

**Manual for the Development of Contingency
Plans in Financial Institutions**
(Plans for Measures in the Event of Emergencies)

The Center for Financial Industry Information Systems (FISC)

October 2001

This document is a sample of the translation prepared by the International Bankers Association. The complete translation is 200 pages and is priced at ¥37,000 for IBA member institutions. Please contact the IBA Secretariat to order.

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Preface

The financial information system in Japan has developed remarkably due to the progress of liberalization and internationalization of finance, the reform of information processing technology, and other factors. The financial information system is an important system and one of the Japanese economy's essential "infrastructures." Accordingly, entities that maintain and manage financial information systems are required to endeavor continuously to prevent possible system failures resulting from various threats, and to minimize effects caused by system failures.

Among threats that have a high potential to cause financial information system failure, are unusual situations that are difficult to predict, such as natural disasters and peculiar human disasters including terrorism. Consequently, all disasters cannot be predicted, and all possible preventative measures cannot be taken.

The contingency plan (the plan in the event of emergencies) is a program whereby entire organizations take organized measures to minimize the negative impact resulting from unexpected system failures, such as avoidance of disorders related to disruptions in financial information systems, and measures to continue services. The preparation of a contingency plan is regarded as one of the important safety measures in the FSIC document entitled "Safety Measure Standards for Computer Systems for Financial Institutions". However, the Safety Measure Standards for Computer Systems does not contain concrete contingency plan examples.

As a supplement to the previously mentioned document, we have published the "Manual for Development of Contingency Plans in Financial Institutions" and the "Outline of Contingency Plans in Financial Institutions," through the cooperation of individuals and organizations in finance-related industries.

Time has elapsed since publishing both the manual and the outline, and we believe it is advantageous to utilize the experience gained in developing contingency plans in anticipation of the 2000 computer problem (Y2K problem). We decided to review the contents of both of the manual and outline, and from January to May 2001 we held seven sessions of the "Working Group to Study the Development and Use of Contingency Plans in Financial Institutions". This document was drawn from the deliberations of said Working Group, and finalized after recommendations from the "Committee for the Examination of Revision of Safety Measure Standards" in May 2001.

It contains both the above-mentioned manual and outline for easy reference and convenience, and offers simple examples and practical descriptions of the latest concrete developments in contingency planning.

We are pleased that this Manual will be widely used in financial institutions for reference in developing contingency plans or in reviewing existing contingency plans. Finally, I hereby express my appreciation to all members of the Working Group and Committee for their effort in preparing this Manual despite their business responsibilities.

October 2001

The Center for Financial Industry Information Systems (FISC)

Toshio Osu, President

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