirements for stored electric energy systems providing an alternate source of electrical power in buildings and facilities during an interruption of the normal power source.</p> 	<p>http://webstore.ansi.org/RecordDetail.aspx?sku=NFPA+111-2010</p>

NFPA 232 : Standard on Protection of Records	Standard	National Fire Protection Association (NFPA)	Standards for protection of business records, archives and record centres. 	
NFPA1561 (Emergency Services Incident Management System)	Standard	National Fire Protection Association (NFPA)	NFPA 1561: Emergency Services Incident Management System defines and describes the essential elements of an incident management system that promotes coordination among responding agencies. 	http://webstore.ansi.org/RecordDetail.aspx?sku=NFPA+1561-2008
PCI Data Security Standard (PCI DSS)	Standard	PCI Security Standards Council (incl. VISA, AMEX, Diners, Discover, JCB)	The PCI DSS states that disaster recovery sites are not in-scope unless they process, store or transmit cardholder data. However, in the same breath, the PCI DSS states that once a disaster recovery site is activated, the site is in-scope and is required to comply with the PCI DSS requirements just as the production data center complied. This should be applicable to any manual workarounds or alternative strategies when BCP/DR plan has been invoked. 	https://www.pcisecuritystandards.org/security_standards/documents.php?agreements=pcidss&association=pcidss
Generally Accepted Practices for BCM (GAP)	Good Practice	Disaster Recovery Journal (DRJ)	Detailed process level document that provides guidance, recommendations and checklists for developing business continuity programs. 	

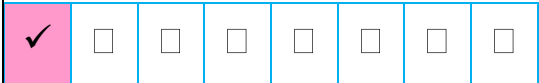
ASIS GDL BC 10 – 2004	Good Practice	ASIS International	<p>Tool to allow organizations to consider the factors and steps necessary to prepare for a crisis (disaster or emergency) so that it can manage and survive the crisis and take appropriate actions to ensure its continued viability.</p> 	
FDA21 CFR Part II: 1999	Good Practice	Food & Drug Agency	<p>Guidance for the pharmaceutical and health sector on keeping of electronic records and electronic signatures.</p> 	
FEMA 141: Disaster Planning Guide for Business and Industry	Good Practice	FEMA (Federal Emergency Management Agency)	<p>Designed to provide guidance for business and industry officials to respond and recover from disasters.</p> 	http://www.fema.gov/business/guide/index.shtm
FEMA Emergency Management Guide for Business and Industry	Good Practice	FEMA (Federal Emergency Management Agency)	<p>A step by step approach to emergency planning, response and recovery for companies of all sizes.</p> 	

Federal Continuity Directives (FCDs)	Good Practice	FEMA (Federal Emergency Management Agency)	<p>Federal Continuity was developed as a repository of information to guide governmental continuity planning efforts and to share information with private sector stakeholders about the importance of planning. The site provides an overarching framework for US Federal Agencies to develop and deploy actionable continuity strategies.</p> 	http://www.fema.gov/about/org/ncp/coop/planning.sh tm
FFIEC BCP Handbook: Business Continuity Planning (May 2003) "IT Examination Handbook"	Good Practice	FFIEC	<p>Emphasises that business continuity planning is about maintaining, resuming and recovering the whole business.</p> 	http://ithandbook.ffiec.gov/it-booklets/business-continuity-planning/introduction.aspx http://ithandbook.ffiec.gov/ITBooklets/FFIEC_ITBooklet_BusinessContinuityPlanning.pdf
FFIEC FIL-81-2005 Information Technology Risk Management Program 9(IT-RMP) for conducting IT examinations	Good Practice	FDIC (Federal Deposit Insurance Corporation)	<p>For conducting IT examinations of FDIC supervised financial institutions and cover practices for Risk Assessment, Operations Security & Risk Management, Audit and independent review.</p> 	

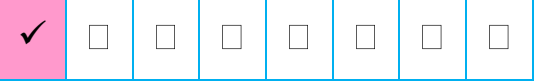


<p>Homeland Security Strategy for Critical Infrastructure Protection in Financial Services Sector (May 2004)</p>	<p>Good Practice</p>	<p>FSSCC (Financial Services Sector Coordinating Council for Critical Infrastructure Protection)</p>	<p>Ensuring the resiliency of the nation to minimize the damage and expedite the recovery from attacks that do occur.</p> 	<p>http://digital.library.unt.edu/govdocs/crs/permalink/meta-crs-7844:1</p> <p>http://www.sifma.org/services/business_continuity/pdf/NationalStrategy.pdf</p>
<p>Business continuity planning committee best practice guidelines (April 2011)</p>	<p>Good Practice</p>	<p>SIA (Securities Industry Association)</p>	<p>Each firm should have in place a BC program.</p> 	
<p>NIST SP 800-34 Contingency Planning Guide</p>	<p>Good Practice</p>	<p>NIST (National Institute of Standards and Technology)</p>	<p>Details the fundamental planning principles necessary for developing an effective contingency capability.</p> <p>Contingency planning guidance includes preliminary planning, business impact analysis, alternative site selection and recovery strategies.</p> 	<p>http://csrc.nist.gov/publications/nistpubs/800-34-rev1/sp800-34-rev1_errata-Nov11-2010.pdf</p>

NIST SP 800-53	Good Practice	National Institute for Information Technology Systems (NIST)	<p>Guidelines for selecting and specifying security controls for information systems supporting the executive agencies of the federal government to meet the requirements of FIPS 200, Minimum Security Requirements for Federal Information and Information Systems. The guidelines apply to all components of an information system that process, store, or transmit federal information. The guidelines have been developed to help achieve more secure information systems and effective risk arrangement within the federal Government. The standard also includes contingency planning policy and procedures.</p> 	http://csrc.nist.gov/publications/drafts/800-53-rev4/sp800-53-rev4-ipd.pdf
OCC 2003-18 : FFIEC (March 2003)	Good Practice	OCC (Office of the Comptroller of the Currency	<p>Information Technology Examination Handbook – Business Continuity Planning and supervision of Technology Service Providers Booklets.</p> 	http://www.occ.treas.gov/ftp/bulletin/2003-18.doc
OCC 99-9: Infrastructure Threats from Cyber Terrorists (March 5 1999)	Good Practice	OCC (Office of the Comptroller of the Currency	<p>Identifies and raises awareness of vulnerabilities and threats of cyber terrorism to the financial services industry, including ensuring that these threats are taken into account when preparing and testing a disaster recovery/business contingency plan.</p> 	http://www.occ.treas.gov/ftp/bulletin/99-9.txt

OCC Comptroller's Handbooks	Good Practice	OCC (Office of the Comptroller of the Currency	<p>OCC Comptroller's Handbook provides guidance for asset management, safety and soundness, consumer compliance, and securities compliance. Together with this handbook, following separated publications has been issued by OCC:</p> <ul style="list-style-type: none"> • Business Continuity Planning: Bank and Thrift Agencies Issue Advisory on Influenza Pandemic Preparedness 03/15/2006 • Business Continuity Planning: Benefits of Regional Coalitions for Disaster Recovery 09/16/2008 • Business Continuity Planning: Lessons Learned from Hurricane Katrina 06/13/200 	http://www.occ.treas.gov/handbook/chndbk.htm
Post 9-11 Crisis Communications, Best Practices for Crisis Planning Prevention and Continuous Improvement (June 2002)	Good Practice	Business Roundtable (The Southwestern Area Commerce & Industry Association of Connecticut)	<p>This document is a toolkit to enable companies to develop a crisis communications plan that includes crisis preparation, prevention and continuous improvement strategies.</p>	



<p>Supervision of Technology Service Providers Booklets (May 2003)</p>	<p>Good Practice</p>	<p>FFIEC</p>	<p>Business Continuity Planning, Supervision of Technology Service Provider Guidance, released by Federal Financial Regulators.</p> <p>The Business Continuity Planning booklet provides guidance and examination procedures to assist examiners in evaluating financial institutions and service providers' risk management processes to ensure the availability of critical financial services.</p> <div data-bbox="1093 512 1624 595"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	
<p>FFIEC BC Handbook 2008</p>	<p>Good Practice</p>	<p>FFIEC</p>	<p>Guidance to financial institutions regarding the planning and implementation of BC plans and processes.</p> <div data-bbox="1093 730 1624 813"> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div>	

Outsourcing Technology Booklet	Good Practice	FFIEC	<p>The institution should understand all relevant service provider business continuity requirements, incorporate those requirements within its own business continuity plan, and ensure the service provider tests its plan annually. Management should require the service provider to report all test plan results and to notify the institution after any business continuity plan modifications. The institution should integrate the provider's business continuity plan into its own plan, communicate functions to the appropriate personnel, and maintain and periodically review the combined plan.</p> 	http://ithandbook.ffiec.gov/it-booklets/outsourcing-technology-services/related-topics/business-continuity-planning.aspx
GTAG 7 - Global Technology Audit Guide	Good Practice	Institute of Internal Auditors (IIA)	<p>IPPF Practice Guide for Internal Auditors.</p> 	
GTAG 10 – Business Continuity Management	Good Practice	Institute of Internal Auditors (IIA)	<p>IPPF Practice Guide for Internal Auditors.</p> 	

<p>SIFMA BCP Best Practices Documents - The benefits of Public and Private Partnerships (September 2011)</p>	<p>Good Practice</p>	<p>ISIA (International Securities Industry Association)</p>	<p>The SIFMA BCP Best Practices Committee completed work on a survey regarding Regional Coalitions. Based upon the survey results, the following areas of additional interests were identified and will be addressed by this document:</p> <ol style="list-style-type: none"> 1. Increase awareness of public/private partnerships 2. Define how to establish and maintain public/private partnership relationships and outline the 'best practices' for participation 3. Define how to engage regional partnerships for test planning and execution 	<p>http://www.sifma.org/uploadedfiles/services/bcp/sifma-bcm-best-prax-regional-coalitions.pdf</p>
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SIFMA Business Continuity Resources	Good Practice	SIFMA (Securities Industry and Financial Markets Association)	<p>The following guidelines are published by SIFMA:</p> <ul style="list-style-type: none"> • BCP Best Practices Document. Regional Coalitions: The Benefits of Public and Private Partnerships- September 2011 • Executive Summary: Telecommuting Analysis of Regional Winter Storms 2010 & 2011 - September 2011 • Vendor Business Continuity Questionnaire 2010 • Business Continuity Practices Guidelines- April 2011 • Telecommuting Sound Practice Guidelines - March 2009 • Testing Methodologies For Validating Business Continuity Plans - January 2008 • BCP Critical Infrastructure Guide - February 2007 	http://www.sifma.org/services/bcp/resources/
Joint Commission Accreditation Manual for Hospitals (1997)	Good Practice	Joint Commission on Accreditation of Healthcare Organizations (JCAHO)	<p>Guidelines for information management established by the Joint Commission Standard Label IM.1.20 – The (organization) plans for the continuity of its information management.</p>	http://www.jointcommission.org/standards_information/joint_commission_requirements.aspx

Additional Resources

There are other 3rd party sources of information that can also be referenced and relate to similar topics. The BCI is grateful for all individuals or organizations that have contributed to this reference document; other useful sources can be found below.

Additional Resources:

<http://www.planning.sungard.com/KnowledgeNet/ReferenceDesk/regulations.asp>

http://www.strohsystems.com/Education/_files/Regulations/RegulationsStandards.pdf

http://www.lootok.com/Resource_Directory/financial-business-continuity-standards-regulations.php

<http://www.slideshare.net/TPComps/regulations-and-standards-for-dr>

<http://www.gartner.com/id=483265>

http://www.geminare.com/pdf/U.S._Regulatory_Compliance_Overview.pdf

<http://www.informit.com/articles/article.aspx?p=777896>

<http://www.avalution.com/Resources/Standards/Pages/InternationalStandardsandRegulatoryRequirements.aspx>

<https://www.gov.uk/resilience-in-society-infrastructure-communities-and-businesses>

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