

Prevalent™

Prevalent Business Resilience Assessment

Pandemic Subset

Authored by:

Prevalent Professional Services



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Document Purpose

This document provides example questions that can be leveraged to assess internal business units as well as third parties providing services to your organization. Questions are provided as either multiple choice, free text, or single selection. The question set below focuses on identifying immediate gaps which impact the readiness of your organization to react to pandemics.

Sample Questions – Internal Assessment

	Question	Potential Responses
1	<p>Does your organization have a Business Resiliency Plan, Pandemic Plan, or similar in place? Which of the following apply?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We have a documented Business Resiliency plan or similar in place <input type="checkbox"/> The plan is reviewed on at least an annual basis or following significant change <input type="checkbox"/> The plan has a formal owner <input type="checkbox"/> The plan is communicated and available to all necessary representatives
2	<p>Which of the following aspects are included within the Business Resiliency Plan, Pandemic Plan, or similar?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Activation criteria <input type="checkbox"/> Roles and responsibilities <input type="checkbox"/> Impact to provided services <input type="checkbox"/> Regular testing of resiliency measures <input type="checkbox"/> Personnel <input type="checkbox"/> Systems and assets <input type="checkbox"/> Facilities <input type="checkbox"/> Communication processes <input type="checkbox"/> Supply chain and logistics <input type="checkbox"/> Security controls

	Question	Potential Responses
3	<p>Has the organization identified call trees for both internal and external parties?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Our Business Resilience and/or Pandemic Plans include communication call trees <input type="checkbox"/> Our call trees identify whom to contact and time and frequency of communication for external parties <input type="checkbox"/> We have identified roles responsible for communicating to our internal staff should the organization be impacted by a pandemic <input type="checkbox"/> We have identified roles responsible for communicating to our customers should the organization be impacted by a pandemic <input type="checkbox"/> We have identified roles responsible for communicating to our Third Parties should the organization be impacted by a pandemic
4	<p>Has the organization taken into account the following scenarios, when undertaking an impact assessment against a pandemic threat?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Loss of staff <input type="checkbox"/> Government emergency legislation <input type="checkbox"/> Shutdown of operational facilities <input type="checkbox"/> Over-subscription of systems or service usage

	Question	Potential Responses
5	<p>Which of the following are applicable when describing your organization's approach to conducting Business Impact Assessments?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Impact assessments have been conducted on all systems, assets, and functions <input type="checkbox"/> Impact ratings have been determined following conclusion of the Impact Assessment process <input type="checkbox"/> Recovery Time Objectives (RTO) have been defined where applicable <input type="checkbox"/> Recovery Point Objectives (RPO) have been defined where applicable <input type="checkbox"/> Testing of RTOs and RPOs take place on a regular basis
6	<p>Do your organization have a dedicated Pandemic Plan in place? If no, is your organization creating one?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Yes, we have developed a Pandemic Plan, as part of our wider business resiliency planning <input type="checkbox"/> No, we have not developed a Pandemic Plan, but we are in the process of creating one <input type="checkbox"/> No, we have not developed a Pandemic Plan, and are not in the process of creating one
7	<p>Which of the following have been considered when managing the placement of personnel responsible for providing operational activities?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Our personnel are geographically dispersed across multiple locations <input type="checkbox"/> We review the placement of personnel and contingency options as part of our resiliency planning

	Question	Potential Responses
8	<p>Do your organization have the ability to enable “work from home” capabilities or segregation of workers via the use of protected clean rooms?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> As part of our Pandemic Plan, we have identified and can implement a “work from home” culture across the organization <input type="checkbox"/> As part of our Pandemic Plan, we have identified and can implement a “work from home” culture for parts of the organization <input type="checkbox"/> We have segregated and/or protected clean rooms for staff who become impacted by the pandemic <input type="checkbox"/> We do not have “work from home” capabilities or protected clean rooms for staff in place
9	<p>Does your organization have a policy covering “work from home” capabilities?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We have a policy in place that covers “work from home” capabilities <input type="checkbox"/> The policy includes guidance on health & safety practices <input type="checkbox"/> The policy is communicated to employees <input type="checkbox"/> Our work from home policy includes all staff operating in critical functions <input type="checkbox"/> Acceptable use of company assets <input type="checkbox"/> Security requirements & staff “work from home” guidelines
10	<p>Does your organization Incident Management Plan consider the response to potential hacker-led COVID-19 exploitation attacks?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We have a formally documented Incident Management Plan <input type="checkbox"/> Our Incident Management Plan includes identification, response, escalation and recovery of services following an incident <input type="checkbox"/> Our Incident Management Plan includes methods to address potential exploitation attacks <input type="checkbox"/> Our Incident Management Plan provides staff guidance on how to identify and report potential exploitation attacks

Question		Potential Responses
11	<p>Does your organization maintain up-to-date visibility on measures and mandates for handling pandemics from government(s)?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We maintain regular visibility on government updates and mandates <input type="checkbox"/> We communicate any government mandates to staff on a regular basis <input type="checkbox"/> We consider any government mandates related to pandemic situations as part of our Pandemic Plan reviews
12	<p>At what level within your organization are decisions being made concerning continuity and pandemic planning?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Decisions concerning continuity and pandemic planning are managed at a board level <input type="checkbox"/> Decisions concerning continuity and pandemic planning are managed by an individual responsible for business continuity <input type="checkbox"/> Decisions are made at a local level only (e.g., site-specific) <input type="checkbox"/> Decisions are made by individual functions <input type="checkbox"/> Responsibility for decisions concerning continuity and pandemic planning have not been assigned within the organization
13	<p>Have Service Level Agreements (SLAs) with customers been adjusted in line with the impact of the COVID-19 pandemic?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We have adjusted our SLAs for all critical and non-critical services that have been impacted, based on our business impact analysis <input type="checkbox"/> We have adjusted our SLAs for critical services only that have been impacted, based on our business impact analysis <input type="checkbox"/> We have not adjusted our SLAs for any critical or non-critical services that have been impacted, based on our business impact analysis <input type="checkbox"/> We have reviewed SLAs with customers and there will be no degradation to service based on our business impact analysis

	Question	Potential Responses
14	<p>Are there any services that are no longer available as a result of the COVID-19 pandemic?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We have critical services that are no longer available due to the impact of the COVID-19 pandemic <input type="checkbox"/> We have only non-critical services that are no longer available due to the impact of the COVID-19 pandemic <input type="checkbox"/> Both critical and non-critical services have remained available
15	<p>What is your organization's timeline for providing accurate and up-to-date information to customers if services are impacted?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We provide initial communication to our customers upon activation of our Pandemic Plan <input type="checkbox"/> We provide regular communication for the duration of which services remain impacted <input type="checkbox"/> We provide ongoing communication to our customers when changes impact our ability to provide products and services
16	<p>Does your organization currently have awareness of resiliency planning put in place by Third Parties?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> All Third-Party interactions and delivery have been reviewed <input type="checkbox"/> The majority of Third-Party interactions and delivery have been reviewed <input type="checkbox"/> A minority of Third-Party interactions and delivery have been reviewed <input type="checkbox"/> Purely critical Third-Party interactions and delivery have been reviewed <input type="checkbox"/> No Third-Party interactions and delivery have been reviewed

	Question	Potential Responses
17	<p>Which of the following processes do your organization have in place to manage supply chain and Third-Party resilience?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Third-Party tiering is performed to understand service criticality <input type="checkbox"/> Business resilience due diligence takes place <input type="checkbox"/> Escalation contacts are defined <input type="checkbox"/> RTO (Recovery Time Objective) and RPO (Recovery Point Objective) requirements are defined <input type="checkbox"/> Termination and replacement services are defined <input type="checkbox"/> Notification requirements are defined
18	<p>Which of the following processes does your organization have in place for public communications?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Public statement is made available <input type="checkbox"/> Regular updates are provided to customers and prospects <input type="checkbox"/> Public communication requirements are determined and conducted in line with a formal triage process <input type="checkbox"/> We monitor Third-Party and supply chain public communications

Sample Questions – External Third-Party Assessment

	Question	Potential Responses
1	<p>Please list the services your organization is currently providing as part of regular contractual commitments.</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Manufacturing <input type="checkbox"/> Finance <input type="checkbox"/> Construction <input type="checkbox"/> Transport <input type="checkbox"/> Insurance <input type="checkbox"/> Retail <input type="checkbox"/> Marketing <input type="checkbox"/> Telecoms <input type="checkbox"/> Technology <input type="checkbox"/> Information Technology <input type="checkbox"/> Sales <input type="checkbox"/> Other (Please Describe)
2	<p>How would your organization evaluate the criticality of service you provide to the client requesting this assessment?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> The service forms a critical component of the client's revenue generating services <input type="checkbox"/> The service does not form a critical component of the client's revenue generating services <input type="checkbox"/> I am unable to determine the criticality of the service
3	<p>Are any of the services provided currently impacted by COVID-19 restrictions or response plans?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Services are currently impacted by COVID-19 <input type="checkbox"/> Services are expected to be impacted within the next week <input type="checkbox"/> Services are expected to be impacted within the next month <input type="checkbox"/> Services are expected to be impacted within the next quarter <input type="checkbox"/> Services are not expected to be impacted in the short or mid term

	Question	Potential Responses
4	<p>Which of the following aspects are included within your organizational business resiliency plan?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Activation criteria <input type="checkbox"/> Roles and responsibilities <input type="checkbox"/> Impact to provided services <input type="checkbox"/> Regular testing of resiliency measures <input type="checkbox"/> Personnel <input type="checkbox"/> Systems and assets <input type="checkbox"/> Facilities <input type="checkbox"/> Communication processes <input type="checkbox"/> Supply chain and logistics <input type="checkbox"/> Security controls
5	<p>Within which of the following areas are your organization anticipating service delivery impact as a result of COVID-19?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Scope of services delivered <input type="checkbox"/> Personnel <input type="checkbox"/> Systems and Assets <input type="checkbox"/> Facilities <input type="checkbox"/> Communication processes <input type="checkbox"/> Supply chain and logistics <input type="checkbox"/> Security controls
6	<p>Which of the following mechanisms are in place to inform customers of any material impact to services provided?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Escalation trees and communications paths <input type="checkbox"/> Email-based notifications <input type="checkbox"/> Web-based notifications <input type="checkbox"/> Telephone-based notifications <input type="checkbox"/> 24/7 high-severity notifications

	Question	Potential Responses
7	<p>What is the response timeframe to inform customers of notable degradation to service?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> As soon as we are aware of expected degradation to service <input type="checkbox"/> Immediately upon degradation <input type="checkbox"/> Within 4 hours of degradation <input type="checkbox"/> Within 12 hours of degradation <input type="checkbox"/> Within 24 hours of degradation <input type="checkbox"/> Within 3 days of degradation <input type="checkbox"/> We do not inform in the event of degradation
8	<p>Are any of the services provided hosted in a location with a high-exposure rate of COVID-19 at the time of writing?</p> <p><i>(Please select a single response)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> We operate all of services from a high-exposure location <input type="checkbox"/> We operate a majority of services from a high-exposure location <input type="checkbox"/> We operate a minority of services from a high-exposure location <input type="checkbox"/> We do not operate services from a high-exposure location
9	<p>Are any detrimental changes anticipated in the ability to control and manage any of the following as a result of COVID-19?</p> <p><i>(Please check all that apply)</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> Data security <input type="checkbox"/> Personnel security <input type="checkbox"/> Physical security
10	<p>Who is the point of contact for escalation or discussion for COVID-19 service delivery queries?</p> <p><i>(Please provide name, role, email address, contact number)</i></p>	

About Prevalent

Prevalent helps enterprises manage risk in third-party business relationships. It offers the industry's only purpose-built, unified platform that integrates a powerful combination of automated assessments, continuous monitoring, and evidence sharing for collaboration between enterprises and vendors. No other product on the market combines all three components, providing the best solution for a highly functioning, effective third-party risk program.

To learn more, please visit www.prevalent.net.

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