

DRJ's Rules & Regulations

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AFMA KRI Definitions & Guidelines	GP	Australian National Audit Office (ANAO)	Australia	Multiple published documents provided by the ANAO on the topic of business continuity, including: ANAO REPORT NO. 6 OF 2014–2015 Business Continuity Management ANAO REPORT NO. 9 OF 2003–2004 Business Continuity Management and Emergency Management in Centrelink ANAO REPORT NO. 46 OF 2008–2009 Business Continuity Management and Emergency Management in Centrelink ANAO REPORT NO. 53 OF 2002–2003 Business Continuity Management Follow-on Audit ANAO REPORT NO. 16 OF 2008–2009 The Australian Taxation Office's Administration of Business Continuity Management SPEECH Published: Wednesday, February 23, 2000 Business Continuity Management: Opening remarks at a launch of a Better Practice Guide	dates vary		Amb		https://www.anao.gov.au/work?query=BCM	✓	✓	✓	✓	✓	✓	✓	✓
APRA - Prudential Standard CPS 232 Business Continuity Management	Std	Australian Prudential Regulation Authority (APRA)	Australia	This Prudential Standard requires each APRA-regulated institution and Head of a group to implement a whole-of-business approach to business continuity management that is appropriate to the nature and scale of the operations. Business continuity management increases resilience to business disruption arising from internal and external events and may reduce the impact on the institution's or group's business operations, reputation, profitability, depositors, policyholders and other stakeholders.	Aug 2018		IAI		https://www.apra.gov.au/sites/default/files/Prudential-Standard-CPS-232-Business-Continuity-Management-%28July-2017%29.pdf	✓							
AS/NZS 5050:2010 Business continuity - Managing disruption-related risk	Std	Standards Association of Australia	Australia, New Zealand	Provides a generic guide for Business continuity - Managing disruption-related risk. It may be applied to a wide range of activities or operations of any public, private or community enterprise, or group.	Jun 2010		Wat		http://infostore.saiglobal.com/store/details.aspx?ProductID=1409610	✓	✓	✓	✓	✓	✓	✓	✓
ANAO Better Practice Guide: Business Continuity Management - Building resilience in public sector entities. June 2009	Std	ANAO (Australian National Audit Office)	Australia, New Zealand	Business continuity management is an essential component of good public sector governance. It is part of an entity's overall approach to effective risk management, and should be closely aligned to the entity's incident management, emergency response management and IT disaster recovery. Successful business continuity management requires a commitment from the executive to raising awareness and implementing sound approaches to build resilience. This Guide has been produced following consultation with Australian Government and private sector entities. The Guide provides a refreshed version of a previous ANAO Guide. The new version is presented in a more user-friendly format, and includes contemporary practical advice, case studies and references as well as exploring issues within the business continuity environment that have arisen since the previous ANAO publication. The Guide will be a useful reference document for boards, chief executives and senior management in public sector entities	Aug 2018		Enf		Better practice guides Australian National Audit Office (anao.gov.au)		✓	✓	✓	✓			✓
AS/NZS Good Management Practice - Business Continuity Management	Std	Standards Association of Australia	Australia, New Zealand	Business continuity management is a process that helps an organisation better understand and prioritise threats in the event of a crisis, reduce the likelihood of those threats, and ensure good recovery. Business continuity management is part of a business's overall approach to effective risk management. The set provides guidance on societal security, business continuity management, information technology security techniques as well as planning for emergencies and disruption.	Nov 2014		Enf		Australian Business Continuity Management Standard AS/NZS 5050:2010 – A Risk Perspective – Complispace (wordpress.com)	✓							
AS/NZS ISO 31000:2009 Risk management - Principles and guidelines	Std	Standards Association of Australia	Australia, New Zealand	Provides a generic guide for Risk management - Principles and guidelines. It may be applied to a wide range of activities or operations of any public, private or community enterprise, or group.	Nov 2009		Enf	Audit Report: The objective of the audit was to assess the adequacy of selected Australian Government entities' practices and procedures to manage business continuity. To conclude against this objective, the ANAO adopted high-level criteria relating to the entities' establishment, implementation and review of business continuity arrangements.	https://www.isa.org.au/files/files/documents/asnzs_31000_2009.pdf	✓	✓	✓	✓	✓	✓	✓	✓
AS/NZS ISO/IEC 27001:2006 Information technology - Security techniques - Information security management systems - Requirements	Std	Standards Association of Australia	Australia, New Zealand	Adopts ISO/IEC 27001:2006 to provide a model for establishing, implementing, operating, monitoring, reviewing, maintaining and improving an Information Security Management System (ISMS). This Standard can be used in order to assess conformance by interested internal or external parties.	Jun 2006		Enf		AS/NZS ISO/IEC 27001:2006 Information technology - Security techniques - Information security management systems - Requirements (saiglobal.com)	✓	✓	✓	✓	✓	✓	✓	✓

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20 Questions Directors Should Ask about Crisis Management	GP	The Risk Management and Governance Board (RMGB) of the Canadian Institute of Chartered Accountants (CICA)	Canada	This briefing describes how directors can become more aware of the potential for crisis and how they can contribute to crisis management. There are four sections of questions and suggestions on the elements that contribute to successful crisis management: responding to sudden crises, detecting early warning signals, responding to the early warning signals of potential crises, and learning from experience.	Jan 2008		Enf		https://www.scribd.com/document/308318410/20-Questions-Directors-Should-Ask-About-Crisis-Management-2008-pdf	✓								
B.C. Emergency Program Act	Reg	Ministry of Justice and Attorney General, Emergency Management British Columbia	Canada	Multi-agency hazard plans for B.C. are prepared and updated regularly by the Province to ensure an effective strategy is in place to address many possible types of emergencies and disasters. These plans foster cooperation among multiple organizations. They focus on public safety, infrastructure and property protection and management of the aftermath of events. British Columbia's comprehensive emergency management system promotes a coordinated and organized response to all emergency incidents and disasters. The structure provides the framework for a standardized emergency response in the province.	Mar 2018		Wat	The comprehensive set includes: - AS ISO 22301:2017 Societal security - Business continuity management systems - Requirements - AS ISO 22313:2017 Societal security - Business continuity management systems - Guidance - AS/NZS 5050:2010 Business continuity - Managing disruption-related risk - AS 3745-2010 Planning for emergencies in facilities	https://www.bclaws.gov.bc.ca/civix/document/id/complete/stra/reg/00_96111_01	✓	✓	✓	✓	✓	✓	✓	✓	
Bill 198 (Canadian SOX)	Reg	Ontario Government	Canada	Bill 198 deals with virtually all of the same issues as Sarbanes-Oxley, including auditor independence, audit committee responsibilities, CEO and CFO accountability for financial reporting and internal controls, faster public disclosure, and stiffer penalties for illegal activities. The most significant difference between the US SOX and C-SOX: - Canadian companies do not have to submit an external auditor attestation of the adequacy of internal controls. - Canadian companies are supposed to deliver a "reasonable assurance" of preventing risk of material misstatement. And to give that assurance, the companies are supposed to show high level of commitment, care and meticulousness for reviewing and documenting their internal controls.	Apr 2003		Wat		https://rsmcanada.com/what-we-do/services/consulting/risk-advisory/internal-audit-and-controls-services/bill-198-sarbanes-oxley-compliance.html	✓	✓	✓	✓	✓	✓	✓	✓	
Business Continuity Management Guideline	GP	Autorité des marchés financiers-AMF, Quebec	Canada	This guideline sets out the expectations of the AMF regarding business continuity management for financial institutions operated in Quebec	40269		Wat		https://www.canada.ca/en/services/policing/emergencies/continuity.html	✓								
Business Continuity Planning Resources and Checklists Library	GP	Public Health and Safety, Government of Canada	Canada	Reference Library of links to Business Continuity Planning resources provided by different federal and provincial organizations in Canada	2013		Wat		https://www.bdc.ca/en/Documents/businesscontinuityplanning/checklist.pdf	✓								
Canadian Aviation Security Regulations, 2012 (SOR/2011-318) Section 452.27 1,2,4; Section 325 1,2,4; Section 169 1,2,4; Section 63 1,2,4	Reg	Transport Canada	Canada	The operator of an aerodrome must develop and maintain a business continuity plan that, at a minimum, sets out how the operator will re-establish normal operations and comply with section 324 in the event that the operator is unable to use its restricted area access control process to comply with that section.	2012		Wat	Organizational Resilience: Security, Preparedness and Continuity Management Systems - Requirements with Guidance for Use Standard(ASIS SPC.1-2009); document may be purchased	Canadian Aviation Security Regulations, 2012. (justice.gc.ca)	✓	✓	✓	✓	✓	✓	✓	✓	
Derivatives Regulation, RRC, c1-14.01	Reg	Regulations of Quebec	Canada	DIVISION II.3 11.23. Persons who apply for qualification under section 82 of the Act must demonstrate that they meet the obligations under sections 82.1 to 82.3 of the Act as well as the following obligations: ... (3) they have developed an emergency and contingency plan to ensure business continuity.	Feb 2021		Enf	The Provincial Emergency Program (PEP) is a division of the Ministry of Justice and Attorney General, Emergency Management British Columbia, Canada.	1-14.01_r_1 - Derivatives Regulation (gouv.qc.ca)								✓	
Earthquake Planning for Business	GP	Emergency Preparedness for Industry and Commerce Council EPICC	Canada	This guide is meant to provide practical and reliable earthquake preparedness, response and recovery information for businesses in British Columbia. The guidelines are intended to equip any business owners, managers, supervisors and employees with the tools to develop earthquake preparedness and response plans and procedures by: - Offering guidance and a standard approach to earthquake planning - Providing a framework with which to prepare your organization for its specific earthquake vulnerabilities - Providing a template for developing your organization's emergency plans	Nov 2013		Wat	no amendment record	Earthquake Planning Guide for Business (iclr.org)	✓								

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Emergency Management Act	Reg	Senate and House of Commons of Canada	Canada	Requires the Minister of Public Safety in Gov.Canada to: establishing policies and programs for the preparation of emergency management plans; control emergency management plans prepared by federal entities; coordinating the federal response to an emergency; coordinating federal and provincial emergency management activities coordinating the provision of non-financial assistance to a province and any declarations; participating in international emergency management activities; establishing arrangements for continuity of government; promoting a common approach to emergency management, including the adoption of standards and best practices; and conducting exercises and providing emergency management education and training.	10-Aug-21		Amb	The Emergency Management Act is a law established by the Canadian government that outlines the Minister of Public Safety and Emergency Preparedness as it relates to Canada, the United States and in general	Emergency Management Act (justice.gc.ca)	✓								
Emergency Management and Civil Protection Act (EMPCA)	Reg	Government of Ontario	Canada	Under Provincial legislation, the Emergency Management and Civil Protection Act (EMPCA) , every municipality in Ontario is required to have an Emergency Management Program.	29-Aug-19		Wat	No amendment record	http://www.bis.org/pub/bcbs189.pdf	✓								
Emergency Management Planning Guide	GP	Public Safety Canada	Canada	The Emergency Management Planning Guide supports federal institutions in meeting their responsibilities under the Emergency Management Act (2010-2011) to prepare and maintain mandate-specific emergency management plans.	January 31 2018		Wat	No amendment record	Emergency Management Planning Guide (publicsafety.gc.ca)	✓	✓	✓	✓	✓	✓	✓	✓	
ERCB Directive 071	Reg	Energy Resources Conservation Board /ERCB	Canada	The ERCB's Directive 071: Emergency Preparedness and Response Requirements for the Upstream Petroleum Industry details emergency preparedness and response requirements that apply to the production, drilling, transportation, and processing of petroleum. It sets out additional requirements specific to sour gas wells, sour gas production facilities and associated gathering systems, high vapour pressure pipelines, spills, and natural gas storage.	Feb 2,2017		Enf	Shortly after the bill was passed, Canadian securities commissions issued three additional regulations: Multilateral Instrument (MI) 52-108, MI 52-109 and MI 52-110.	Emergency Preparedness and Response Requirements for the Petroleum Industry (aer.ca)	✓								
IIROC Rule 17.16 - Business Continuity Plan Requirement	Reg	Investment Industry Regulatory Organization of Canada	Canada	Every Dealer Member shall establish and maintain a business continuity plan identifying the necessary procedures to be undertaken during an emergency or significant business disruption. Such procedures shall be reasonably designed to enable the Dealer Member to stay in business in the event of a future significant business disruption in order to meet obligations to its customers and capital markets counterparts and shall be derived from the Dealer Member's assessment of its critical business functions and required levels of operation during and following a disruption. Every Dealer Member must also conduct an annual review and test of its business continuity plan to determine whether any modifications are necessary in light of changes to the member's operations, structure, business, or location.	Jul 2006	NA		BS 65000 is intended for anyone responsible for building resilience in their organizations. That includes risk managers and continuity practitioners and those involved with governance, emergency management and supply chain management.	Rule 17 - Dealer Member Minimum Capital, Conduct of Business and Insurance (iroc.ca)	✓	✓	✓	✓	✓	✓	✓	✓	
MO-002-2017	Reg	National Energy Board	Canada	An Emergency Response Plan (ERP) is required for all oil and gas operations under the jurisdiction of National Energy Board	2017	NA	Wat		https://www.cer-rec.gc.ca/en/about/acts-regulations/cer-act-regulations-guidance-notes-related-documents/processing-plant/2002-04-24mrgncprdrnssrpsns-eng.pdf	✓								
MR-0056: Member Regulation Notice - Business Continuity Planline	Reg	Mutual Fund Dealers Association of Canada	Canada	Provides guidance to Members regarding the development and implementation of business continuity plans.	Oct - 2006	NA	Enf	Responsibilities on Business Continuity: Back-up Operations Centers and Data Recovery Sites	https://mfd.ca/notice/msn-0056/	✓								

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National Instrument 21-101 Marketplace Operation; and National Instrument 31-103 Registration Requirements and Exemptions	Reg	Ontario Securities Commission (OSC)	Canada	Part 12 of NI 21-101 addresses marketplace systems and business continuity planning. It requires that each system operated by or on behalf of the marketplace that supports order entry, order routing, execution, trade reporting, trade comparison, data feeds, market surveillance and trade clearing must develop and maintain business continuity plans in accordance with business practices at least once a year. It also states that the regulator must be promptly notified of any material systems failure, malfunction, delay or security breach along with timely updates on status. Subsection 12.1(a,b,c) of National Instrument 21-101 Marketplace Operation requires marketplaces to develop and maintain an adequate system of internal controls and information technology controls over the systems and auxiliary systems. It also requires prompt notification to the regulator its regulation service provider of any material systems failures. Subsection 12.2 requires that the marketplace to annual engage a specified party to conduct independent systems review and prepare a report in accordance with audit standards. The report must be provided to its board of directors and the regulator. Subsection 12.3 requires the marketplace to make publically available all technology requirements regarding interfacing and accessing the marketplace in its final form. Subsection 12.4 requires the marketplace to provide uniform test symbols. Subsection 12.5 requires the marketplace to develop, maintain, and test reasonable business continuity plans to include disaster recovery plans. In addition, subsection 11.1(b) of National Instrument 31-103 Registration Requirements and Exemptions requires a registered firm to establish, maintain and apply policies and procedures that establish a system of controls and supervision sufficient to manage the risks associated with its business in accordance with prudent business practices.	Feb-2013	NA	Wat		https://www.osc.ca/en/securities-law/instruments-rules-policies/21-101/national-instrument-21-101-marketplace-operation https://www.osc.ca/en/securities-law/instruments-rules-policies/31-103	✓								
OSFI Guideline B-10 - Outsourcing of Business Activities, Functions and Processes	Reg	Office of the Superintendent of Financial Institutions Canada (OSFI)	Canada	An FRE's business continuity plan should address reasonably foreseeable situations (either temporary or permanent) where the service provider fails to continue providing service. The business continuity plan and back-up systems should be commensurate with the risk of a service disruption. In particular, the FRE's business continuity plan should ensure that the FRE has in its possession, or can readily access, all records necessary to allow it to sustain business operations, meet its statutory obligations, and provide all information as may be required by OSFI to meet its mandate, in the event the service provider is unable to provide the service.	2009	\$45	Enf		B-10 Outsourcing of Business Activities, Functions and Processes (osfi-bsif.gc.ca)	✓	✓	✓	✓	✓	✓	✓	✓	
OSFI Guideline B-9 - Earthquake Exposure Sound Practices	Reg	Office of the Superintendent of Financial Institutions Canada (OSFI)	Canada	Insurers must have contingency plans in place to ensure continued efficient business operations. The contingency plan should address the key elements of claims management, such as emergency communications links, availability and adequacy of claims and adjustment service personnel, and off-site systems back-up, that also includes reinsurance records.	2013	NA	Wat		Earthquake Exposure Sound Practices (osfi-bsif.gc.ca)	✓	✓	✓	✓	✓	✓	✓	✓	
Croatian Sabor: Credit Institutions Act	Reg	Croatian National Bank (CNB)	Croatia	Credit Institutions Act	2020	N/A	Enf	Act on Amendments to the Credit Institutions Act (EN/HR) available for download	https://www.hnb.hr/en/-/zakon-o-kreditnim-institucijama	✓							✓	
87/600/Euratom: Council Decision of 14 December 1987 on Community arrangements for the early exchange of information in the event of a radiological emergency	Reg	The Council of the European Union	European Union	These arrangements shall apply to the notification and provision of information whenever a Member State decides to take measures of a wide-spread nature in order to protect the general public in case of a radiological emergency following: (a) an accident in its territory involving facilities or activities from which a significant release of radioactive material occurs or is likely to occur; or (b) the detection, within or outside its own territory, of abnormal levels of radioactivity which are likely to be detrimental to public health in that Member State; or (c) accidents other than those specified in (a) involving facilities or activities from which a significant release of radioactive material occurs or is likely to occur; or (d) other accidents from which a significant release of radioactive materials occurs or is likely to occur. Member States shall take the measures necessary to comply with this Decision within three months of the date of its notification.	1987	N/A	Enf		https://eur-lex.europa.eu/legal-content/GA/TXT/?uri=CELEX:31987D0600		✓	✓	✓	✓				✓
Council Directive 2009/71/Euratom of 25 June 2009 establishing a Community framework for the nuclear safety of nuclear installations	Reg	The Council of the European Union	European Union	This Directive shall apply to any civilian nuclear installation subject to a licence. Member States shall bring into force the laws, regulations and administrative provisions necessary to comply with this Directive by 22 July 2011.	2014	N/A	Enf		https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1412848109512&uri=CELEX:32009L0071		✓	✓	✓	✓				✓

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Council Directive 2013/59/Euratom of 5 December 2013 laying down basic safety standards for protection against the dangers arising from exposure to ionising radiation, and repealing Directives 89/618/Euratom, 90/641/Euratom, 96/29/Euratom, 97/43/Euratom and 2003/122/Euratom	Reg	The Council of the European Union	European Union	This Directive applies to any planned, existing or emergency exposure situation which involves a risk from exposure to ionising radiation which cannot be disregarded from a radiation protection point of view or with regard to the environment in view of long-term human health protection. EU Member States shall bring into force the laws, regulations and administrative provisions necessary to comply with this Directive by 6 February 2018.	2014	N/A	Enf		https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1550067952603&uri=CELEX:32013L0059		✓	✓	✓	✓	✓	✓	✓
Decision No 1082/2013/EU of the European Parliament and of the Council of 22 October 2013 on serious cross-border threats to health and repealing Decision No 2119/98/EC Text with EEA relevance	Reg	The European Parliament and the Council of the European Union	European Union	1. This Decision lays down rules on epidemiological surveillance, monitoring, early warning of, and combating serious cross-border threats to health, including preparedness and response planning related to those activities, in order to coordinate and complement national policies. 2. This Decision aims to support cooperation and coordination between the Member States in order to improve the prevention and control of the spread of severe human diseases across the borders of the Member States, and to combat other serious cross-border threats to health in order to contribute to a high level of public health protection in the Union. 3. This Decision also clarifies the methods of cooperation and coordination between the various actors at Union level.	2013	N/A	Enf		https://eur-lex.europa.eu/legal-content/en/TXT/?uri=CELEX:32013D1082	✓	✓	✓	✓	✓	✓	✓	✓
Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 on a Union Civil Protection Mechanism	Reg	The European Parliament and the Council of the European Union	European Union	1. The Union Civil Protection Mechanism ("the Union Mechanism") shall aim to strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters. 2. The protection to be ensured by the Union Mechanism shall cover primarily people, but also the environment and property, including cultural heritage, against all kinds of natural and man-made disasters, including the consequences of acts of terrorism, technological, radiological or environmental disasters, marine pollution, and acute health emergencies, occurring inside or outside the Union. In the case of the consequences of acts of terrorism or radiological disasters, the Union Mechanism may cover only preparedness and response actions.	2021	N/A	Enf		https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32013D1313	✓	✓	✓	✓	✓	✓	✓	✓
Directive 2007/60/EC of the European Parliament and of the Council of 23 October 2007 on the assessment and management of flood risks	Reg	The European Parliament and the Council of the European Union	European Union	Directive 2007/60/EC on the assessment and management of flood risks entered into force on 26 November 2007. This Directive now requires Member States to assess if all water courses and coast lines are at risk from flooding, to map the flood extent and assets and humans at risk in these areas and to take adequate and coordinated measures to reduce this flood risk. With this Directive also reinforces the rights of the public to access this information and to have a say in the planning process.	2007	N/A	Enf		https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32007L0060	✓	✓	✓	✓	✓	✓	✓	✓
Directive 2012/18/EU of the European Parliament and of the Council of 4 July 2012 on the control of major-accident hazards involving dangerous substances, amending and subsequently repealing Council Directive 96/82/EC Text with EEA relevance	Reg	The European Parliament and the Council of the European Union	European Union	This Directive lays down rules for the prevention of major accidents which involve dangerous substances, and the limitation of their consequences for human health and the environment, with a view to ensuring a high level of protection throughout the Union in a consistent and effective manner. EU Member States shall bring into force the laws, regulations and administrative provisions necessary to comply with this Directive by 31 May 2015. They shall apply those measures from 1 June 2015.	2012	N/A	Enf		https://eur-lex.europa.eu/legal-content/en/TXT/?uri=celex%3A32012L0018		✓	✓	✓	✓	✓	✓	✓

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Recommendations for National Risk Assessment for Disaster Risk Management in EU, Version 1	GP	The Joint Research Centre is the European Commission's science and knowledge service	European Union	The purpose of the Version 1 of the Recommendations for NRA for Disaster Risk Management, prepared by 50 scientists, is to support the use of the new "Reporting Guidelines on Disaster Risk Management, Art. 6(1) of Decision No.1313/2013/EU2019/C 428/07" by relevant authorities of the Participating States to the EUCPM. The final scope of this collective effort is to contribute to establishing an appropriate risk governance that is flexible and adaptable to new evidences, knowledge and situations. A risk governance that facilitates risk assessment processes as proper evidence to drive disaster risk management planning and the implementation of adequate measures all along the risk management cycle, from adaptation and mitigation to response and recovery phases.	2021	N/A	Enf		https://drmc.jrc.ec.europa.eu/knowledge/science-for-drm/recommendations-for-national-risk-assessment-for-disaster-risk-management-in-eu	✓	✓	✓	✓	✓	✓	✓	✓
Science for Disaster Risk Management 2017: Knowing better and losing less	GP	The Joint Research Centre is the European Commission's science and knowledge service	European Union	This report will present the state of science in DRM. The narrower purpose is to show practical use of scientific knowledge in DRM actions in Europe. The report shall provide reviews of the scientific evidence base and its practical use in various areas of disaster risk management, in a format that is intended to be accessible to the well-informed practitioner. The reviews of the scientific evidence base are summaries of (1) recent advances/outcomes of EU research projects, (2) relevant national work and (3) relevant international work. The final scope of the report is naturally divided into three distinct parts: understanding risk, communicating risk and managing risk. The report is one of the most visible objectives of DRMCA aiming to bridge science and policy as well operatoin communities. It is the first in a series and therefore comprehensive in scope but selective in topic. It will fill the gap in preparation for Sendai framework for DRR and show possibillites to strengthen society's resilience by using science and technology.	2017	N/A	Enf		https://ec.europa.eu/jrc/en/publication/science-disaster-risk-management-2017-knowing-better-and-losing-less	✓	✓	✓	✓	✓	✓	✓	✓
Directive 2009/138/EC of the European Parliament and of the Council of 25 November 2009 on the taking-up and pursuit of the business of Insurance and Reinsurance (Solvency II)	Reg	The European Parliament and the Council of the European Union	European Union	Known as Solvency II, it requires insurance companies to hold enough financial resources. It also sets out management and supervisory rules. The directive covers non-life insurance, life insurance and reinsurance companies. An insurance company can conduct its activities after having obtained an authorisation from the supervisor of its country. The authorisation is valid throughout the EU.	2021		Enf	New for Fall 2021	https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32009L0138	✓							
Circular re "Business Continuity Planning"	Std	Securities and Futures Commission of Hong Kong	Hong Kong	The HKMA conducted a self-assessment exercise involving 25 AIs in Hong Kong to gain an understanding of the effectiveness of their business continuity plans (BCPs) impacted by large events (i.e., 9/11, fire, etc.) affecting core sites	Aug 2011		Enf		Hong Kong Monetary Authority - Business Continuity Planning (hkma.gov.hk)	✓							
Circular to Licensed Corporations concerning Effective Business Continuity Plans	Std	Securities and Futures Commission of Hong Kong	Hong Kong	"An effective business continuity plan is essential to the operations of all licensed corporations. You are expected to establish and maintain appropriate internal controls and risk management measures to protect your key business functions and recover them in a timely fashion in the event of operational disruptions."	Jun 2014		Wat		Circular to Licensed Corporations concerning Effective Business Continuity Plans Securities & Futures Commission of Hong Kong (sfc.hk)	✓						✓	
Bank Indonesia Regulation Number 9/15/PB/2007 Concerning Implementation of Risk Management in the Use of Information Technology by Commercial Banks	Reg	Bank Indonesia (Central Bank)	Indonesia	Requires BCP documentation and testing at least annually. Requires Internal Audit to conduct an audit at least annually and provide report to Bank Indonesia.	Dec 2016		Enf		Bank Indonesia Regulation Concerning Implementation of Risk Management in the Use of Information Technology by Commercial Banks (ojk.go.id)	✓							
Basel Committee on Banking Supervision - The Joint Forum - High-level principles for business continuity (August 2006)	Reg	Basel Committee on Banking Supervision	International	The high-level principles set out in this paper are intended to support international standard setting organisations and national financial authorities in their efforts to improve the resilience of financial systems to major operational disruptions.	Aug. 2006		Enf		High-level principles for business continuity - Consultative document - December 2005 (bis.org)	✓						✓	

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies	
Basel III: A global regulatory framework for more resilient banks and banking systems	Reg	Basel Committee on Banking Supervision	International	This document, together with the document Basel III: International framework for liquidity risk measurement, standards and monitoring, presents the Basel Committee's reforms to strengthen global capital and liquidity rules with the goal of promoting a more resilient banking sector. The objective of the reforms is to improve the banking sector's ability to absorb shocks arising from financial and economic stress, whatever the source, thus reducing the risk of spillover from the financial sector to the real economy. This document sets out the rules text and timelines to implement the Basel III framework.	Jun 2011		Enf		https://www.bis.org/publ/bcbs189.pdf	✓								
BS 65000 - Guidance on organizational resilience	Std	Business Standards Institute (BSI) (UK based)	International	The BS 65000 provides clarity and guidance, describing the nature of resilience and ways to build and enhance resilience in your organization. BS 65000 defines organizational resilience as the ability to anticipate, prepare for, respond and adapt to events – both sudden shocks and gradual change. That means being adaptable, competitive, agile and robust. One way to improve resilience is by integrating and coordinating the various operational disciplines in an organization, so BS 65000 draws on other standards relating to these disciplines. Most organizations work within a complex web of interactions. The standard recognises that it is essential to build resilience not only within an organization but across networks and in partnership with others. Using agreed terminology, BS 65000: • clarifies the meaning of resilience • highlights the key components of resilience • helps an organization to measure its resilience and make improvements • identifies good practice found in other disciplines and defined in existing standards	Nov 2014		Enf		BS 65000:2014 - Guidance on organizational resilience (British Standard) (ansi.org)		✓	✓	✓	✓	✓	✓	✓	✓
Business Continuity Management Audit/Assurance Program	GP	ISACA	International	Main subject areas of the DRI Professional Practices: - Project Initiation and Management - Risk Evaluation and Control - Business Impact Analysis - Developing Business Continuity Strategies - Emergency Response and Operations - Developing and Implementing Business Continuity Plans - Awareness Programs and Training - Maintaining and Exercising the Business Continuity Plans - Crisis Communications <i>Coordinates with External Agencies</i>	2011	free to members, membership est. < \$200 USD	Enf		https://www.isaca.org/ https://www.isaca.org/search#q=Business%20Continuity%20Management%20Audit%20Assurance%20Program&sort=relevance&f-Language=[English]	✓	✓	✓	✓	✓	✓	✓	✓	
Business Continuity Management GOOD PRACTICE GUIDELINES 2013	Std	BCI (Business Continuity Institute)	International	The Good Practice Guidelines (GPG) are the independent body of knowledge for good Business Continuity practice worldwide. They represent current global thinking in good Business Continuity (BC) practice and now include terminology from ISO 22301:2012 Good Practice Guidelines (GPG) 2013 are therefore intended for use by practitioners, consultants, auditors and regulators with a working knowledge of the rationale for BCM and its basic principles.	2018		Enf		Good Practice Guidelines 2013 Global Edition Edited Highlights (thebci.org)					✓			✓	
DRI International "Ten Professional Practices for Business Continuity Professionals"	GP	DRII (Disaster Recovery Institute International)	International	Professional practice letters include developing business continuity management strategies and other contingency planning.	Sep 2013		Enf		Professional Practices DRI International	✓	✓	✓	✓	✓	✓	✓	✓	✓
ISO 22301:2019 Security and resilience – Business continuity management systems – Requirements	Std	ISO	International	This document specifies requirements to implement, maintain and improve a management system to protect against, reduce the likelihood of the occurrence of, prepare for, respond to and recover from disruptions when they arise. The requirements specified in this document are generic and intended to be applicable to all organizations, or parts thereof, regardless of type, size and nature of the organization. The extent of application of these requirements depends on the organization's operating environment and complexity.	Oct 2019			ISO 22301:2012 Societal security – Business continuity management systems – Requirements THIS STANDARD HAS BEEN REVISED BY ISO 22301:2019	ISO - ISO 22301:2012 - Societal security – Business continuity management systems – Requirements	✓	✓	✓	✓	✓	✓	✓	✓	✓

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ISO 22320:2018 Security and resilience — Emergency management — Guidelines for incident management	GP	ISO	International	<p>This document gives guidelines for incident management, including</p> <ul style="list-style-type: none"> — principles that communicate the value and explain the purpose of incident management, — basic components of incident management including process and structure, which focus on roles and responsibilities, tasks and management of resources, and — working together through joint direction and cooperation. <p>This document is applicable to any organization involved in responding to incidents of any type and scale.</p> <p>This document is applicable to any organization with one organizational structure as well as for two or more organizations that choose to work together while continuing to use their own organizational structure or to use a combined organizational structure.</p>	Jan 2018				ISO - ISO 22320:2018 - Security and resilience — Emergency management — Guidelines for incident management									✓
ISO 9000 FAMILY - QUALITY MANAGEMENT	Std	ISO	International	<p>ISO 9000: family of quality management systems, fundamentals and vocabulary. Covers the basics of what quality management systems are and also contains the core language of the ISO 9000 series of standards.</p> <p>Purpose is to determine elements of quality control systems, especially maintenance of records and verification standards. While business continuity planning is not required by statute, vendors report that records retention and data availability are issues with their customers, and that they are specifically asked about their plans.</p>	2/12/2019		Amb		ISO - ISO 9000 family — Quality management	✓		✓		✓	✓	✓		
ISO 9001:2015 Quality management systems — Requirements	Std	ISO (International Organization for Standardization) - the correct link for ISO is: https://www.iso.org/home.html	International	<p>ISO 9001:2015 specifies requirements for a quality management system when an organization:</p> <ol style="list-style-type: none"> needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements. <p>All the requirements of ISO 9001:2015 are generic and are intended to be applicable to any organization, regardless of its type or size, or the products and services it provides.</p>	Jan 2021		Wat		ISO - ISO 9001:2015 - Quality management systems — Requirements					✓				
ISO 9004:2018 Quality management — Quality of an organization — Guidance to achieve sustained success	Std	ISO (International Organization for Standardization)	International	<p>ISO 9004:2018 gives guidelines for enhancing an organization's ability to achieve sustained success. This guidance is consistent with the quality management principles given in ISO 9000:2015.</p> <p>ISO 9004:2018 provides a self-assessment tool to review the extent to which the organization has adopted the concepts in this document.</p> <p>ISO 9004:2018 is applicable to any organization, regardless of its size, type and activity.</p>	Jan 2020		Wat		ISO - ISO 9004:2018 - Quality management — Quality of an organization — Guidance to achieve sustained success	✓	✓	✓	✓	✓	✓	✓	✓	✓
ISO Guide 73:2009 - Risk management — Vocabulary	GP	ISO (International Organization for Standardization)	International	<p>ISO/Guide 73:2009 (en) - Risk management — Vocabulary</p> <p>This Guide provides the definitions of generic terms related to risk management. It aims to encourage a mutual and consistent understanding of, and a coherent approach to, the description of activities relating to the management of risk, and the use of uniform risk management terminology in processes and frameworks dealing with the management of risk.</p> <p>This Guide is intended to be used by:</p> <ul style="list-style-type: none"> — those engaged in managing risks, — those who are involved in activities of ISO and IEC, and — developers of national or sector-specific standards, guides, procedures and codes of practice relating to the management of risk. <p>For principles and guidelines on risk management, reference is made to ISO 31000:2009.</p>	2009		IAI		ISO Guide 73:2009(en). Risk management — Vocabulary	✓								

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ISO/IEC 27002:2013 Information technology -- Security techniques -- Code of practice for information security controls	Std	ISO (International Organization for Standardization)	International	ISO/IEC 27002:2013 Information technology -- Security techniques -- Code of practice for information security controls ISO/IEC 27002:2013 gives guidelines for organizational information security standards and information security management practices including the selection, implementation and management of controls taking into consideration the organization's information security risk environment(s). It is designed to be used by organizations that intend to: 1. select controls within the process of implementing an Information Security Management System based on ISO/IEC 27001; 2. implement commonly accepted information security controls; 3. develop their own information security management guidelines.	Feb 2022		Enf		https://www.iso27001security.com/html/27002.html									✓
ISO/IEC 27005:2018 - Information technology -- Security techniques -- Information security risk management Emergency Management and Civil Protection Act, R.S.O. 1990, c. E.9	Std	ISO (International Organization for Standardization) Emergency Management and Civil Protection Act	International	ISO/IEC 27005:2018 provides guidelines for information security risk management. This document supports the general concepts specified in ISO/IEC 27001 and is designed to assist the satisfactory implementation of information security based on a risk management approach. Knowledge of the concepts, models, processes and terminologies described in ISO/IEC 27001 and ISO/IEC 27002 is important for a complete understanding of this document. This document is applicable to all types of organizations (e.g. commercial enterprises, government agencies, non-profit organizations) which intend to manage risks that can compromise the organization's information security.	Jul 2019		Enf		ISO/IEC 27005:2018 - Information technology - Security techniques - Information security risk management (ansi.org)								✓	
Business Continuity Planning (Bank of Japan)	Std	BOJ (Bank of Japan)	Japan	The Bank develops and continually revises business continuity plans for functions such as circulation of banknotes and operation of payment and settlement systems, in order to carry out its responsibilities in times of disaster. The Bank trains its staff and conducts emergency drills on a regular basis to ensure a timely and appropriate response. The Bank also coordinates with relevant parties for effective business continuity planning at payment and settlement systems, at the market level, and in the financial system as a whole. For example, the Bank tests contingency procedures with market participants and with related administrative institutions, based on various scenarios including large-scale earthquakes.	2016		Enf		https://www.boj.or.jp/en/about/bcp/index.htm	✓								
Procedure of Implementation of Prevention of Emergencies	Reg	Government of the Republic of Lithuania	Lithuania	The procedure of implementation of prevention of emergencies shall regulate the procedure of establishment, planning, implementation and control of emergency preparedness measures of state and municipal institutions and agencies, economic entities and other agencies that are designed to eliminate emergencies or reduce the possibility of their occurrence and, in the event of an emergency, to mitigate its consequences.	2017	N/A	Enf	The PDF is no longer valid	https://e-seimas.lrs.lt/rs/legalact/TAD/702d015216b811e6aa14e8b63147ee94/format/ISO_PDF/	✓	✓	✓	✓	✓	✓	✓	✓	

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies
Malaysia Business Continuity Management Framework 2007	Std	BNM - Bank Malaysia Central Bank	Malaysia	<p>This Malaysian standard was developed to fill a need that existed at that time. The practice of business continuity management was being popularise in the country but there was no clear or generally accepted guidelines for the Malaysian consumer to follow. And the guidelines there were required in some industrial sector were either too control driven or vague.</p> <p>Knowing that there were standards being developed in other countries and at the international level, the committee responsible for developing MS 1970 decided to a document which will guide the reader in developing and implementing a business continuity management framework. This document provides the reader with clear method and recommended steps. It also provides the reader with the minimum expected outcomes for each process.</p> <p>This standard was intended for use by organizations of all types and sizes may it be private, government or commercial.</p>	Aug 2007		Enf		MS 1970 - Business Continuity Management - Framework I BKI Professional Services Sdn Bhd (Malaysia)	✓	✓	✓	✓	✓	✓	✓	
Manual of Regulations for Banks (MORB) Section E. Risk Management	Reg	The Bangko Sentral ng Pilipinas (BSP) (central bank of the Philippines)	Philippines	<p>Cojoins the following:</p> <ul style="list-style-type: none"> Section 41: Supervision by Risk Section 42: Risk Governance Framework Section 43: Credit Risk Management Section 44: Market Risk Management Section 45: Liquidity Risk Management Section 45-A: Liquidity Coverage Ratio (LCR) Section 46: Operational Risk Management Section 47: Bank Protection Section 48: Information Technology Risk Management Section 49: Business Continuity Management Section 50: Social Media Risk Management 			Enf		E. Risk Management – Manual of Regulations for Banks (bsp.gov.ph)	✓							
MAS Business Continuity Management Guidelines (June 2003)	Reg	MAS (Monetary Authority of Singapore)	Singapore	<p>The Monetary Authority of Singapore published its Business Continuity Management guidelines in 2003. These guidelines consist of sound BCM principles that businesses should adopt in order to ensure business recovery and preparedness in case of any disruption to their operations.</p> <p>Business Continuity Management</p> <p>According to the guidelines, Business Continuity Management or BCM is an overarching framework that aims to minimize the impact to businesses due to operational disruptions. It not only addresses the restoration of IT infrastructure, but also focuses on the rapid recovery and resumption of critical business functions for the fulfillment of business obligations. A BCM framework should include:</p>	Mar 2013		IAI		Monetary Authority of Singapore – Business Continuity Management Guidelines: Overview and Summary of Requirements - ComplianceOnline.com	✓							
MAS Guidelines on Outsourcing - Section 5.7 Business Continuity Management (27 Jul 2016)	Std	MAS (Monetary Authority of Singapore)	Singapore	<p>Guidelines on ensuring BC preparedness is not compromised by outsourcing; taking steps to evaluate and satisfy itself that interdependency risk arising from the outsourcing arrangement can be adequately mitigated such that the institution remains able to conduct its business with integrity and competence in the event of disruption, or unexpected termination of the outsourcing or liquidation of the service provider.</p>	Oct 2018		IAI		Outsourcing Guidelines Jul 2016 revised on 5 Oct 2018.pdf (mas.gov.sg)	✓							
SS540 – Singapore Business Continuity Standard		Economic Development Board (EDB) with the collaboration of Singapore Business Federation (SBF)	Singapore	<p>The SS540:2008 structure is based on a matrix BCM framework. It allows potential gaps in an organization's BCM efforts to be identified and located. For example, the implications of selecting a particular recovery strategy should be linked to the corresponding policies set forth by Executive Management. Implementation of the recovery strategy should be supported by corresponding infrastructure, training of recovery personnel and establishing the associated recovery processes.</p>	Oct 2008		Enf		SS540 – Singapore Business Continuity Standard (dcag.com)	✓							

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Disaster Management Amendment Act, 2015	Reg	Ministry for Provincial & Local Government Disaster Management Act, 2002	South Africa	To amend the Disaster Management Act, 2002, so as to substitute and insert certain definitions; to clarify policy focus on rehabilitation and functioning of disaster management centres; to align the functions of the National Disaster Management Advisory Forum to accommodate the South African National Platform for Disaster Risk Reduction; to provide for the South African National Defence Force, South African Police Service and any other organ of state to assist the disaster management structures; to provide for an extended reporting system by organs of state on information regarding occurrences leading to the declarations of disasters, expenditure on response and recovery, actions pertaining to risk reduction and particular problems experienced in dealing with disasters; to strengthen reporting on implementation of policy and legislation relating to disaster risk reduction and management of allocated funding to municipal and provincial intergovernmental forums established in terms of the Intergovernmental Relations Framework Act, 2005; to strengthen the representation of traditional leaders in national, provincial and municipal disaster management advisory forums; to expand the contents of disaster management plans to include the conducting of disaster risk assessments for functional areas and the mapping of risks, areas and communities that are vulnerable to disasters; to provide measures to reduce the risk of disaster through adaptation to climate change and developing of early warning mechanisms; to provide for regulations on disaster management education, training and research matters and declaration and classification of disasters; and to provide for matters incidental thereto.	12/15/2015		Enf		Disaster Management Amendment Act 16 of 2015 (www.gov.za)	✓	✓	✓	✓	✓	✓	✓	✓
Disaster Management Act 2002	Reg	Ministry for Provincial & Local Government Disaster Management Act, 2002	South Africa	To provide for- * an integrated and co-ordinated disaster management policy that focuses on preventing or reducing the risk of disasters, mitigating the severity of disasters, emergency preparedness, rapid and effective response to disasters and post-disaster recovery; * the establishment of national, provincial and municipal disaster management centres; * disaster management volunteers; and * matters incidental thereto.	Jan 2003		Enf		Disaster Management Act (No. 57 of 2002) (www.gov.za)	✓	✓	✓	✓	✓	✓	✓	✓
National Payment System Department Oversight Framework	Reg	South African Reserve Bank	South Africa	Payment Systems provide channels through which funds are transferred among financial institutions to discharge the payment obligations arising in the financial markets and across the wider economy. As such, payment systems form a vital part of the economic and financial infrastructure and their efficient functioning contributes to overall economic performance. Payment systems by their very nature and the central role they play in the economy also involve significant exposures and risks for participants and provide a channel for shocks to be transmitted across the financial system. If payment and settlement systems, which facilitate the exchange of money for goods, services and financial assets, are seen as inefficient, unreliable or unsafe, this would erode public confidence in their use. For this reason, as public institutions responsible for preserving public confidence in the financial system, the Reserve Bank and the Department of Finance have developed a framework for the oversight and supervision of payment systems. This Consultation Paper is an outgrowth of a July 2018 Discussion Paper, "Building the UK Financial Sector's Operational Resilience," which set out an approach to operational resilience. In December 2019, the supervisory authorities published a suite of documents ('the proposals'), which would embed that approach into policy. Proposed policies will comprise new rules (for the FCA and PRA), principles, expectations and guidance, and will be implemented through the authorities' respective supervisory areas. Not all firms would be subject to the formal policy proposals. Readers should refer to the consultation documents for the proposed scope of the policies. Due to different legislation and regulatory frameworks under which the PRA, the FCA and the Bank operate, the approach taken by each supervisory authority is not identical but their intended outcomes are aligned. Detailed proposals from each supervisory authority are set out in separate publications referenced in this paper	2022		Enf		https://www.resbank.co.za/en/home/what-we-do/payments-and-settlements/regulation-oversight-and-supervision http://www.pasa.org.za/docs/default-source/default-document-library/the-national-payment-system-framework-and-	✓	✓	✓	✓	✓	✓	✓	✓
Building the UK Financial Sector's Operational Resilience: Impact Tolerances for Important Business Services CONSULTATION PAPER		Bank of England (BOE) Prudential Regulation Authority (PRA) Financial Conduct Authority (FCA)	U.K.	This Consultation Paper is an outgrowth of a July 2018 Discussion Paper, "Building the UK Financial Sector's Operational Resilience," which set out an approach to operational resilience. In December 2019, the supervisory authorities published a suite of documents ('the proposals'), which would embed that approach into policy. Proposed policies will comprise new rules (for the FCA and PRA), principles, expectations and guidance, and will be implemented through the authorities' respective supervisory areas. Not all firms would be subject to the formal policy proposals. Readers should refer to the consultation documents for the proposed scope of the policies. Due to different legislation and regulatory frameworks under which the PRA, the FCA and the Bank operate, the approach taken by each supervisory authority is not identical but their intended outcomes are aligned. Detailed proposals from each supervisory authority are set out in separate publications referenced in this paper	2022	N/A	Wat	The supervisory authorities will consult with financial services firms on the publications referenced in this Consultation Paper until April 2020, and will consider developing further policy requirements in the future, including reporting.	https://www.bankofengland.co.uk/media/boe/files/prudential-regulation/consultation-paper/2019/building-operational-resilience-impact-tolerances-for-important-business-services.pdf https://www.bankofengland.co.uk/prudential-regulation/publication/2021/november/operational-resilience-continuity-in-resolution-amendments	✓							
Civil Contingencies Act 2004 (c.36)	Reg	U.K. Parliament	U.K.	The Act is divided into three parts: Part 1 defines the obligations of certain civil organisations to prepare for various types of emergencies Part 2 provides additional powers for the government to use in the event of a large scale emergency Part 3 provides supplementary legislation in support of the first two parts	May 2018	N/A	Enf	Amends or repeals older Civil Defense Acts, Emergency Powers Acts, and other related Acts	http://www.legislation.gov.uk/ukpga/2004/36/contents	✓	✓	✓	✓	✓	✓	✓	✓

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Financial Conduct Authority Handbook	Std	Financial Conduct Authority (FCA)	U.K.	SYSC 4.1.6 - 4.1.8: Business continuity requirements for firms SYSC 3.2.19G: High level guidance on business continuity REC 3.16: Ensure that the FSA receives a copy of the UK recognised body's plans and arrangements for business continuity if there are major problems with its computer systems SYSC 13.8: Unexpected changes and business continuity management SYSC 13.9 (Outsourcing): Consider any concentration risk implications such as the business continuity implications that may arise if a single service provider is used by several firms ... the extent to which a service provider will provide business continuity for outsourced operations.	Feb 2019	N/A	Enf		https://www.handbook.fca.org.uk/handbook?site-search=business+continuity	✓							
FINRA Rule 4370 Financial Industry Regulatory Authority	Reg	Financial Industry Regulatory Authority (FINRA)	U.S.A.	Rule 4370 Business Continuity Plans and Emergency Contact Information (a) Each member must create and maintain a written business continuity plan identifying procedures relating to an emergency or significant business disruption. Such procedures must be reasonably designed to enable the member to meet its existing obligations to customers. In addition, such procedures must address the member's existing relationships with other broker-dealers and counter-parties. The business continuity plan must be made available promptly upon request to FINRA staff. (b) Each member must update its plan in the event of any material change to the member's operations, structure, business or location. Each member must also conduct an annual review of its business continuity plan to determine whether any modifications are necessary in light of changes to the member's operations, structure, business, or location.	Feb 2015		Enf		https://www.finra.org/rules-guidance/rulebooks/finra-rules/4370	✓							
2020 Nacha Operating Rules & Guidelines Online Resource and The ACH Risk Management Handbook	Reg	ACH (Federal Reserve's Automated Clearinghouse Association)	U.S.A.	The Rules include the legal framework for the ACH Network, and the basic obligations of each ACH Network participant. Additionally, the included appendices contain details on Rules enforcement, annual audit requirements, a complete table of return reason codes and formatting specifications. The Guidelines expands on the Rules, providing complete discussions of each ACH Network participant type and its role and responsibilities, detailed overviews of the Standard Entry Class Codes and use-case examples in special topic areas, such as Third-Party Service Providers.	2020 version available for purchase	\$59.00 (members) \$99.00 (non-members)	Enf	A section of the website provides links to payments-related Risk Management guidance and requirements issued by various regulatory authorities, among them the OCC, FFIEC, Federal Reserve, FDIC, and FinCEN.	https://www.nacha.org/store https://www.nacha.org/content/regulatory-guidance https://www.nacha.org/products/ach-risk-management-handbook	✓							
Advisory on Business Continuity and Disaster Recovery Planning	GP	CFTC, SEC and FINRA	U.S.A.	The regulators encourage firms to consider implementing the best practices described, which the advisory groups into the following categories: (1) widespread disruption considerations, (2) alternative locations considerations, (3) vendor relationships, (4) telecommunications services and technology considerations, (5) communications plans, (6) regulatory and compliance considerations, and (7) review and testing.	Aug. 2013	N/A	Enf	The CFTC, SEC, and FINRA have issued this advisory following their joint investigation into firms' business continuity and disaster recovery plans ("BCPs") in the wake of Hurricane Sandy. See also FINRA Rule 4370.	http://www.cftc.gov/ucm/groups/public/@newsroom/documents/file/bcpstaffadvisory081613.pdf	✓							
ANSI/ARMA 5-2010 Vital Records Programs: Identifying, Managing, and Recovering Business-Critical Records	Reg	ANSI (American National Standards Institute) / ARMA (Association of Records Managers and Administrators)	U.S.A.	This standard sets the requirement for establishment of a Vital Records Program. It includes clarification of what a Vital Records Program encompasses and the requirements for identifying and protecting vital records, assessing and analyzing their vulnerability, and determining the impact of their loss on the organization	Jul 2010	\$50.00	Enf		https://webstore.ansi.org/standards/arma/ansiarma2010	✓	✓	✓	✓	✓	✓	✓	✓
ASIS American National Standard - Organizational Resilience: Security, Preparedness and Continuity Management Systems - Requirements with Guidance for Use Standard (2009)	Std	ASIS SPC.1-2009	U.S.A.	This management system Standard (referred to as the "Standard") has the applicability in the private, not-for-profit, non-governmental, and public sector environments. It is a management framework for action planning and decision making needed to anticipate, prevent if possible, and prepare for and respond to a disruptive incident (emergency, crisis, or disaster). It enhances an organization's capacity to manage and survive the event, and take all appropriate actions to help ensure the organization's continued viability. Regardless of the organization, its leadership has a duty to stakeholders to plan for its survival. The body of this document provides generic auditable criteria to establish, check, maintain, and improve a management system to enhance prevention, preparedness (readiness), mitigation, response, continuity, and recovery from disruptive incidents.	Mar 2009	\$81.00	Enf	2009 version can be downloaded for free. Most current version (April 2012) is \$81.00 (discount available for ANSI members)	https://webstore.ansi.org/Search/Find?st=organizational+resilience&v=5&cp=1&l1=Standard&l2=2&l2-4&l3=119							✓	

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies
California Consumer Privacy Act (CCPA)	Reg	California Constitution 1798.100 to 1798.198	U.S.A.	The California Consumer Privacy Act (CCPA) is a data privacy act intended to enhance the privacy rights and consumer protection for residents of California. Every Company that does business in California and collects personal information must abide by the law. The regulations went into effect on August 14, 2020. Additional amendments to the regulations went into effect on March 15, 2021.	Mar-22		Enf	Key differences between CCPA and the European Union's GDPR include the scope and territorial reach, definitions of protection information and opt-out right for sales of personal information.	https://www.oag.ca.gov/privacy/ccpa/regs https://leginfo.ca.gov/faces/codes_displayText.xhtml?lawCode=CLV&division=3.&title=1.81.5.&part=4.&chapter=&article https://leginfo.ca.gov/faces/billPdf.xhtml?bill_id=20170180AB375&version=20170AB37591CHP		✓					✓	✓
California SB 1386 - Security of Non-Encrypted Customer Information (July 1, 2003)	Reg	State of California	U.S.A.	Bill requires all agencies, persons or businesses that conduct business in California that owns or licenses computerized data containing personal information to notify the owner or licensee of the information of any breach of security of the data. SB 1386 went into effect on July 1, 2003.	Mar 2022		Enf	This act applies more to the cybersecurity space but it is tied in with HIPAA and relates to data privacy/PHI. The breach notification requirement could translate to reputation risk, BC and CM etc.	https://www.csab.edu/its/security/california-sb-1386 https://www.hhs.gov/hipaa/for-professionals/special-topics/hitech-act-enforcement-interim-final-rule/index.html		✓						
CTIA Emergency Preparedness/Disaster Recovery	Std	CTIA - 2013	U.S.A.	The CTIA represents the U.S. wireless communication industry; advocates for legislative and regulatory policies, works with members to develop test plans and certification processes and building awareness. CTIA advocates on behalf of America's wireless industry for legislative and regulatory policies that foster greater innovation, investment and economic growth.	44631		Enf	See section 04: Wireless Network Resiliency Cooperative Framework	https://www.ctia.org/the-wireless-industry/industry-commitments/wireless-network-resiliency-cooperative-framework https://prepared.ctia.org/#table-of-contents	✓						✓	
e-CFR Part 27: Chemical Facility Anti-Terrorism Standards (as of 08/16/2017)	Reg	Dept. of Homeland Security	U.S.A.	U.S. Government Publishing Office - Continuity of operations for Critical Infrastructure - Enhance security and resiliency of chemical facilities - Title 6 was last amended 2/04/2022	Mar 2022		Enf		https://www.ecfr.gov/current/title-6/chapter-I/part-27 https://ecfr.federalregister.gov/	✓							
e-CFR Part 29: Protected Critical Infrastructure Information (as of 08/16/2015)	Reg	Dept. of Homeland Security	U.S.A.	U.S. Government Publishing Office - Continuity of operations for Critical Infrastructure - Disclosure of critical information to the government - Title 6 was last amended 2/04/2022	Mar 2022		IAI		https://www.ecfr.gov/current/title-6/chapter-I/part-29 https://ecfr.federalregister.gov/	✓	✓	✓	✓	✓	✓	✓	✓
Electronic Fund Transfer Act (EFTA)	Reg	FDIC (Federal Deposit Insurance Corporation)	U.S.A.	Passed in 1978, establishes the rights and liabilities of consumers as well as the responsibilities of all participants in electronic fund transfer activities. Last Update: December 29, 2021	Mar 2022		Wat	Referred to as "Regulation E"	https://www.fdic.gov/regulations/laws/rules/6000-1350.html https://www.federalreserve.gov/supervisionreg/caletters/2008.htm	✓	✓	✓	✓	✓	✓	✓	✓
Fair Credit Reporting Act	Reg	FTC (Federal Trade Commission)	U.S.A.	- Ensures credit information is accurate and up-to-date - Designed to promote accuracy and ensure the privacy of the information used in consumer reports	2019		Wat		https://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/fair-credit-reporting-act	✓							
FDICIA--Federal Deposit Insurance Corporation Improvement Act of 1991	Reg	FDIC (Federal Deposit Insurance Corporation)	U.S.A.	Requires at the beginning of the year that all FDIC-insured depository institutions with total assets of \$500 million or more certify that there is effective functioning of their internal controls systems.	Feb 2020	N/A	Wat		https://en.wikipedia.org/wiki/Federal_Deposit_Insurance_Corporation_Improvement_Act_of_1991#:~:text=%20%20%20Other%20short%20titles%20%20,December%2019%2C%201991%20%2010%20more%20rows%20	✓							
Federal Acquisition Regulation; Electronic Funds Transfer Final Rule	Reg	SEC	U.S.A.	Addresses the collection of EFT information through the contract process for vendors providing goods and services to the Federal Government	Feb 2020	N/A	Wat		www.federalregister.gov/documents/1998/07/06/98-17148/federal-acquisition-regulation-electronic-funds-transfer	✓							

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies		
Federal Information Security Modernization Act of 2014 (FISMA)	Reg	Department of Homeland Security (DHS)	U.S.A.	The Federal Information Security Modernization Act of 2014 (FISMA 2014) updates the Federal Government's cybersecurity practices by: Codifying Department of Homeland Security (DHS) authority to administer the implementation of information security policies for non-national security federal Executive Branch systems, including providing technical assistance and deploying technologies to such systems; Amending and clarifying the Office of Management and Budget's (OMB) oversight authority over federal agency information security practices; and by Requiring OMB to amend or revise OMB A-130 to "eliminate inefficient and wasteful reporting."	Dec 2014		Enf		www.cisa.gov/federal-information-security-modernization-act										✓
FEMA 141: Emergency Management Guide for Business & Industry	Std	FEMA	U.S.A.	Designed to provide guidance for business and industry officials to respond and recover from disasters. Provides advice on how to create and maintain a comprehensive emergency management program.	Jul 1905	N/A	Wat	Link to FY22 FISMA Documents are available on this site.	https://www.fema.gov/pdf/libaray/bizindst.pdf	✓									
FFIEC - Outsourcing Technology Booklet	GP	FFIEC	U.S.A.	The institution should understand all relevant service provider business continuity requirements, incorporate those requirements within its own business continuity plan, and ensure the service provider tests its plan annually. Management should require the service provider to report all test plan results and to notify the institution after any business continuity plan modifications. The institution should integrate the provider's business continuity plan into its own plan, communicate functions to the appropriate personnel, and maintain and periodically review the combined plan.	2015		Enf		handbook.ffiec.gov/it-booklets/outsourcing-technology-services.aspx		✓								✓
FFIEC BCP Handbook: Business Continuity Planning (Feb 2015) "IT Examination Handbook"	Reg	FFIEC	U.S.A.	- Emphasizes that Business Continuity planning is about maintaining, resuming and recovering the whole Business - planning should occur for a BCP - Business Impact Analysis and Risk assessment are encouraged as the foundation of an effective BCP - Testine	Feb 2020		Wat		https://handbook.ffiec.gov/ITBooklets/FFIEC_ITBooklet_BusinessContinuityPlanning.pdf	✓									
Financial Institutions Reform, Recovery, and Enforcement Act (FIRREA) of 1989; (P.L. 101-73 1989 HR 1278)	Reg		U.S.A.	Policy allows regulators/examiners to impose civil penalties for violations or non-compliance with regulations, laws, temporary agency orders or any breach of a written agreement between an agency and the institution. (pronounced "fie-ree-ah") Federal legislation passed in 1989 in response to the banking and savings and loan crisis, the FDIC bailout, and the bankruptcy of the Federal Savings and Loan Insurance Corporation (FSLIC). It reorganized much of the oversight and regulatory framework for financial institutions and created the Resolution Trust Corporation (now defunct) to receive and liquidate assets from failed financial institutions.	Aug 1989		Wat		https://www.congress.gov/bills/101st-congress/house-bill/1278	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
FINRA Rule 4380 Mandatory Participation in FINRA BC/DR Testing Under Regulation SCI	Reg	Financial Industry Regulatory Authority (FINRA)	U.S.A.	In accordance with Rule 1004 of SEC Regulation SCI, FINRA will designate members that will be required to participate in FINRA's periodic, scheduled testing of its business continuity and disaster recovery (BC/DR) plan. FINRA will do so according to established criteria that are designed to ensure participation by those members that FINRA reasonably determines are, taken as a whole, the minimum necessary for the maintenance of fair and orderly markets in the event of the activation of its BC/DR plan.	Mar 2018		Enf		www.finra.org/rules-guidance/rulebooks/finra-rules/4380	✓									
FRB (Federal Reserve Banks) SR 13-1 / CA 13-1 (extends SR 03-5)	Reg	Board of Governors of the Federal Reserve System	U.S.A.	SR 13-1 guidance explains changes over the past several years in banking regulations related to auditor independence and limitations placed on the external auditor. This supplemental policy statement builds upon the 2003 Policy Statement SR 03-5, which remains in effect, and follows the same organizational structure, with a new section entitled "Enhanced Internal Audit Practices" and updates to Parts I-IV of the 2003 Policy Statement. (Extends: Amended Interagency Guidance on the Internal Audit Function and its Outsourcing SR 03-5) (Supersedes: Outsourcing of Information and Transaction Processing Cross Reference: SR letter 97-35)	Jan-13		Enf		www.federalreserve.gov/supervisionreg/srletters/sr1301.htm	✓									
FRB (Federal Reserve Banks) SR 13-19 / CA 13-21	Reg	Board of Governors of the Federal Reserve System	U.S.A.	SR 13-19 Guidance on Managing Outsourcing Risk assists financial institutions in understanding and managing the risks associated with outsourcing a bank activity to a service provider to perform that activity, and include Business Continuity and Contingency considerations. This Federal Reserve guidance builds upon the FFIEC Outsourcing Technology Services Booklet (2004) that addresses outsourced information technology services and remains in effect.	Dec 2013		Enf		https://www.federalreserve.gov/supervisionreg/srletters/sr1319a1.pdf	✓									

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies	
Gramm-Leach-Bliley Act of 1999, section 501 (b): (P.L. 106-102 1999 S 900)	Reg	Public Law	U.S.A.	Gramm-Leach-Bliley Bill - Section 501(b) FINANCIAL INSTITUTIONS SAFEGUARDS. In furtherance of the policy in subsection (a), each agency or authority described in section 505(a) shall establish appropriate standards for the financial institutions subject to their jurisdiction relating to administrative, technical, and physical safeguards (1) to insure the security and confidentiality of customer records and information; (2) to protect against any anticipated threats or hazards to the security or integrity of such records; and (3) to protect against unauthorized access to or use of such records or information which could result in substantial harm or inconvenience to any customer.	Nov 1999		Enf		www.congress.gov/bill/106/h-congress/senate-bill/900 www.congress.gov/106/plaws/publ102/PLAW-106publ102.pdf	✓								
HIPAA 164.308(a)(7)(i)	Reg	U.S. Department of Health & Human Services	U.S.A.	The HIPAA Security Rule 164.308(a)(7)(i) identifies Contingency Plan as a standard under Administrative Safeguards. HIPAA Contingency plans address the "availability" security principle. The availability principle addresses threats related to business disruption –so that authorized individuals have access to vital systems and information when required.	2013		Enf		http://www.bki.my/standards/ms-1970-business-continuity-management-framework	✓	✓	✓	✓	✓	✓	✓	✓	
NASD Rulemaking: re: Business Continuity Plans and Emergency Contact Information	Reg	U.S. Securities and Exchange Commissions	U.S.A.	Security standards for certain health information. These standards, known as the HIPAA Security Rule.	2013		Enf		http://www.sec.gov/rules/sro/34-48503.htm	✓								
HITECH Act Enforcement Interim Final Rule	Reg	U.S. Department of Health & Human Services	U.S.A.	The Health Information Technology for Economic and Clinical Health (HITECH) Act, enacted as part of the American Recovery and Reinvestment Act of 2009, to promote the adoption and meaningful use of health information technology. It mandates audits of health care providers to investigate and determine if they are in compliance with the HIPAA privacy and security rules. These two laws reinforce each other, and HITECH established data breach notification requirements for unauthorized uses and disclosures of "unsecured PHI" (patient health information).	Jun 2017		Wat		https://www.hhs.gov/hipaa/for-professionals/special-topics/hitech-act-enforcement-interim-final-rule/index.html	✓	✓	✓	✓	✓	✓	✓	✓	
Interagency Paper for Strengthening the Resilience of US Financial System (May 2003; Implementation in 2007)	Reg	FRB (Federal Reserve Bank) OCC (Office of the Comptroller of the Currency) SEC (Securities and Exchange Commission)	U.S.A.	During discussions about the lessons learned from September 11, industry participants and others agreed that three business continuity objectives have special importance for all financial firms and the U.S. financial system as a whole: Rapid recovery and timely resumption of critical operations following a wide-scale disruption; Rapid recovery and timely resumption of critical operations following the loss or inaccessibility of staff in at least one major operating location; and A high level of confidence, through ongoing use or robust testing, that critical internal and external continuity arrangements are effective and compatible. Firms that Play Significant Roles in Critical Financial Markets (As a guideline, the agencies consider a firm significant in a particular critical market if it consistently clears or settles at least five percent of the value of transactions in that critical market.)	Apr 2003		Enf		www.sec.gov/news/studies/34-47638.htm	✓								
IRS Revenue Procedure 98-25; 1998-1 C.B. 689 (Supersedes Rev. Proc. 91-59, 1991-2 C.B. 841)	Reg	IRS (Internal Revenue Service)	U.S.A.	The purpose of this revenue procedure is to specify the basic requirements that the Internal Revenue Service considers to be essential in cases where a taxpayer's records are maintained within an Automatic Data Processing system (ADP)	Mar 1998		Enf		www.irs.gov/businesses/automated-records	✓								
ITIL - IT Infrastructure Library	Std	ITIL (IT Infrastructure Library)	U.S.A.	Global standard in the area of service management. ITIL® (IT Infrastructure Library®) is the most widely accepted approach to IT service management in the world. ITIL provides a cohesive set of best practice, drawn from the public and private sectors internationally. Contains comprehensive publicly accessible specialist documentation on the planning, provision and support of IT services	Feb 2018		Wat		www.itlibrary.org/	✓	✓	✓	✓	✓	✓	✓	✓	
Joint Commissions Hospital Accreditation Standards	GP	Joint Commission on Accreditation of Healthcare Organizations (JCAHO)	U.S.A.	Guidelines for information management established by JCAHO Standard Label: IM.1.20 - The [organization] plans for the continuity of its information management processes.	Oct 2021		Wat		www.jointcommission.org/accreditation-and-certification/health-care-settings/hospital/learn-our-standards/		✓							

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Joint Commission Emergency Management (EM)	GP	Joint Commission on Accreditation of Healthcare Organizations (JCAHO)	U.S.A.	The Joint Commission's Emergency Management portal. We are launching this portal to provide a valuable source of information from The Joint Commission enterprise and other healthcare organizations related to the topic of Emergency Management. Our goal is to create informed and empowered citizens by bringing relevant and timely information and resources to our community.	May 2018		Wat		www.jointcommission.org/resources/news-and-multimedia/newsletters/newsletters/quick-safety/quick-safety-41-emergency-management-need-for-continuity-of-operations-planning/		✓						
National Continuity Programs	Std	FEMA	U.S.A.	The Federal Emergency Management Agency's National Continuity Programs (NCP) serves the public by coordinating the federal programs and activities that preserve our nation's essential functions across a wide range of potential threats and emergencies. On behalf of the White House, the Secretary of Homeland Security, and the FEMA Administrator, NCP guides and assists the planning and implementation of continuity programs that enable federal, state, tribal, territorial, and local governments to deliver critical services to survivors throughout all phases of a disaster. Continuity and sustainment of essential functions is a shared responsibility of the whole community. Development and maintenance of continuity capabilities helps build and sustain a more resilient nation equipped to sustain essential functions, deliver critical services, and supply core capabilities under all conditions.	Feb 2020	N/A	Enf	Updated URL	https://www.fema.gov/about/offices/continuity	✓	✓	✓	✓	✓	✓	✓	✓
NFA Compliance Rule 2-38: Business Continuity and Disaster Recovery Plan	Reg	CFTC (Commodity Futures Trading Commission)	U.S.A.	Requires each member to: a) establish and maintain a written business continuity and disaster recovery plan that outlines procedures to be followed in the event of an emergency or significant disruption. b) provide NFA with, and keep current, the name and contact information for all key management employees. c) provide NFA with the name of and contact information for an individual who NFA can contact in the event of an emergency.	1-Jul-19	N/A	Enf		https://www.nfa.futures.org/rulebook/rules.aspx?RuleID=RULE%202-38&Section=4	✓							✓
NFPA 111: Standard on Stored Electrical Energy Emergency and Standby Power Systems	Std	NFPA (National Fire Protection Association)	U.S.A.	FPA 111 presents installation, maintenance, operation, and testing requirements as they pertain to the performance of the stored emergency power supply system (SESS) up to the load terminals of the transfer switch. Specific topics include definitions of the classification of SESS; energy sources, converters, inverters, and accessories; transfer switches and protection; installation and environmental considerations; and routine maintenance and operational testing.	2022	\$58.50	Enf	Updated revision and cost	https://catalog.nfpa.org/NFPA-111-Standard-on-Stored-Electrical-Energy-Emergency-and-Standby-Power-Systems-P1225.aspx?order_src=D750&qclid=EAlaQobChMx42Smrmb5wIVDZyzCh2rAQIdEAAAYASA AEqJKqPD BwE	✓						✓	
NFPA 232: Standard on Protection of Records	Std	NFPA (National Fire Protection Association)	U.S.A.	Code 232 standard provides minimal requirements for records protection equipment and facilities and records-handling techniques that safeguard records in a variety of media forms from the hazards of fire and its associated effects. The standard provides requirements for a variety of categories of records storage environments. The standard also provides the requirements for the application of the types of records protection equipment.	2022	\$58.50		Updated revision and cost	https://catalog.nfpa.org/NFPA-232-Standard-for-the-Protection-of-Records-P1243.aspx	✓							✓
NFPA Standard 1600 - Standard on Disaster/Emergency Management and Business Continuity Programs	Std	NFPA (National Fire Protection Association)	U.S.A.	NFPA Standard 1600 establishes a common set of criteria for all hazards disaster/emergency management and business continuity programs. The standard includes government at district levels, commercial business and industry, not-for-profit, and nongovernmental organizations as well as individual citizens.	2019	\$58.00	Enf		https://www.nfpa.org/codes-and-standards/all-codes-and-standards/list-of-codes-and-standards/detail?code=1600	✓							
NIST SP 800-34 Contingency Planning Guide for Federal Information Systems	Std	NIST (National Institute of Standards and Technology)	U.S.A.	• Details the fundamental planning principles necessary for developing an effective contingency capability. • Contingency planning guidance includes preliminary planning, business impact analysis, alternative site selection and recovery strategies.	Nov 2010	N/A	Enf		NIST SP 800-34 Contingency Planning Guide for Federal Information Systems	✓							
NIST SP 800-53 r5 Security and Privacy Controls for Federal Information Systems and Organizations	Std	NIST (National Institute of Standards and Technology)	U.S.A.	The purpose of this publication is to provide guidelines for selecting and specifying security controls for organizations and information systems supporting the executive agencies of the federal government to meet the requirements of FIPS Publication 200, Minimum Security Requirements for Federal Information and Information Systems. The guidelines apply to all components of an information system that process, store, or transmit federal information. The guidelines have been developed to achieve more secure information systems and effective risk management within the federal government.	Dec 2020	N/A	IAI		NIST SP 800-53 r5 Security and Privacy Controls for Federal Information Systems and Organizations	✓	✓	✓	✓	✓	✓	✓	

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NIST Special Publication 800-34 Rev. 1	Reg	National Institute of Standards and Technology (NIST)	U.S.A.	NIST develops and issues standards, guidelines, and other publications to assist federal agencies in implementing the Federal Information Security Management Act (FISMA) of 2002 and in managing cost effective programs to protect their information and information systems. <ul style="list-style-type: none"> Federal Information Processing Standards (FIPS) are developed by NIST in accordance with FISMA. FIPS are approved by the Secretary of Commerce and are compulsory and binding for federal agencies. Since FISMA requires that federal agencies comply with these standards, agencies may not waive their use. Guidance documents and recommendations are issued in the NIST Special Publication (SP) 800-series. Office of Management and Budget (OMB) policies (including OMB FISMA Reporting Instructions for the Federal Information Security Management Act and Agency Privacy Management) state that, for other than national security programs and systems, agencies must follow NIST guidance.1 Other security-related publications, including NIST interagency and internal reports (NISTIRs) and ITL Bulletins, provide technical and other information about NIST's activities. These publications are mandatory only when so specified by OMB. 	May-10	N/A	Enf		nvlpubs.nist.gov/nistpubs/Legacy/SP/nistspecialpublication800-34r1.pdf	✓	✓	✓	✓	✓	✓	✓	✓	
OCC 2000-14: Infrastructure Threats -- Intrusion Risks (May 15, 2000)	Reg	OCC	U.S.A.	This bulletin provides guidance to financial institutions on how to prevent, detect, and respond to intrusions into bank computer systems. Intrusions can originate either inside or outside of the bank and can result in a range of damaging outcomes, including the theft of confidential information, unauthorized transfer of funds, and damage to an institution's reputation.	May 2000		Wat		www.occ.gov/news-issuances/bulletins/2000/bulletin-2000-14.html	✓								
OCC Bulletin 2008-16 - Information Security: Application Security	Reg	OCC	U.S.A.	This bulletin reminds national banks and their technology service providers that application security1 is an important component of their information security program. All applications, whether internally developed, vendor-acquired,2 or contracted for,3 should be subject to appropriate security risk assessment and mitigation processes. Vulnerabilities in applications (see Appendix A) increase operational and reputation risk as unplanned or unknown weaknesses may compromise the confidentiality, availability, and integrity of data. Although this guidance is focused on the risks and risk management techniques associated with Web-based applications, the principles are applicable to all types of software.	5/8/2008		Enf		www.occ.gov/news-issuances/bulletins/2008/bulletin-2008-16.htm	✓								
OCC Bulletin 2013-29 - Third-Party Relationships: Risk Management Guidance	Reg	OCC	U.S.A.	This bulletin provides guidance to national banks and federal savings associations (collectively, banks) for assessing and managing risks associated with third-party relationships. A third-party relationship is any business arrangement between a bank and another entity, by contract or otherwise. The Office of the Comptroller of the Currency (OCC) expects a bank to practice effective risk management regardless of whether the bank performs the activity internally or through a third party. A bank's use of third parties does not diminish the responsibility of its board of directors and senior management to ensure that the activity is performed in a safe and sound manner and in compliance with applicable laws. This bulletin rescinds OCC Bulletin 2001-47, "Third-Party Relationships: Risk Management Principles," and OCC Advisory Letter 2000-9, "Third-Party Risk." This bulletin supplements and should be used in conjunction with other OCC and interagency issuances on third-party relationships and risk management listed in appendix B. In connection with the issuance of this bulletin, the OCC is applying to federal savings associations (FSA) certain guidance applicable to national banks, as indicated in appendix B.	Oct 2013		Enf		www.occ.gov/news-issuances/bulletins/2013/bulletin-2013-29.htm	✓	✓	✓	✓	✓	✓	✓	✓	
OSHA - Occupational Safety and Health Administration	Reg	OSHA (Occupational Safety and Health Administration)	U.S.A.	Some businesses may be required by regulation to establish Emergency Action Plans meeting certain requirements (see 29 CFR 1910.38 and OSHA's compliance policy). Effective plans should take into account what personal protective equipment workers may require, as well as other resilience resources for emergency responses. Employers should also be aware that some states have OSHA-approved occupational safety and health plans that may have more stringent requirements than what Federal OSHA requires.	Nov 2002		Enf		www.osha.gov/SLTC/emergencypreparedness/index.html	✓	✓	✓	✓	✓	✓	✓	✓	
Risk Management Handbook Volume II, Procedure 4.4 Contingency Plan Development	Std	CENTERS for MEDICARE & MEDICAID SERVICES (CMS), Enterprise Information Security Group	U.S.A.	The CMS Contingency Planning Standard is consistent with the guidance of the National Institute of Standards and Technology (NIST) and most specifically with NIST Special Publication (SP) 800-34 revision 1, Contingency Planning Guide for Federal Information Systems2 dated May 2010.	May 2010		Enf		www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Downloads/RMH_VII_4-4_Contingency_Plan_Development.pdf		✓					✓		

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies		
SEC Adviser Business Continuity and Transition Planning PROPOSED Rule	Reg	Securities and Exchange Commission (SEC)	U.S.A.	PROPOSED new rule and rule amendments under the Investment Advisers Act of 1940 ("Advisers Act") that would require SEC-registered investment advisers to adopt and implement written business continuity and transition plans reasonably designed to address operational and other risks related to a significant disruption in the investment adviser's operations.	2016		Wat	NEW for Spring 2019: The SEC has invited feedback on the proposed rule. Below is an excerpt from the rule: "Proper planning and preparation for possible distress and other significant disruptions in an adviser's operations is essential so that, if an entity has to exit the market, it can do so in an orderly manner, with minimal or no impact on its clients. As discussed above, an adviser's fiduciary duty obligates it to take steps to protect client interests from being placed at risk as a result of the adviser's inability to provide advisory services and, thus, it SEC-registered advisers should be required to adopt and implement a written business continuity and transition plan that is tailored to the risks associated with the adviser's operations and includes certain components, reflecting its critical role as an agent for its clients."	www.sec.gov/rules/proposed/2016/ia-4439.pdf	✓									
SEC Regulation SCI	Reg	Securities and Exchange Commission (SEC)	U.S.A.	The U.S. Securities and Exchange Commission adopted Regulation Systems Compliance and Integrity and Form SCI in November 2014 to strengthen the technology infrastructure of the U.S. securities markets. Specifically, the rules are designed to: Reduce the occurrence of systems issues; Improve resiliency when systems problems do occur; Enhance the Commission's oversight and enforcement of securities market technology infrastructure. Regulation SCI applies to "SCI entities," a term which includes self-regulatory organizations ("SROs"), including stock and options exchanges, registered clearing agencies, FINRA and the MSRB, alternative trading systems ("ATSs"), that trade NMS and non-NMS stocks exceeding specified volume thresholds, disseminators of consolidated market data ("plan processors"), and certain exempt clearing agencies. Regulation SCI applies primarily to the systems of SCI entities that directly support any one of six key securities market functions - trading, clearance and settlement, order routing, market data, market regulation, and market surveillance ("SCI systems"). Subject to certain exceptions, the compliance date of Regulation SCI was nine months after the effective date of the regulation, or November 3, 2015.	Nov 2014		Enf	The SEC designed Regulation SCI in response to securities markets being increasingly dependent on technology and automated systems. Regulation SCI strives to reduce the number of market disturbances stemming from this reliance on technology, as well as speed up recovery when disturbances do occur.	This is the location of the published final rule. https://www.sec.gov/rules/final/finalarchiv/finalarchiv2014.shtml Select Release 34-73639 (Nov 19, 2014) for a pdf of the rule This is the location of the rule correction: Securities and Exchange Commission – SEC Final Rules 2015 https://www.sec.gov/rules/final/finalarchiv/finalarchiv2015.shtml Select Release 34-73639A (Dec 22, 2015) for a pdf of the rule correction.	✓									
FINRA 4370. Business Continuity Plans and Emergency Contact Information	Reg	FINRA is authorized by Congress to protect America's investors	U.S.A.	Each member must create and maintain a written business continuity plan identifying procedures relating to an emergency or significant business disruption. Such procedures must be reasonably designed to enable the member to meet its existing obligations to customers. In addition, such procedures must address the member's existing relationships with other broker-dealers and counter-parties. The business continuity plan must be made available promptly upon request to FINRA staff.	Feb 2015				4370. Business Continuity Plans and Emergency Contact Information FINRA.org	✓									
FINRA BCP Guide	Reg	FINRA is authorized by Congress to protect America's investors	U.S.A.	FINRA requires firms to create and maintain written business continuity plans (BCPs) relating to an emergency or significant business disruption. Rule 4370—FINRA's emergency preparedness rule — spells out the required BCP procedures. A firm's BCP must be appropriate to the scale and scope of its business.	Dec 2020				Business Continuity Planning (BCP) FINRA.org	✓									
H.R.3844 - Federal Information Security Management Act of 2002	Reg	US Congress	U.S.A.	Federal Information Security Management Act of 2002 - Requires the Director of the Office of Management and Budget to oversee Federal agency information security policies and practices, including by requiring each Federal agency to identify and provide information security protections commensurate with the risk and magnitude of harm resulting from the unauthorized use, disclosure, disruption, modification, or destruction of information or information systems. Requires each agency's senior officials to provide security for the information and systems that support their operations and assets and to develop plans and procedures to ensure the continuity of such information and systems.	Mar 2002		Enf		H.R.3844 - 107th Congress (2001-2002): Federal Information Security Management Act of 2002 Congress.gov Library of Congress	✓	✓	✓	✓	✓	✓	✓	✓	✓	

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										Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications

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Categories (column B):

Standard (Std) Level of quality accepted as norm, typically published by a professional organization of governing body, and is often an auditable standard.

Regulation (Reg) An official rule, law, or order stating what may or may not be done or how something must be done. Issued by a government department or agency.

Good Practice (Leading Practice, Guide, or Guidelines) Recommendation indicating a technique or methodology that, through experience & research, has proven to reliably lead to a desired result. Typically published by a professional organization of governing body.

Enforcement (column G):

Enforced (Enf) Most frequently enforced for compliance purposes

Ambiguous (Amb) Further clarification regarding strong ties with Business Continuity need to happen

Watch List (Wat) Participating members should be looking for the presence of this item within the coming months/years

Invocation at Incident (IAI) Likely to be invoked or brought to bear as a result of an "incident" occurring involving your organization

Additional Resources:

www.avalution.com/business-continuity-standards-regulations

www.avalution.com/iso-22301

<https://www.thebci.org/uploads/assets/uploaded/c203e090-8f23-4f3a-8b7f6f67c62c3a50.pdf>

www.bcmpedia.org/wiki/Standards

www.gartner.com/doc/483265/laws-influence-business-continuity-disaster

www.gartner.com/id=483265

www.gov.uk/resilience-in-society-infrastructure-communities-and-businesses

www.informit.com/articles/article.aspx?p=777896

Acronym	Country	Definition
ACH	U.S.A.	Automated Clearinghouse Association (of the Federal Reserve Bank)
AICPA	U.S.A.	American Institute of Certified Public Accountants
ANAO	Australia	Australian National Audit Office
ANSI	U.S.A.	American National Standards Institute
APRA	Australia	Australian Prudential Regulation Authority (APRA)
ARMA	U.S.A.	Association of Records Managers and Administrators
BOJ	Japan	Bank of Japan
BSE	India	Bombay Stock Exchange
BSI	U.K.	British Standards Institute
CCPA	U.S.A.	Consumer Credit Protection Act
CFR	U.S.A.	Code of Federal Regulations
CISP	U.S.A.	Customer Information Security Program
CMS	U.S.A.	Centers for Medicare and Medicaid Services
CNB	Croatia	Croatian National Bank (Hrvatska Narodna Banka - HNB)
COBIT	U.S.A.	Control Objectives for information and related Technology
COSO	U.S.A.	Committee of Sponsoring Organizations (of the Treadway Commission)
CSA	Canada	Canadian Standards Association
DHS	U.S.A.	Department of Homeland Security (USA)
DMISA	South Africa	Disaster Management in South Africa, is the professional body for SA.
DRII	International	Disaster Recovery Institute International
EFTA	U.S.A.	Electronic Fund Transfer Act
FCC	U.S.A.	Federal Communications Commission
FDIC	U.S.A.	Federal Deposit Insurance Corporation
FDICIA	U.S.A.	Federal Deposit Insurance Corporation Improvement Act
FFIEC	U.S.A.	Federal Financial Institutions Examination Council
FICOM	Canada	The Financial Institutions Commission (FICOM) is a regulatory agency responsible pension, financial services and real estate sectors in British Columbia.
FINRA	U.S.A.	Financial Industry Regulatory Authority (FINRA) is the largest independent regulator for all securities firms doing business in the United States. http://www.finra.org/AboutFINRA/
FIRREA	U.S.A.	Financial Institutions Reform, Recovery, and Enforcement Act
FISC	Japan	The Center for Financial Industry Information System
FISMA	U.S.A.	Federal Information Security Management Act
FRB	U.S.A.	Federal Reserve Bank
FSA	U.K.	Financial Services Authority
FSSCC	U.S.A.	Financial Services Sector Coordinating Council for Critical Infrastructure Protection
FTC	U.S.A.	Federal Trade Commission
GAO	U.S.A.	General Accounting Office
GAP	U.S.A.	Generally Accepted Practice
HIPAA	U.S.A.	Health Insurance Portability and Accountability Act
HKMA	Hong Kong	Hong Kong Monetary Authority
IIROC	Canada	The Investment Industry Regulatory Organization of Canada oversees all investment dealers and trading activities in Canada.
IRS	U.S.A.	Internal Revenue Service
ISO	International	International Organization for Standardization
ITIL	International	Information Technology (IT) Infrastructure Library
MAS	Singapore	Monetary Authority of Singapore
MFDA	Canada	Mutual Fund Dealer Association (of Canada)
NASD	U.S.A.	North American Securities Dealers Association
NFPA	U.S.A.	National Fire Protection Association
NIST	U.S.A.	National Institute of Standards and Technology, U.S. Department of Commerce
NSE	India	National Stock Exchange
NYSE	U.S.A.	New York Stock Exchange
OCC	U.S.A.	Office of the Comptroller of the Currency
OSC	Canada	Ontario Securities Commission
OSHA	U.S.A.	Occupational Safety and Health Administration
PCAOB	U.S.A.	Public Company Accounting Oversight Board
RBI	India	Reserve Bank of India
SAMOS	South Africa	South African Multiple Option Settlement (SAMOS) system is South African's Real Time Gross Settlement (RTGS) System.
SAS	U.S.A.	Statement on Auditing Standards
SEBI	India	Securities & Exchange Board of India
SEC	U.S.A.	Securities and Exchange Commission
SIFMA	U.S.A.	Securities Industry and Financial Markets Association

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Country	Number of Rules & Regulations Listed by Country	Infrastructure Category								Acromyns	
		Banking & Finance	Public Health & Healthcare	Transportation & Shipping	Energy (including nuclear)	Industry	Agriculture, Food Supply & Water	Information Distribution & Communications	Government & Public Agencies		
Australia	2	2	1	1	1	1	1	1	1	1	2
Australia, New Zealand	5	4	4	4	4	4	3	3	4		
Canada	18	17	7	7	7	7	7	7	8	5	
Croatia	1	1								1	1
European Union	10	6	9	9	9	9	7	6	9		
Hong Kong	2	2							1		1
India	-										4
Indonesia	1	1									
International	14	8	5	6	5	8	6	7	8	3	
Japan	1	1									2
Lithuania	1	1	1	1	1	1	1	1	1		
Malaysia	1	1	1	1	1	1	1	1			
Philippines	1	1									
Singapore	3	3									1
South Africa	3	3	3	3	3	3	3	3	3	3	2
U.K.	3	3	1	1	1	1	1	1	1	1	2
U.S.A.	49	41	19	13	13	13	13	19	15	36	
Total	115	95	51	46	45	48	43	50	51	59	

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Title	Category (Reg, Std, GP)	Governing Body	Country	Summary / Description	Last Revision Date	Enforcement (Enf, Amb, Wat, IAI)	Notes / Comments	Link
AS/NZS 4360; 2004 Risk Management Standard; Business Continuity	Std	Standards Association of Australia	Australia, New Zealand	AS/NZS 4360 is a generic guide for risk management so that it applies to all forms of organizations. Risk management" is defined as 'the culture, processes and structures that are directed towards realizing potential opportunities whilst managing adverse effects.'		Wat	Superseded by AS/NZS ISO 31000:2009	http://www.saiglobal.com/shop/Script/details.asp?docn=AS0733759041AI http://www.noweco.com/risk/riske19.htm
AS/NZS 4360; 2004 Risk Management Standard; Business Continuity	Std	Standards Association of Australia	Australia, New Zealand	AS/NZS 4360 is a generic guide for risk management so that it applies to all forms of organizations. Risk management" is defined as 'the culture, processes and structures that are directed towards realizing potential opportunities whilst managing adverse effects.'	None	Wat	Superseded by AS/NZS ISO 31000:2009	http://www.saiglobal.com/shop/Script/details.asp?docn=AS0733759041AI http://www.noweco.com/risk/riske19.htm
AS/NZS 7799.2:2000 (Previously known as 4444.2)	Std	Standards Association of Australia	Australia, New Zealand	This Standard is intended for use by managers and employees who are responsible for initiating, implementing and maintaining information security within their organization and it may be considered as a basis for developing organizational security standards.		Wat	Superseded by AS/NZS 7799.2:2003	http://www.saiglobal.com/shop/script/details.asp?docn=AS986176255535
AS/NZS 7799.2:2000 (Previously known as 4444.2)	Std	Standards Association of Australia	Australia, New Zealand	This Standard is intended for use by managers and employees who are responsible for initiating, implementing and maintaining information security within their organization and it may be considered as a basis for developing organizational security standards.	None	Wat	Superseded by AS/NZS 7799.2:2003	http://www.saiglobal.com/shop/script/details.asp?docn=AS986176255535
Australian Commonwealth Criminal Code (1994)	Reg	Australian Government	Australia	Establishing criminal penalties for officers and directors of organizations that experience a major disaster and fail to have a proper business continuity plan in place. Although has no specific reference to business continuity.	None	Enf	Section 5. Corporate criminal responsibility, Part 2.5	www.isrcl.org/Papers/2008/Hinchcliffe.pdf
BS (British Standard) 25999	Std	BSI (British Standards Institute)	International	BS 25999-1: Provide a basis for understanding, developing and implementing business continuity within an organization; provide confidence in B2B and B2C relationships BS 25999-2: Specify the requirements for "establishing, operating, monitoring, reviewing, maintaining and improving a documented BCM system within the context of an organization's overall business risks", and for the implementation of continuity controls customized to the needs of specific organization.	May-2012	Enf	Superseded by the international standard ISO22301 in May 2012. Organisations certified to BS25999 should transition themselves to the new international standard by 30th May 2014.	http://www.w3j.com/xml/

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Bulletin R-67 Rescinded 7/10/1989.	Reg	Federal Home Loan Bank	U.S.A.	N/A	None	Enf	Rescinded 7/10/1989. Comptroller of Currency BC-177 (1983, 1987) supercedes Federal Home Loan Bank Bulletin R-67.	
Business Continuity Planning Committee Best Practice Guidelines (April 2011)	Std	ISIA (International Securities Industry Association)	International	Presents guidelines that can assist in the establishment of a comprehensive business continuity program. It is not intended to be an outline of a business continuity plan or as a single best approach, but rather it should be viewed as a summary of significant components that an organization may wish to consider when developing a full business continuity program.	Apr-2011	Wat	As of March 2016, no longer found, only remaining trace is an article from 2002 announcing it: http://www.wallstreetandtech.com/risk-management/sia-releases-business-continuity-planning-best-practices/d/d-id/1255508	http://www.sifma.org/uploadedfiles/services/bcp/sifma-bc-practices-guidelines2011-04.pdf
Croatian Sabor: Set of related laws	Reg	Croatian Sabor (Parliament)	Croatia	Set of following Croatian Laws: Law on Minimum Protection Measures in Dealing with Cash and Valuables Law on Personal Data Protection Law on Safety at Work Law on Fire Protection Law on Protection and Rescue	2013	Enf	September 2016 - These laws may still be enforce, but no link could be found. IF anyone can provide links to these it may be added back to the R&R data base.	http://www.hnb.hr/propisi/hpropisi.htm
Disaster Management Act No. 57 of 2002	Reg	Government Gazette; REPUBLIC OF SOUTH AFRICA	South Africa	Proposed national disaster management framework. One of the main reasons for South Africa's DM Act being recognised internationally as a model for disaster risk management best practice is that it gives effect to the concept of mainstreaming disaster risk reduction into development through legislation.	2002	Enf	A draft bill including amendments to the Disaster Management Act is expected to be presented to Parliament in 2013. September 2016 - These laws may still be enforce, but no link could be found. IF anyone can provide links to these it may be added back to the R&R data base.	http://disaster.co.za/index.php?id=25

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DRJ GAP Report	Std	DRJ Editorial Advisory Board	International	<p>DRII/BCI Professional Practice Narrative</p> <ul style="list-style-type: none"> - Establish the need for a Business Continuity Plan (BCP), including obtaining management support and organizing and managing requirements; identifying plannint team(s) and action plans; and developing project management and documentation requirements <p>Best Practices will be compiled from submittals by experienced Business Continuity Professionals from the public and private sectors, as well as user groups and/or related organizations, in regards to a cross walk of the the industry standards.</p>	Mar 2015	Wat		http://www.dri.com/GAP/gap.pdf
FFIEC Policy SP-5	Reg	FFIEC	U.S.A.	<p>Policy mandating corporate-wide contingency planning, including the development of recovery alternatives for distributed processing and service bureau information processing.</p>	Mar-1997	Enf	<p>With the issuance of the new FFIEC Information Technology Examination Handbook, several Supervisory Policies (SP) found in Chapter 25 of the 1996 Handbook have been rescinded, including SP-5, Interagency Policy on Contingency Planning for Financial Institutions.</p> <p>Issued July 1989.</p>	http://www.bankersonline.com/security/sec_ffiecsp5.html
Foreign Corrupt Practices Act of 1977: (P.L. 95-213) Section 13 (b) (2).	Reg	US Dept of Justice	U.S.A.	<p>Policy states that Directors and Officers can be held liable for "failure to enact standards of care" and should they fail to document their assessment processing determining not to develop a contingency plan.</p> <p>Since 1977, the anti-bribery provisions of the FCPA have applied to all U.S. persons and certain foreign issuers of securities. With the enactment of certain amendments in 1998, the anti-bribery provisions of the FCPA now also apply to foreign firms and persons who cause, directly or through agents, an act in furtherance of such a corrupt payment to take place within the territory of the United States.</p>	1998	IAI	<p>Foreign Corrupt Practices Act of 1977</p> <ul style="list-style-type: none"> · Civil penalties can range from \$5000 to \$100,000 for individuals and from \$50,000 to \$500,000 for business entities · Criminal sanctions may be imposed against anyone who knowingly violates the statute: up to \$2 million in fines 	http://www.justice.gov/criminal/fraud/fcpa/

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FRB (Federal Reserve Banks) SR 96-22 - Inactive		Board of Governors of the Federal Reserve System	U.S.A.	Inactive: Reviews and enforces the FFIEC's Interagency Supervisory Statement on Risk Management of Client/Server Systems SP-12. · The statement addresses concerns for security and the controls that should be associated with client/server computing for the officer in charge of each federal reserve bank, including: · Management should ensure that systems and operations are recoverable after an event causing disruption in service. · Management should determine that database management system has adequate recovery capabilities	Jul-2012		April 12, 2012 - Federal Reserve Board staff have identified certain previously issued guidance that should now be inactive. Forty-three SR letters have been determined to be inactive and no longer applicable to the Federal Reserve's supervision program.	"http://www.federalreserve.gov/bankinfo/reg/srletters/sr1206.pdf" FILE HAS BEEN REMOVED
GAO Supplier Requirements	Reg	GAO (Government Accountability Office)	U.S.A.	Requirements for federal agencies to include the requirement for contingency plans in contracts with private sector organizations providing data processing services.	1998	Enf	Will apply to all organizations providing suppliers or services to GAO or Federal Agencies	http://www.gao.gov/specialpubs/bcpguide.pdf
Guidance Note on the Use of Internet for Insurance Activities (GN8)	Reg	Office of the Commissioner of Insurance - The Government of the Hong Kong Special Administrative Region	Hong Kong	Point 11 address the issue of security in which service providers are advised to take all practicable steps to ensure a number of items including the integrity of data stored in the system hardware, whilst in transit and as displayed on the website (a), a	2001	Enf	The scope of this Guidance Note covers the internet insurance activities of all service providers to the extent that such activities fall within the jurisdiction of Hong Kong.	http://www.oci.gov.hk/download/gn8-eng.pdf
HB 221:2004 Handbook Business Continuity Management	GP	Jointly published by Standards Australia and Standards New Zealand	Australia, New Zealand	The objective of this Handbook is to outline a broad framework and core processes that should be included in a comprehensive business continuity process. Sets out a definition and process for business continuity management, and provides a workbook that may be used by organisations to assist in implementation.	2004	IAI	Withdrawn Date: 19 Aug 2013 supersedes HB 221: 2003. Aligned with the 2004 edition of AS/NZS 4360, Risk management.	http://infostore.saiglobal.com/store/Details.aspx?docn=AS0733762506AT

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HB 293—2006 Executive Guide to Business Continuity Management	Std	Standards Association of Australia	Australia, New Zealand	The executive guide to business continuity management (BCM) provides senior management with an overview of the key concepts and processes that are required to implement and maintain an integrated, robust business continuity management program. This document was prepared as a summary and a navigational tool for HB 292, A practitioners guide to business continuity management.	Jun-1905	Wat	The link is to a 6 page sample of the document which may be purchased from SAI Global at http://www.saiglobal.com/PDFTemp/Previews/OSH/as/misc/handbook/HB293-2006.pdf	http://www.saiglobal.com/PDFTemp/Previews/OSH/as/misc/handbook/HB293-2006.pdf
HKMA Supervisory Policy Manual, BCP TM- G-2 V.1 02.12.02	Reg	Hong Kong Monetary Authority	Hong Kong	Enforced by onsite examinations, requires need for BCP documentation and testing at least annually, planning for different scenarios and prolong outages.		Enf	BCP organization & governance structure Approach to business continuity planning Documentation DR site & vendor management	http://www.hkma.gov.hk/eng/key-information/guidelines-and-circulars/circulars/2002/20021202-1.shtml
HKMA Supervisory Policy Manual, General Principles for Technology Risk Management TM-G-1 V.1 24.06.03	Reg	Hong Kong Monetary Authority	Hong Kong	Refers to TM-G-2 on BCP on the need to provide continuous service.	Jun-1905	Enf	Link references same website as above. Need to provide alternative service	http://www.hkma.gov.hk/eng/key-information/guidelines-and-circulars/circulars/2003/20030624-1.shtml
Homeland Security Strategy for Critical Infrastructure Protection in Financial Services Sector (May 2004)	Std	FSSCC (Financial Services Sector Coordinating Council for Critical Infrastructure Protection)	U.S.A.	Ensuring the resiliency of the nation to minimize the damage and expedite the recovery from attacks that do occur. https://www.fsscc.org/fsscc/reports/2006/Bank_Finance_SSP_061213.pdf		Wat	TO BE DELETED: This is generic reference to "Homeland Security Strategy for Critical Infrastructure Protection in Financial Services Sector" and currently has been replaced by SIFMA BCP Expanded Practices Guidelines (already included in our list)	http://digital.library.unt.edu/govdocs/crs/permalink/meta-crs-7844:1 http://www.sifma.org/services/business_continuity/pdf/NationalStrategy.pdf (THIS PAGE WAS NOT FOUND)

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IRS Procedure 91-59 (Superseded IRS Procedure 86-19)	Reg	IRS (Internal Revenue Service)	U.S.A.	<ul style="list-style-type: none"> o Provides the basic requirements to those institutions that utilize computerized Records o requirements for computer records containing tax information.H22 o Requires off-site protection and documentation of computer records maintaining tax information o The purpose of this revenue procedure is to specify the basic requirements that the Internal Revenue Service considers to be essential in cases where a taxpayer's records are maintained within an Automatic Data Processing system (ADP). This revenue procedure updates and supersedes Rev. Proc. 91-59, 1991-2 C.B. 841 	Dec-97	IAI		https://www.thefreelibrary.com/Record+retention+under+rev.+proc.+91-59%3a+a+checklist+approach.-a013984355
ISO/TS 9002:2016 Quality management systems - Guidelines for the application of ISO 9001:2015	Std	ISO (International Organization for Standardization)	International	<p>ISO 9001:2015 - Quality management systems - Guidelines for the application of iso 9001.</p> <p>ISO/TS 9002:2016 provides guidance on the intent of the requirements in ISO 9001:2015, with examples of possible steps an organization can take to meet the requirements. It does not add to, subtract from, or in any way modify those requirements. ISO/TS 9002:2016 does not prescribe mandatory approaches to implementation, or provide any preferred method of interpretation.</p>	Nov 2016	Wat	<p>ISO 9002 is obsolete. The three standards (ISO 9001, ISO9002, and ISO 9003) were combined into ISO 9001 in the year 2000 revision (ISO 9001:2000) which was replaced by ISO 9001:2008.</p> <p>ISO 9002:1987 Model for quality assurance in production, installation, and servicing had basically the same material as ISO 9001 but without covering the creation of new products.</p>	<p>https://committee.iso.org/home/tc17-65c2</p> <p>https://webstore.ansi.org/sdo/ISO</p>
MAS SPRING Singapore BCM Fact Sheet 2006	Reg	MAS (Monetary Authority of Singapore)	Singapore	Rule 3.5.4(1) requires Clearing Members to maintain adequate business continuity arrangements, and document such arrangements in a business continuity plan.		Enf	Not found on site	http://info.sgx.com/SGXRuleb.nsf/VwCPForm_CDP_CLEARING_RULES_Download/CDP%20Clearing%20Rules%20Practice%20Note%2003.05.04%20-%20Business%20Continuity%20Requirements.pdf

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NASD Rule 3520 has been superseded by FINRA Rule 4370. NASD Rule 3500: Emergency Preparedness Part 3520: Emergency Contact Information	Reg	NASD	U.S.A.	NASD Rule 3520 has been superseded by FINRA Rule 4370. Rule 3520 requires NASD members to create and maintain a written business continuity plan that identifies procedures related to an emergency or significant business disruption. The plan must be updated in the event of any material change to operations, structure, business, or location. Any annual review must be conducted of the business continuity plan to determine any modifications that are necessary. Each plan must address, at a minimum, the 10 elements listed in the rules. NASD members must designate a member of the senior management to approve the plan and disclose to their customers how its business continuity plan addresses significant business interruptions. Each NASD member must provide FINRA with emergency contact information and to update any information upon the occurrence of a material change. The Rule requires members to designate two emergency contact persons that FINRA may contact in the emergency. FINRA Rule 4370: Business Continuity Plans and Emergency Contact Information.	Feb-2015		Enf	
NYSE Rule 446: Business Continuity and Contingency Planning	Reg	NYSE (New York Stock Exchange)	U.S.A.	<ul style="list-style-type: none"> Members and member organizations must develop and maintain a written business continuity and contingency plan establishing procedures to be followed in the event of an emergency or disruption. Yearly review must be conducted of the business continuity - Amended in September, 2008. 		Enf	NYSE Rule 446 is no longer current. The NYSE, along with NASD, has adopted FINRA Rule 4370.	http://www.sec.gov/rules/sro/34-48502.htm
OCC 2013-29: Third-Party Relationships (October 30, 2013)	Reg	OCC	U.S.A.	This bulletin provides guidance to national banks on managing the risks that may arise from their business relationship with third parties. A third party's inability to deliver products and services, whether arising from fraud, error, inadequate capacity, or technology failure, exposes the bank to transaction risk. Lack of effective business resumption and contingency planning for such situations also increases the bank's transaction risk. The contract should provide for continuation of the business function in the event of problems affecting the third party's operations, including system breakdown and natural (or man-made) disaster.	Oct 2013		<p>The bank's own contingency plan should address potential financial problems or insolvency of the third party.</p> <p>As of May 17, 2012, this guidance applies to federal savings associations in addition to national banks</p>	https://www.occ.gov/news-issuances/bulletins/2013/bulletin-2013-29.html

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OCC 99-9: Infrastructure	Reg	OCC	U.S.A.	<ul style="list-style-type: none"> Identifies and raises awareness of vulnerabilities and threats of cyber terrorism to the financial services industry, including ensuring that these threats are taken into account when preparing and testing a disaster recovery/business contingency Exp 		Enf		http://www.occ.treas.gov/ftp/bulletin/99-9.txt
Prudent Man Concept	Reg	Common Law - Negligence Liability	International	<ul style="list-style-type: none"> As per the Uniform Commercial Code, legal standard used to determine whether appropriate action was taken in a particular situation. 		IAI	<p>Uniform Commercial Code</p> <p>Any company, regardless of its industry, is expected to exercise due-care to implement and maintain security mechanisms and practices that protect the company, its employees, customers, and partners., Due-Care can be compared to the "prudent man" concept. A prudent man is seen as responsible, careful, cautious, and practical. A company practicing due-care is seen in the same light by State and Federal Courts.</p>	http://www.oecd.org/finance/private-pensions/2763540.pdf
Public Finance Management Act, 1999- DRAFT Treasury Relations	Reg		South Africa	Unable to find anything specific to BC or DR... "availability of financial information" was included...				"http://www.acts.co.za/public_fin_man/index.htm" PAGE OR FILE HAS BEEN REMOVED
Publicly Available Specification (PAS) 56- Guide to Business Continuity Management	Std	BSI (British Standards Institute)	U.K.	Publicly Available Specification, PAS 56, is an 'informal standard' that was published by the BSI in 2003.	2003	Enf	PAS56 has been replaced with BS 25999.	http://en.wikipedia.org/wiki/PAS_56
Publicly Available Specification (PAS) 56- Guide to Business Continuity Management	Std	BSI (British Standards Institute)	U.K.	Publicly Available Specification, PAS 56, is an 'informal standard' that was published by the BSI in 2003.	2003	Enf	PAS56 has been replaced with BS 25999.	http://en.wikipedia.org/wiki/PAS_56

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Telecommunications Act of 1996	Reg	FCC - Federal Communications Commission	U.S.A.	The act was intended to promote competition in the telecommunications industry. Section 256 gives the FCC the right to oversee that telecommunications networks “seamlessly and transparently transmit and receive information between and across telecommunications networks.”		Enf	The FCC's Network Reliability and Interoperability Council provides best practices for business continuity and disaster recovery in the telecommunications industry. (www.nric.org)	http://www.drj.com/article-archives/communications/the-impact-of-the-telecommunications-act-on-business-continuity-plans.html FILE OR PAGE HAS BEEN REMOVED