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Guy M. Hicks
General Counsel

September 23, 1999

VIA HAND DELIVERY

David Waddell, Executive Secretary
Tennessee Regulatory Authority
460 James Robertson Parkway
Nashville, TN 37238

Re: *Y2K Compliance Report*
Docket No. 99-00273

Dear Mr. Waddell:

Enclosed are the original and thirteen copies of BellSouth Telecommunications, Inc.'s Year 2000 Contingency Planning Work Book. These documents are being submitted in conjunction with the Compliance Report filed by BellSouth on September 1, 1999.

Very truly yours,

Guy M. Hicks

GMH:ch
Enclosure

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Year 2000
Contingency Planning Work Book

Year 2000 Contingency Planning

1.0 Introduction

The Year 2000 poses a significant business challenge and management problem. Although the company has made major efforts to evaluate, remediate (where required), and certify compliant the critical systems and elements which support our business, and to ensure that our major vendors have done the same, the possibility of Y2K-related failures cannot be completely eliminated. Given this, the company must prepare itself for the possibility of system outages that may negatively impact critical business operations.

What will the company do if the environment or technology presents us with a crisis (or series of crises) at the turn of the century? Will we lose customers to competitors? Will we continue to generate revenue? Will we face major lawsuits? The answer to these questions is a well-developed and tested contingency plan, which includes:

1. Identification of critical business processes and supporting systems/applications
2. Identification of potential risk scenarios
3. Rating the likelihood of risk scenario occurrence
4. Assessment of the business unit impact
5. Creation of the contingency strategies for each risk scenario

1.1 Critical Business Processes

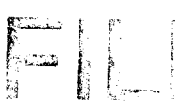
Recognizing that all business processes are not equally critical to the corporation, the decision has been made to focus contingency planning efforts on those critical processes which allow the company to provide, maintain, and bill for its products and services. The four critical business processes that will comprise the scope of the contingency planning effort have been identified and defined as follows:

1. **Ordering**--The company's ability to process customer orders for its critical products and services, as well as the company's ability to order critical products/services from its own vendors and suppliers.

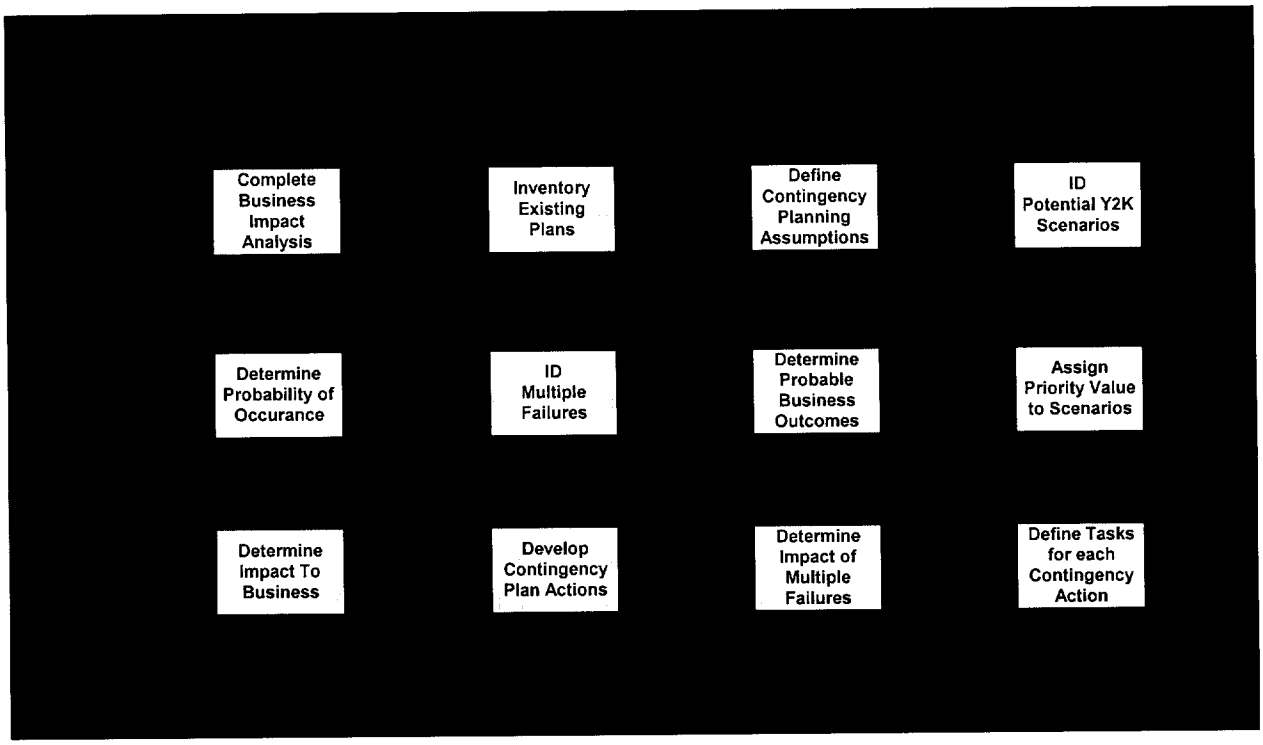
2. **Provisioning**--The company's ability to provide its critical products and services to customers.

3. **Maintenance/Repair**--The company's ability to accept customer trouble reports related to the functionality of its products and services. This also includes the company's ability to address and resolve the problem in a timely manner, in accordance with pre-established service levels.

4. **Billing**--The company's ability to generate accurate billing data for the products and services that it provides, so that the company can then perform its normal billing processes.



Contingency Planning Example



The following pages provide an in depth example of the step-by-step contingency planning methodology that can be used to develop contingency plans fo those critical processes that are contained within a single department/functional area or that span across multiple departments/functional areas. Each step is prefaced with a clear explanation of its purpose and objective. Additionally, sample templates that should be used to collect/evaluate data and document decisions are shown.

Step 1: Completing the Business Impact Analysis

Completing the Business Impact Analysis (BIA) is the first step in developing a Contingency Plan for your Business Unit. A thoroughly completed BIA will help you identify your critical business processes and the critical internal and external supporting components, such as systems, applications, and vendor-supplied components.

Sample Business Impact Analysis Form

Company_____

Department (i.e. Sales, Marketing, etc)_____

Y2K Executive Sponsor_____ **Phone:**_____

Y2k Contingency Planning Project Manager_____ **Phone:**_____

Primary function(s) of your department/organization:

***Key* business processes that support primary function(s):**

The following questions should be answered for each of the processes identified above.

Please note that a copy of the data should also be submitted to the Year 2000 office for review and storage.

Process Name:

_____

1) Provide the name and telephone number of the key individual who owns this process.

2) Does this process support Ordering, Provisioning, Maintenance/Repair, Billing, or some other process type? If other, please identify.

3) Identify any systems/applications/network elements that are critical to this process, that are administered (owned) in your organization, and used only within your organization.

   a) Do manual workarounds exist which would allow your group to continue business in the event that one or more of these internal systems/applications/network elements fail?

   b) If manual workarounds currently exist, identify and describe each one.

c) For each manual workaround identified above, indicate how long your department/organization could continue to function productively with it in place.

4) Identify any systems/applications that are critical to the above processes, that are administered (owned) in your organization, and used within your organization, as well as others.

a) Do manual workarounds exist which would allow your group to continue business in the event that one or more of these internal systems/applications/network elements fail?

b) If manual workarounds currently exist, identify and describe each one.

c) For each manual workaround identified above, indicate how long your department/organization could continue to function productively with it in place.

5) Identify any systems/applications that are critical to the above processes, that are administered (owned) in another organization, and used within your organization in support of this process.

a) Describe how each external system supports this process.

b) Do manual workarounds exist which would allow your group to continue business in the event that one or more of these external systems/applications fail?

c) If manual workarounds currently exist, identify and describe each one.

d) For each manual workaround identified above, indicate how long your department/organization could continue to function productively with it in place.

6) Identify all supporting non-IT equipment/components that are critical to this process.

7) Identify all internal and external vendors that support this process.

a) Indicate the component(s) supplied by the vendor and how the component supports this process.

b) Would your vendors be able to support manual workarounds? If so, have you made formal arrangements with the vendor? Provide specific details for each arrangement.

8) Indicate the financial impact to the corporation if this process is completely disabled for 1 day? 2 days? 1 week? 2 weeks? More than two weeks?

Note: If other increments of time are more applicable, please list and then answer the question appropriately.

9) What are the critical components of this process (i.e. what parts of the process are absolutely essential)?

a) Identify the employees who support/own each critical part of this process.

b) For each critical component of the process, indicate the required skill sets.

10) How many employees are required to maintain this process under normal business operations?

   a) What are the required skill sets for each job function which supports this process under normal business operations?

   b) Who are the employees who support this process (Provide name and phone number)? Indicate which job function each employee performs/is responsible for.

   c) For each employee, indicate where he/she works and what he/she requires on site in order to perform his/her job adequately?

   d) For each employee, indicate whether he/she could perform his/her job function remotely. If so, indicate what each employee would need to be able to work remotely (i.e. dial in access, computer, additional phone line, etc...)

   e) Which of these employees are critical to the process?

11) How many employees are required to maintain each of your critical processes using the manual workarounds previously identified?

   a) What are the required skill sets for each job function which supports the manual process?

   b) For these employees, where do they work and what do they require on site in order to perform their jobs adequately?

   c) Which of these employees are critical to the manual process?

   d) How do the employees who are critical to each process get to work (i.e. Mass transit etc.)?

Step 2: Completing the Contingency Plan Document Inventory Worksheet

The ***Contingency Plan Document Inventory Worksheet*** is used to identify all existing contingency plans and related documents that currently exist within your department/organization. A review of existing business unit documentation is necessary in order to determine if existing plans are viable in a Year 2000 environment, and if so, to identify any required modifications/enhancements.

Each business unit should inventory appropriate documents and complete the ***Contingency Plan Document Inventory Worksheet*** shown below. Later on in the planning process, each existing contingency plan will be evaluated for its applicability to the Y2K scenarios for which you will need to develop comprehensive contingency plans.

For example, within the sales unit in Atlanta, Georgia, the following existing plans have been identified:

Sample Contingency Plan Document Inventory Worksheet

Business Unit: Atlanta Sales Office Business Function: Premise and Telephone Sales Calls

Document ID	Document Name	Version #	Purpose	Business Unit	Effective Date	Contact	Phone
BC345	Sales Business Continuity Plan	1.0	To recover sales offices in the event of natural or man made disasters	Sales	10/1/96	Karen Miglionico	800-555-1212
BC346	Pro Disaster Recovery Plan	3.2.1	Recover the Pro system at hot site	BIS	11/12/97	Ed Brannon	770-675-4441
BC347	CLASS Disaster Recovery Plan	5.7	Recover the CLASS System at the hot site	BIS	05-02-95	Ed Brannon	770-675-4441

Step 3: Identifying Contingency Planning Assumptions

Identifying and documenting all assumptions that will guide your contingency planning effort is the next step in the planning process . Doing so will enable your organization/department to periodically evaluate the decisions that are made throughout the planning process so that any required adjustments can be made prior to January 1, 2000. Periodic evaluations of your contingency plans are critical as the millennium approaches, given that newly available information may alter decisions that were previously made. Additionally, these periodic reviews should also help your organization/department gain a more solid understanding of which scenarios are most likely to occur. In turn, the Emergency Response Center and your organization as a whole will be better prepared to handle Year 2000 related disasters if and when they occur.

For example the Atlanta Sales Office may identify the following assumptions:

Y2K Contingency Planning Assumptions
❑ All remediation efforts of internal systems that are critical will be successfully completed prior to 1/1/2000.
❑ Some external systems/applications/network components will not be successfully remediated prior to 1/1/2000.
❑ The voice and data network will not experience a Year 2000 related failure.

[1] Please note that these assumptions are listed as examples only. The fact that they are listed here does not in any way imply that they are valid. Nor does it imply that they should be utilized as valid assumptions during your contingency planning efforts without proper validation/verification.

Step 4: Identifying Potential Y2K Scenarios

Identifying potential scenarios and their potential business risk is the fourth step in developing a Year 2000 Contingency Plan for your organization/department. While the root of any Y2K scenario will be IT-based, it is important to identify scenarios that are not focused solely on your organization's own internal systems/applications/network components. Four types of risk scenarios should be defined during the contingency planning process. Adequate identification of *internal, external, geographic/regional,* and *supply chain management* risk scenarios will help ensure that the company is prepared to maintain its critical business operations in the event that a pre-identified scenario is triggered. For the purposes of the Year 2000 Contingency Planning effort, the four scenario types are defined as follows:

1. **Internal Scenarios** - Failure of critical *internal* systems/applications/network components.

2. **External Scenarios**- Failure of critical *external* systems/applications/network components that exist to facilitate the business operations of affiliates; includes vendors, suppliers, business partners, etc.

3. **Geographic/Regional Scenarios**-Failure of geographic/regional infrastructure components (i.e. electricity, telephony, mass public transportation, etc..) which affect the ability of affiliates to conduct business.

   (For examples of this type of scenario, please refer to Appendix.

4. **Supply Chain Scenarios** - Inter-office work flows and dependencies, etc... which exist between your department/organization and another department/organization

All identified scenarios and the corresponding business risk should be clearly documented on the *Scenario Planning Worksheet*. For example, the *Scenario Planning Worksheet* for the Sales Office might look as follows at this point in the planning process:

Sample Scenario Planning Worksheet

	[redacted]	Prob. [illegible]	[illegible]				[illegible]
			[illegible]	[illegible]	[illegible]	[illegible]	
External		[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Internal		[illegible]		[illegible]	[illegible]	[illegible]	[illegible]
Geographic/ Regional		[illegible]		[illegible]		[illegible]	[illegible]
Supply Chain		[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

Step 4B: Determining Probability of Occurrence

Once all potential scenarios have been identified, the probability of occurrence for each scenario should be assessed. Determining this value will assist you in identifying and prioritizing those scenarios for which Year 2000 Contingency Plans must be developed.

The following rating scale should be used:

Rating	Definition
0	No possibility of occurrence
1	Minimal possibility of occurrence
2	Good chance of occurrence
3	Very likely to occur
4	Will definitely occur

All ratings should be recorded on *the Scenario Planning Worksheet.* If continuing with the previous example, the *Scenario Planning Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Scenario Planning Worksheet

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

	Scenario	Business Risk	[redacted]	Impact to Business (0-3)				Priority Value
				Ops.	Fin/Legal	Cust. Exper.	Overall	
External	Vendor's Just-In-Time software for ordering supplies fails	Unable to replenish supplies and equipment	[redacted]	[illegible]		[illegible]	[illegible]	[illegible]
Internal	PRO System Application Fails	Sales Reps unable to use/access customer account information that is stored on laptops.	[redacted]					
Geographic/ Regional	Public transportation Fails	Any employees who rely on public transportation may not be able to report to work.	[redacted]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Supply Chain	CLS System Fails	Can't to send data feed of new listing information to BST.	[redacted]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

Step 4C: Impact To Business

Effective risk assessment addresses both scope and impact of the risk, as many risks span multiple products/services and markets. Given this, each scenario should be evaluated with respect to the Operational, Financial/Legal, and Competitive Exposure risk that could be incurred by your organization/department in the event that the scenario occurs. The three risk categories are defined as follows:

11) **Operational Risk**- Risk of losses caused by environmental and technological failures such as loss of internal systems, outsourced systems, telecommunications, power supply, facilities, breaches in internal controls or sabotage.

12) **Financial/Legal Risk**- Risk that the company's contractual arrangements with vendors, other suppliers, and customers do not adequately protect it from Year 2000 problems; Risk that the lack of internal due diligence or management weaknesses expose the company to losses from lawsuits or regulatory sanctions; Risk that revenue will fail to flow into the corporation.

13) **Competitive Exposure Risk** - Risk that negative publicity or other events related to the company's Year 2000 readiness, whether true or not, will result in loss of market share to competitors and/or diminished reputation within the community.

Impact to the business should be rated *as High, Medium, Low,* or *No Impact*, according to the following scale.

Rating	Definition
0	No impact
1	Low impact
2	Medium impact
3	High impact

Once a value has been assigned to each category--Operational, Legal/Financial, and Competitive Exposure--, all three should then be added together, to determine the *Overall Impact to Business* rating. As in the previous steps, these values should also be recorded on the *Scenario Planning Worksheet.*

If continuing with the previous example, *the Scenario Planning Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Scenario Planning Worksheet

	Scenario	Business Risk	Prob. to Occur (0-4)	[redacted]	[redacted]
External	Vendor's Just-In-Time software for ordering supplies fails	Unable to replenish supplies and equipment.	**2**		
Internal	PRO System Application Fails	Sales Reps unable to use/access customer account information that is stored on laptops.	**1**		
Geographic/ Regional	Public transportation Fails	Any employees who rely on public transportation may not be able to report to work.	**1**		
Supply Chain	CLS System Fails	Can't to send data feed of new listing information to BST.	**3**		

Step 4D: Assigning Overall Priority Value

Assigning an overall Priority Ranking is the next step in the planning process. This value will help you determine the level of importance of developing a Year 2000-specific Contingency Plan for each scenario. Accordingly, those scenarios that are assigned a high Priority Value should be given top priority within your organization/department.

The Priority Value should be calculated as follows:

Priority Value = Probability of Occurrence x Overall Impact To Business

If continuing with the previous example, *the Scenario Planning Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Scenario Planning Worksheet

	Scenario	Business Risk	Prob. to Occur (0-4)	Impact to Business (0-3)				Priority Value
				Ops.	Fin/ Legal	Comp Expos.	Over-all	
External	Vendor's Just-In-Time software for ordering supplies fails	Unable to replenish supplies and equipment	**2**	3	2	1	**6**	
Internal	PRO System Application Fails	Sales Reps unable to use/access customer account information that is stored on laptops.	**1**	3	2	2	**7**	
Geographic/ Regional	Public transportation Fails	Any employees who rely on public transportation may not be able to report to work.	**1**	1	0	2	**3**	
Supply Chain	CLS System Fails	Can't to send data feed of new listing information to BST.	**3**	3	3	3	**9**	

Step 4E: Completing the Scenario Planning & Ranking Worksheet

After assigning the overall Priority Value to each scenario, the next step is to rank the scenarios in order of importance (highest to lowest Priority Value). Doing this will help you determine the importance of developing contingency plans for each scenario. While not all scenarios will warrant a Year 2000-specific Contingency Plan, developing contingency plans for others will prove absolutely critical.

Please note, that the Priority Value calculation is subjective in that the value is dependent on your best-guess assessment of its probability of occurrence and its impact to the business. Given this, a manual adjustment should be made to any scenarios that were assigned a low Priority Value, but for which a contingency plan should be developed (perhaps for reasons such as due diligence, etc..).

If continuing with the previous example, *the Scenario Planning Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Scenario Planning Worksheet

	Scenario	Business Risk	Prob. to Occur (0-4)	Impact to Business (0-3)			
				Ops.	Fin/ Legal	Comp Expos.	Over-all
Supply Chain	CLS System Fails	Can't to send data feed of new sales information to finance.	**3**	3	3	3	**9**
External	Vendor's Just-In-Time software for ordering supplies fails	Unable to replenish supplies and equipment	**2**	3	2	1	**6**
Internal	PRO System Application Fails	Sales Reps unable to use/access customer account information that is stored on laptops.	**1**	3	2	2	**7**
Geographic/Regional	Public transportation Fails	Any employees who rely on public transportation may not be able to report to work.	**1**	1	0	2	**3**

Step 5: Completing the Probable Business Outcomes Worksheet: Assessing Business Unit Impact

Those items with a high Priority Value will require a detailed review in each business unit to identify specific business outcomes in the event of a failure. Additionally, medium and low priority items should be reviewed to determine whether some level of planning for each is needed by your business unit. This information should be captured on the Probable Business Outcomes Worksheet.

For example, if continuing with the previous example, the *Probable Business Outcomes Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Probable Business Outcomes Worksheet

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

	Scenario	Business Risk	Probable Business Outcome
Supply Chain	CLS System Fails	Can't to send data feed of new sales information to finance.	Financial dept unable to provide bottom line update to shareholders.
External	Vendor's Just-In-Time software for ordering supplies fails	Unable to replenish supplies and equipment	Inventory on short supply and will be depleted in 4-5 days.
Internal	PRO System Application Fails	Sales Reps unable to use/access customer account information that is stored on laptops.	Lost revenues in the amount of $25,000/day.
Geographic/ Regional	Public transportation Fails	Any employees who rely on public transportation may not be able to report to work.	5% of employees unable to travel to work

Step 6: CREATING CONTINGENCY STRATEGIES

The next step is to review existing business unit plans, such as the Emergency Preparedness Plan, Disaster Recovery Plans, Work Stoppage Contingency Plans, etc... for applicability to the high priority scenarios previously identified. Once this is done, strategies can then be developed to enhance and supplement the existing plans. This will help ensure that your organization/department identifies the measures that can be taken prior to the occurrence of the scenario (Prevention), as well as once the scenario is actually triggered (Mitigation).

Adequate contingencies must be put in place, which will either *prevent* or *mitigate* the problem. The objective is to be prepared and to offset the potential impact as much as possible, rather than having to react *after* a scenario has been triggered.

If continuing with the previous example, *the Prevention and Mitigation Actions Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Prevention and Mitigation Actions Worksheet

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

Scenario	Probable Business Outcome	Prevention (P) or Mitigation (M)	Action	Target Results	Covered in Existing Plan?	
					Document Name	Modifications Required?
CLS System Fails	Financial department unable to provide bottom line update to shareholders	M	Use fax machines	New sales figures faxed to Finance dept. for manual input.	BC345	Yes
Vendor's Just-In-Time software for ordering supplies fails	Inventory on short supply and will be depleted in 4-5 days.	P	Order and stock adequate supplies by 12/31/98.	Additional 21 days of inventory on hand		
PRO System Application Fails	Lost revenues in the amount of $25,000/day.	P	Print out all critical account data prior to January 1st, 2000	Sales staff will have access to all critical account data and will be able to maintain service levels.	BC345	Yes
Public transportation Fails	5% of employees unable to travel to work	P	Provide local hotel accommodations for 12/31/99 - 1/10/00	90% of employees available on-site to work	Abnormal Events Procedures	No
	"	M	Arrange carpool/van services for 12/31/99 - 1/10/00	90% of employees available on-site to work	Abnormal Events Procedures	No

Step 7: Multiple Failures

Year 2000 can present us with multiple failures at the same time. In addition, these failures can be from various sources. To compound matters, problems could be pervasive throughout the region, the nation or the world. In order to ensure that the Y2K Contingency Plans for the Business Unit are comprehensive, each action should be reviewed to determine whether modifications or additions are required as a result of multiple failures.

For each *Probable Business Outcome*, list all scenarios that could result in the outcome (under the appropriate headings --external, internal, supply chain, Geographic/Regional) and that have a reasonably good chance of occurring in your business unit. Then, review each action (previously defined) to determine whether the action itself should be modified or whether any new actions should be added in order to compensate for this increased business risk.

If continuing with the previous example, *the Dominate Multiple Failure Analysis Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Sample Dominate Multiple Failure Analysis Worksheet

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

Probable Business Outcome	Prevent (P) Or Mitigate (M)	Action	Target Results	Dominant Impacting Scenarios				Modify (M) or Add (A)
				EXTERNAL	INTERNAL	SUPPLY CHAIN	Geographic / Regional	Actions?
Finance dept unable to provide bottom line data to shareholders	M	Use fax [illegible] machines [illegible]	New sales figures faxed to finance dept for manual input	[illegible]	[illegible]	[illegible] System fails	Major Electrical Outage	[illegible]
Inventory on short supply and will be depleted in 4-5 days.	P	Order and stock adequate supplies by 12/31/98.	Additional 21 days of inventory on hand	Vendor's Just-In-Time software for ordering supplies fails			Major Electrical Outage	M
Lost revenues in the amount of $25,000/day.	P	Print out all critical account data prior to January 1st, 2000	Sales staff will have access to all critical account data and will be able maintain service levels.		PRO System Applicatio n Fails.		Major Electrical Outage	
5% of employees unable to travel to work	P	Provide Local hotel accom..	90% of employees available for work.				Public Transport Fails	

Step 7B: Revising the Prevention and Mitigation Action Worksheet

In the event that multiple scenarios can trigger the same probable outcome, the next step in the Contingency Planning Process is to determine whether the Prevention and Mitigation Actions that were previously defined require any modifications. The purpose of any modifications should be to increase the effectiveness of the proposed Action's (Prevention/Mitigation) ability to minimize the potential impact of the Y2K failure.

If continuing with the previous example, *the Revised Prevention and Mitigation Actions Worksheet* for the Sales Office in Atlanta might be similar to the following at this point in the planning process:

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

Scenario	Probable Business Outcome	Prevention (P) or Mitigation (M)	Action	Target Results	Covered in Existing Plan?	
					Document Name	Modifications Required?
CLS System Fails	Finance department cannot update bottom line data of Shareholders	[illegible]	[illegible]	[illegible]	[illegible]	Yes
		M	Hard copies of sales data are delivered to Finance dept.	Shareholder services able to update shareholders by phone until data can be input into system.		
Vendor's Just-In-Time software for ordering supplies fails	Inventory on short supply and will be depleted in 4-5 days.	P	Order and stock adequate supplies by 12/31/98.	Additional 21 days of inventory on hand		
PRO System Application Fails	Lost revenues in the amount of $25,000/day.	P	Print out all critical account data prior to January 1st, 2000	Sales staff will have access to all critical account data and will be able maintain service levels.	BC345	Yes
Public transportation Fails	5% of employees unable to travel to work	P	Provide local hotel accommodations for 12/31/99 - 1/10/00	90% of employees available on-site to work	Abnormal Events Procedures	No
	"	M	Arrange carpool/van services for 12/31/99 - 1/10/00	90% of employees available on-site to work	Abnormal Events Procedures	No

Step 8: Defining Task Level Details for Contingency Plans

Identifying detailed tasks for each Action (Contingency Plan) listed on the *Prevention and Mitigation Actions Worksheet*, is the last step in the Contingency Planning Process. All tasks should be assigned owners, start and stop dates, and dependencies, where appropriate.

If continuing with the previous example, a section of *the Sample Contingency Project Plan Worksheet* for the Sales Office in Atlanta might be similar to the following::

Sample Contingency Project Plan Worksheet

Business Unit: Atlanta Sales Office **Business Function:** Premise and Telephone Sales Calls

Scenario: PRO System Application Fails

Id	Action	Task	Dependency	Planned Date		Actual Date		Responsible
				Start	Stop	Start	Stop	
1	Print out all critical account data prior to January 1st, 2000	Determine what data is critical	None	10/1/98	10/9/98			Jane Doe
2		Determine how long printing process will take.	1					
3		Obtain printing supplies	none	11/1/98	12/1/98			Al Smith
4		Determine date for printing data	2	3/1/99	6/1/99			John Hancock
5		Print account data	2	11/1/99	12/1/99			Jane Doe
6		Distribute data to Account Reps.	5	12/1/99	12/1/99			Al Smith

ATTACHMENT A: Contingency Plan Document Inventory Worksheet

Business Unit:_____ Business Function:_____

Document ID	Document Name	Version #	Purpose	Business Unit	Effective Date	Contact	Phone

ATTACHMENT B: Scenario Planning Worksheet

Scenario Planning Worksheet

Business Unit: _____ **Business Function:** _____

	Scenario	Probability of Occur (0-4)	Business Risk	Impact to Business (0-3)				Priority Ranking
				Ops	Finance/ Legal	Comp. Exposure	Overall	
EXTERNAL								
GEO/ REGIONAL								
INTERNAL								

ATTACHMENT C: Scenario Priority & Ranking Worksheet

Business Unit:_____ **Business Function:**_____

Rank	Priority	Scenario	Business Risk
1	High		
2			
3			
4			
5			
6			
7			
8	Medium		
9			
10			
11			
12			
13	Low		
14			
15			

ATTACHMENT D: Probable Business Outcomes Worksheet

Business Unit:_____ **Business Function:**_____

Scenario	Business Risk	Probable Business Outcomes

ATTACHMENT E: Prevention and Mitigation Actions Worksheet

Business Unit:_____ **Business Function:**_____

Probable Outcomes	Prevention (P) or Mitigation (M)	Action	Target Results	Covered in Existing Plan?	
				Document Name	Modification Required?

ATTACHMENT F: Dominant Multiple Failure Analysis Worksheet

Business Unit:_____ **Business Function:**_____

Probable Outcomes	Prevent (P) or Mitigate (M)	Action	Target Results	Dominant Impacting Scenarios						Modify (M) or Add (A) Actions?
				EXTERNAL		INTERNAL		SUPPLY CHAIN		

ATTACHMENT G: Multiple Dependency Scenario Worksheet

Business Unit:______________________ **Business Function:**______________________

		External									Internal							Supply Chain			
	SCENARIO	Public Transportation Fails	Major Electrical Outage	Major Storm Occurs	Financial Banking Industry Fails	Elevators Fail	Unavailability of Fuel				Building Security & Access Facilities Fail	Mission Critical Application Failure	Switches Fail	Official Communications Network Failure				Input Information incorrect/unavailable	Vendor/Supplier software fails		
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Supply Chain	Input Information incorrect/unavailable																				
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ATTACHMENT H: Contingency Project Plan Worksheet

Business Unit:_____ **Business Function:**_____

Id	Action	Task	Dependency	Planned Date		Actual Date		Responsible
				Start	Stop	Start	Stop	

Attachment I: Planning Issues

Internal Issues:

How do your employees get to work? If they drive, what happens if gas is not available? What if mass transit systems shut down? How far do they live? What happens if they need overnight accommodations? Will they be available to get to work in a short period of time in case of an emergency? Do you need to assign some to work on day 1? What skills are required to meet a key emergency? Will key employees be on vacation? What is required on premises? I.e., do they need bathrooms, electricity, food, etc.? How do they get paid? Are there security doors they need to get through that may not work? Do they rely on computers, systems, etc. to accomplish their tasks? What happens if any of these fail?

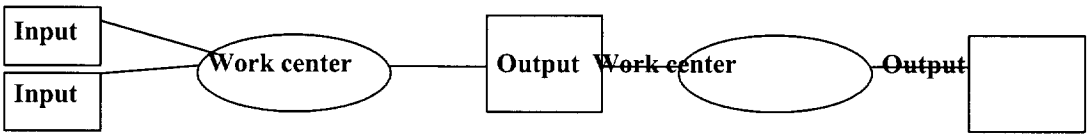
External Issues:

What happens if your major customers go out of service? (Consider different scenarios: One customer or many customers). What happens in case of a major weather related event? What suppliers do you depend on and what happens if they cannot deliver the tools and materials required in your department? Are there alternatives? (Short term and long term) What systems do you depend on? What happens if a major electrical outage occurs? What happens if external failures go beyond one day? One week? (Examples to consider: electrical, UPS, gas availability, mass transit, payroll systems, telecommunication systems, bank and electronic commerce failures)

Supply Chain Issues:

Who are the key stakeholders in your processes and where are all the places where things can go wrong?

Example:
In each of the following key areas of a simple process map, we need to consider the potential failures and the alternatives available:



(as many inputs as required) **(more than one output?)**

In addition, we need to consider those failures that are not readily apparent. What happens if the data received is corrupted? Each team needs a process to validate all input is accurate and valid. Consider how this can be prevented from occurring and how it can be verified to ensure it is not occurring. Can a snapshot of the system be taken a week prior to ensure data is not lost? Do we have date records so we can verify we are on track with history?

Timelines:

Timelines need to be established to ensure a successful and preventive contingency plan. What are the key dates? What issues need to be resolved and by what date? What tasks need to be accomplished by what dates?

Attachment J: Geographic/Regional Infrastructure Scenarios

The following are examples of geographic/regional infrastructure scenarios that your organization may need to consider during its contingency planning process.

What if:	How will:
❑ The airline industry can't fly planes?	❑ Company employees return from the heaviest vacation week of the year? ❑ Our supplier's and vendor's employees return from vacation?
❑ Local public transportation can't operate?	❑ Employees get to work? ❑ Employees on the job get home?
❑ The electric utility can't provide power?	❑ Switches, computers, PCs, work? ❑ We provide heat and light to our work facilities?
❑ Long distance facilities don't work?	❑ Employees in Atlanta communicate with employees in Miami? ❑ We contact our suppliers and vendors to fix problems?
❑ The banks can't process checks or ATM cards?	❑ We deposit customer remittances? ❑ We purchase emergency supplies? ❑ We pay our suppliers and vendors?
❑ We have a major network failure?	❑ Company retain customers? ❑ We win back those customers who moved to our competitors as part of their contingency plans?