

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

(Third Edition)

March 2006

The Center for Financial Industry Information Systems (FISC)

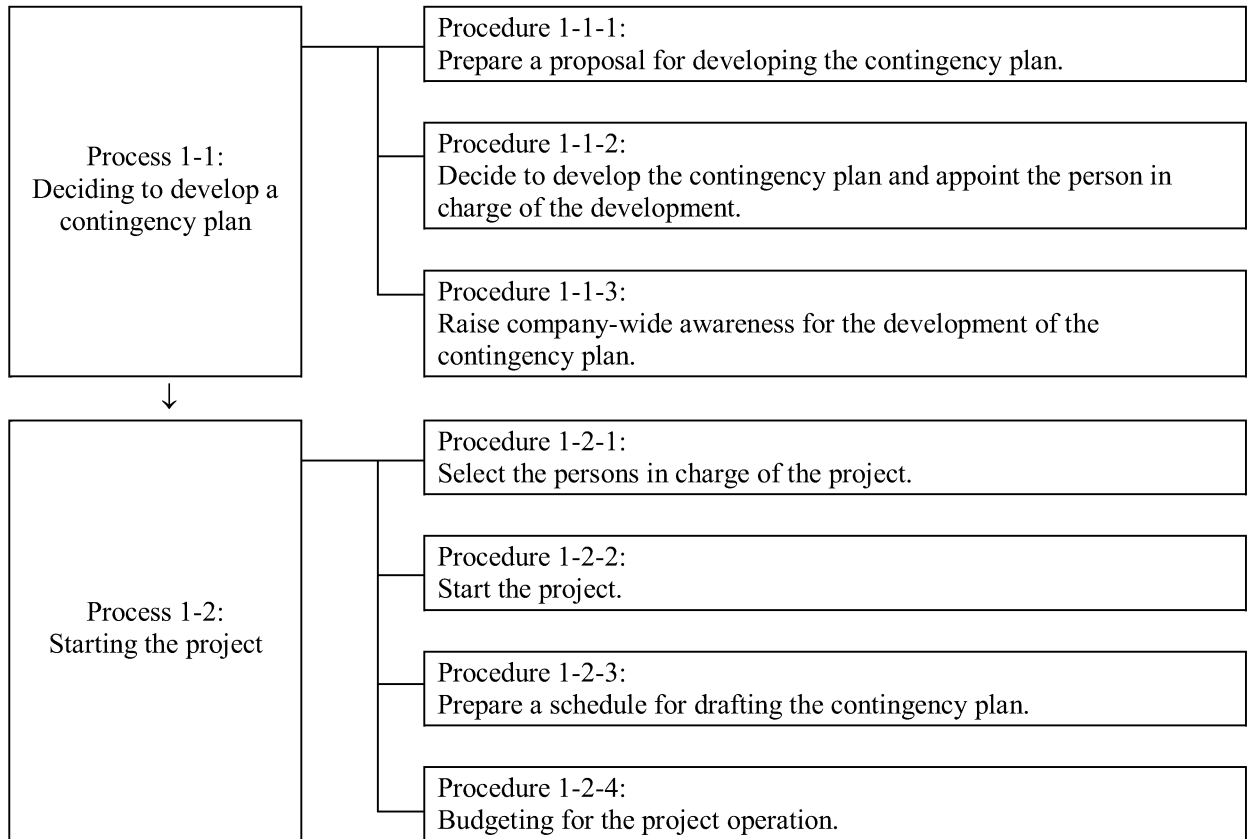
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1. First Process: Recognizing necessity and forming a promoting organization

The flow of the First Process is as follows.

Figure 1 Flow of the First Process



Part 3

First Process	Recognizing necessity and forming a promoting organization	Division in charge	Management Planning Division Systems/Administration and Planning Division
		Related division	-

Process 1-1	Deciding to develop a contingency plan
The management resolves to formulate a contingency plan.	

[Basic ideas]

By nature, it is extremely difficult to ascertain the effects of the investment in a contingency plan until an emergency actually occurs and the results of the plan can be demonstrated. Moreover, the development of the plan cannot be realized without the cooperation of the key internal divisions of the company.

Accordingly, in order to continue the services of financial institutions that assume a social mission, it is preferable that the management, who have responsibilities to customers and shareholders, sufficiently recognize the importance of contingency plans, participate in important decisions in the planning process, and promote plan development from a company-wide perspective.

Therefore, before a contingency plan is developed, the management needs to have resolved that such a plan will be developed, and there needs to be company-wide recognition.

Procedure 1-1-1	Prepare a proposal for developing the contingency plan.
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See [Points for consideration1-1 1.]

1. A division in charge arranges a proposal comprised of the following, and has the management recognize the importance of contingency plans.
 - 1) Assumed risks (causes)
 - 2) Confirmation of how security measures are being implemented in the company
 - 3) Need for a contingency plan in the company
 - 4) Scope of the contingency plan (operational scope, regional scope, etc.)
 - 5) Person responsible for developing the contingency plan (responsible person in charge within the management), person responsible for the managing the project and the organization for drafting the contingency plan
 - 6) Period of time and approximate costs needed to develop the contingency plan (However, only the required costs up until the contingency plan is developed, and not including the required costs once the contingency plan has been activated. See [Process 3-3].)