



U.S. Customs and
Border Protection

Attachment K

IT Contingency Plan Template

HB 1400-05D
Information Systems Security Policies and
Procedures Handbook

Version 2.0

July 27, 2009

DOCUMENT CHANGE HISTORY

Version	Date	Description
1.0	July 27, 2009	Initial CBP 1400-05D release based solely on DHS 4300A, Version 6.1.1, attachment. There are no substantive differences between this CBP attachment and its source DHS attachment. This attachment is included as part of the CBP 1400-05D handbook suite to enable the CBP user to be able to access all IT security policies (DHS as well as CBP specific) at one location.
2.0	December 21, 2010	Incorporated information addressing backup operations plan, written access control policies and procedures, and preservation of audit information.

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1.0 OVERVIEW

A Contingency Plan documents the management policy and procedures designed to maintain or restore business operations, including computer operations, possibly at an alternate location, in the event of emergencies, system failures, or disaster (see Section 3.9.6 of the CBP 1400-05D Information Systems Securities Policies and Procedures Handbook). The specific control requirements and level of effort are determined based on the IT system's security categorization. The level of resources for the Contingency Plan is based on the security categorization for the availability security objective:

- For systems with a **low impact for availability**, the system owner can determine the Contingency Plan format and content that is appropriate for the system and its environment. The Contingency Plan generated in the Risk Management System (RMS) automated Certification and Accreditation (C&A) tool can also be used.
- For systems with a **moderate impact level for availability**, the default Contingency Plan template in RMS should be used.
- Systems with a **high impact level for availability** should develop a rigorous Contingency Plan. The DHS-developed high impact version of a contingency plan, *IT Contingency and Disaster Recovery Plan*, should be used. This template is provided in this attachment (see below). It can also be found in the Additional Documents section of RMS. The high impact plan can be received in RMS when creating a package, by answering "Yes" to additional documents in the questionnaire.

The DHS *Certification and Accreditation Guidance for SBU Systems* provides detailed information on developing the Contingency Plan within RMS.

The template included in this attachment is for HIGH IMPACT AVAILABILITY IT SYSTEMS only. The template contains instructions for completing specific sections where practical. Text is added in certain sections; however, this information is intended only to suggest the type of information that may be found in that section. The text is not comprehensive and should be modified to meet specific agency and system considerations. The IT Contingency Plan should be marked with the appropriate security label, such as For Official Use Only.

2.0 RELATIONSHIP TO CONTINUITY OF OPERATIONS PLAN

IT Contingency Plans, for critical systems identified within a Continuity of Operations (COOP) Plan, should be developed and included as appendices to the COOP Plan.

The COOP Plan(s) should cross reference the associated IT Contingency Plan(s) and the IT Contingency Plan(s) should cross-reference the COOP Plan(s).

Allowable outage times identified in IT Contingency Plan(s) should coincide with the business functionality Minimum Allowable Outage/Downtime (MAO) identified in the COOP Plan(s).

3.0 TEMPLATE USAGE/GUIDANCE

Repetitive entries or guidance throughout this template are marked with braces ({}) to allow for global find and replace edits or deletion as appropriate. When performing these global edit actions the inclusion of the braces is appropriate for the original (find) value but not for the

replacement value. Additionally, the use of the brace characters should be used to locate text that was informative or guidance in nature which should be removed from the completed plan.

This page and all preceding pages are to be removed.