

DRII/BCI Professional Practice Narrative:

- Establish the need for a Business Continuity Plan (BCP), including obtaining management support and organizing and managing the BCP project to completion. (This includes defining the problem; communicating the need for a BCP; developing budget requirements; identifying Planning Team(s) and Action Plans; and developing project management and documentation requirements.)

Generally Accepted Practices (GAP) Notice:

- This document is to serve as a repository of knowledge which is to be applied across various verticals
- This document contains a conceptual basis for Program development vs. an auditable checklist

Subject Area 1 – Project Initiation and Management				
Sub-Topic #1:	#	What	How	Points of Reference
INITIATE				
	1	Define the need for Business Continuity.	<ul style="list-style-type: none"> • Research and compile facts showing possible risks to the enterprise. 	<ul style="list-style-type: none"> • Past audit comments • Regulatory obligations • Legal obligations • Past incidents • Best practices publications (white papers, banking circulars, etc...) • Relevant regulatory/ industry trade bodies • Consulting recommendations • Benchmarking data

Subject Area 1 – Project Initiation and Management

Sub-Topic #1: INITIATE	#	What	How	Points of Reference
	2	Identify the purpose and goals for the BC initiative.	<ul style="list-style-type: none"> • Review, finalize and submit for approval a business case that identifies BC readiness requirements. • Define high level roles and responsibilities across the business units impacted by the BC initiative. • Obtain a high level understanding of corporate environment including products and services. • If available, review existing BC materials to leverage previous work. • Draft a project proposal / charter. • Draft a Business Continuity Management Policy 	<ul style="list-style-type: none"> • Subject Area 6 • Best practices publications (such as those used within the Information Security and or Project Management best practices) • Cost Benefit Analysis Doc (including actual cost of past outages as well as the impact of brand damage and other concerns discovered in defining the need). • Organization Charts • Mission Statements • Key documents such as: evacuation procedures, medical emergency, crisis mgmt and Y2K plans • Service Level Agreement (SLA) • Customer expectations / requirement specs

Subject Area 1 – Project Initiation and Management

Sub-Topic #1: INITIATE	#	What	How	Points of Reference
	3	Gain buy-in and commitment for meeting goals.	<ul style="list-style-type: none"> • Identify Sponsors. • Guide leadership (sponsors) in defining objectives, policies and critical success factors. • Communicate the purpose and goals with stakeholders (e.g.... Board of Directors, Regions, Sr. Mgmt, etc...) and receive feedback and initial approval. • Identify high-level project targets and timeframes. • Identify and communicate project risks. • Gain approval of draft proposal / charter. 	<ul style="list-style-type: none"> • Statements of work • Cost benefit analysis documentation • Business Case • Critical Success Factors (CSF)
	4	Establish a governance structure.	<ul style="list-style-type: none"> • Identify Steering committee roles and responsibilities. • Identify, review and approve supporting documentation required for the initiative. • Receive funding and approval to move forward. • Establish / review BC policy. • Identify need for BC Standards and definition of terminology. • Set decision-making protocol and issue escalation policies relative to continuity issues. • Gain agreement on overall timescales. 	<ul style="list-style-type: none"> • Mission Statement • Documentation of Critical Success Factors • Conflicting priorities • Portfolio / program management standards

Subject Area 1 – Project Initiation and Management

Sub-Topic #1: INITIATE	#	What	How	Points of Reference
	5	Provide awareness of overall project.	<ul style="list-style-type: none"> • Establish Project Communications plan. 	<ul style="list-style-type: none"> • BC website • Debriefings • Brownbag lunches • Employee input • Intranet • Town Hall meetings • Administration communication process • Quarterly newsletters

Subject Area 1 – Project Initiation and Management

Sub-Topic #2 PLAN	#	What	How	Points of Reference
	1	Establish a steering committee.	<ul style="list-style-type: none"> • Identify and engage a team of affected managers to oversee project progress and to resolve issues. • Establish project milestone review and approval protocol. • Establish the framework required to measure project success. 	<ul style="list-style-type: none"> • Project status report template • Project issues and risk logs • Project schedule • Project plan
	2	Develop the project plan.	<ul style="list-style-type: none"> • Adjust project documentation to reflect final decisions and approvals. • Define project deliverables and related activities. • List tasks and estimate effort and duration. • Assign project team members to tasks. • Set milestones. • Document project scope control. • Document project risks. • Develop project risk mitigation. 	<ul style="list-style-type: none"> • Work breakdown structure doc • Project proposals • Statements of work • Cost benefit analyzes • High-level project plan • Work plans • Scope control processes • Change control procedures • Table Of Contents for Project Management Body of Knowledge (PMBOK)

Subject Area 1 – Project Initiation and Management

Sub-Topic #2 PLAN	#	What	How	Points of Reference
	3	Determine project cost tracking.	<ul style="list-style-type: none"> • Establish methods to track project assets and expenses. • Establish resource tracking and reporting procedures. 	<ul style="list-style-type: none"> • Budget reports, Inventory and acquisition logs • Time sheets • Table Of Contents for Project Management Body of Knowledge (PMBOK)
	4	Determine the project environment.	<ul style="list-style-type: none"> • Determine the need for additions or changes to tools and supplies, such as acquiring or upgrading planning software. • Establish documentation storage and access procedures. 	<ul style="list-style-type: none"> • Change control procedures • Security environment • Confidentiality policies • Documentation management standards • Information handling standards • Table Of Contents for Project Management Body of Knowledge (PMBOK)
	5	Determine training requirements.	<ul style="list-style-type: none"> • Schedule training on the use of new software (as required). • Provide general BC training. • Provide BCP Tool training. • Provide BCP Roles and Responsibility overview. • Provide in-depth BC training as applicable. 	<ul style="list-style-type: none"> • Personnel skills inventory • Documentation management standards • Project Plan • Subject Area 7: Awareness and Training Programs

Subject Area 1 – Project Initiation and Management

Sub-Topic #2 PLAN	#	What	How	Points of Reference
	6	Develop project success metrics.	<ul style="list-style-type: none"> • Refine the critical success factors. • Develop and implement measurements. 	<ul style="list-style-type: none"> • Critical Success Factors • Project health measurements • Project documentation checklist • Project score card • PM standards compliance audit guide • Table Of Contents for Project Management Body of Knowledge (PMBOK)
	7	Develop the awareness program.	<ul style="list-style-type: none"> • Establish and validate components and delivery methods. 	<ul style="list-style-type: none"> • Subject Area 7: Awareness and Training Programs

Subject Area 1 – Project Initiation and Management

Sub-Topic #3 EXECUTE	#	What	How	Points of Reference
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Subject Area 1 – Project Initiation and Management

Sub-Topic #3 EXECUTE	#	What	How	Points of Reference (
	1	Conduct a Project Kick-off.	<ul style="list-style-type: none"> • Facilitate a meeting with the team members to communicate the project mission and plan. • Review assignments, work schedules and milestones. • Set guidelines for rules of operations and progress review. 	<ul style="list-style-type: none"> • Status reports • Issues and risk logs • Project escalation procedures • Information handling standards • Change control procedures • Documentation management standards • Table Of Contents for Project Management Body of Knowledge (PMBOK)
	2	Implement Interim Life Safety Plan.	<ul style="list-style-type: none"> • Ensure the existence of an emergency only plan and develop one if needed. • Ensure emergency management awareness across enterprise. 	<ul style="list-style-type: none"> • Subject Area 5: Emergency Response and Operations • Subject Area 7: Awareness and Training Programs
	3	Manage Risk Assessment.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 2: Risk Evaluation and Control
	4	Conduct a Risk Awareness Campaign.	<ul style="list-style-type: none"> • Work with governance body to implement policy changes. • Educate personnel on purpose and importance of updated preventative measures. 	<ul style="list-style-type: none"> • Subject Area 7: Awareness and Training Programs

Subject Area 1 – Project Initiation and Management

Sub-Topic #3 EXECUTE	#	What	How	Points of Reference (
	5	Manage Business Impact Analysis.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 3: Business Impact Analysis
	6	Develop BC Strategy and Standards.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 4: Developing Business Continuity Management Strategies
	7	Implement BC Solutions.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 5: Emergency Response and Operations • Subject Area 6: Developing and Implementing Business Continuity and Crisis Management Plans • Subject Area 9: Crisis Communications • Subject Area 10: Coordination with External Agencies
	8	Develop and execute a BC awareness program.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 7: Awareness and Training Programs

Subject Area 1 – Project Initiation and Management

Sub-Topic #3 EXECUTE	#	What	How	Points of Reference (
	9	Develop and Exercise Planning Teams.	<ul style="list-style-type: none"> • Assign representatives from in-scope organizational areas. • Use project controls to ensure success. 	<ul style="list-style-type: none"> • Subject Area 7: Awareness and Training Programs • Subject Area 8: Maintaining and Exercising BC Plans

Subject Area 1 – Project Initiation and Management

Sub-Topic #4 CONTROL	#	What	How	Points of Reference
	1	Manage project scope.	<ul style="list-style-type: none"> • Document additional BC risks and needs not included in the original purpose and goals. • Manage changes to areas of focus. • Escalate project scope concerns to the steering committee. • Manage to the tasks within the project plan. 	<ul style="list-style-type: none"> • Change control procedures • Project mission statement • Critical Success Factors • Project Plan • Budget reports • Other planning materials
	2	Manage project issues.	<ul style="list-style-type: none"> • Identify and track project issues • Manage project issues • Escalate project issues to stakeholders as warranted, identifying either closure or escalation to risk status 	<ul style="list-style-type: none"> • Risk / Issue logs • Project mission, success factors and other planning materials
	3	Manage project risks.	<ul style="list-style-type: none"> • Identify and track project risks. • Develop resolutions to risks by adjusting project plans and assignments. • Mitigate/reduce the likelihood of an uncertain event either negatively or positively impacting the project. • Manage project issues. • Escalate project risk concerns to the steering committee. 	<ul style="list-style-type: none"> • Risk logs • Budget reports • Project mission, success factors and other planning materials • Issue logs
	4	Manage deliverable quality.	<ul style="list-style-type: none"> • Ensure documentation standards and guidelines are followed. • Manage acceptance of deliverables. 	<ul style="list-style-type: none"> ▪ Documentation management standards ▪ Acceptance and sign-off

Subject Area 1 – Project Initiation and Management

Sub-Topic #4 CONTROL	#	What	How	Points of Reference
	5	Conduct PM Standards Audit.	<ul style="list-style-type: none"> • Evaluate actual project plans as they compare to original deliverable definitions and estimates. • Develop recommendations for project improvements to meet critical success factors. 	<ul style="list-style-type: none"> • Project Plan schedule • Project success metrics • Critical Success Factors • Project health measurements • Documentation Management Standards • Project Score Card • PM standards compliance audit guide • Table Of Contents for Project Management Body of Knowledge (PMBOK)
	6	Measure progress against project success metrics.	<ul style="list-style-type: none"> • Evaluate actual project plans as they compare to original deliverable definitions and estimates. • Develop recommendations for project improvements. • Document and communicate progress. • Review previously agreed upon metrics to ensure compliance to SLAs, Critical Success Factors, etc... 	<ul style="list-style-type: none"> • Project metrics • Project Score Card • Status reports

Subject Area 1 – Project Initiation and Management

Sub-Topic #5 CLOSE	#	What	How	Points of Reference
	1	Evaluate project manager performance.	<ul style="list-style-type: none"> Audit PM performance based on requirements as identified in the Portfolio Program Management Standards. 	<ul style="list-style-type: none"> Project Plan schedule Project success metrics Critical success factors Project health Documentation management standards Project Score Card PM standards compliance audit guide
	2	Conduct Project Lessons Learned.	<ul style="list-style-type: none"> Collect steering committee feedback. Facilitate project team session. Recommend improvements to project management methodology. 	<ul style="list-style-type: none"> Project Plan Issues logs Project Plan schedule Project metrics, score cards and status reports
	3	Close Project.	<ul style="list-style-type: none"> Archive project deliverables. Announce project success. 	

External References: Standards, Guidelines & National Practice Publications

ANSI / ARMA 5-2003 – Vital Records: Identifying, Managing, and Recovering Business-Critical Records. ARMA International, March 2003. (ISBN: 1-931786-12-7. Source: <http://www.arma.org/>.)

ANSI / NFPA 1600:2007 – Standard on Disaster/Emergency Management and Business Continuity Programs. National Fire Protection Association, March 2007. (Source: <http://www.nfpa.org/>.)

BS 25999-1: 2006 – Business Continuity Management – Part 1: Code of Practice. BSI Business Information, November 2006. (ISBN: 0 580 49601 5. Source: <http://www.bsi-global.com/>.)

HB 292: 2006 – Practitioners Guide to Business Continuity Management. Standards Australia /Standards New Zealand, June 2006. (ISBN: 0-7337-7472-5. Source: <http://www.saiglobal.com/>.)

HB 293: 2006 – Executive Guide to Business Continuity Management. Standards Australia /Standards New Zealand, June 2006. (ISBN: 0-7337-7488-1. Source: <http://www.saiglobal.com/>.)

PMBOK: 2004 – Project Management Body of Knowledge, 2004 Edition. Project Management Institute. (ISBN: 1-930699-45-X. Source: <http://www.pmi.org/>.)

RiskWatch - RiskWatch Information Security product Suite includes software for vulnerability assessments, risk analyses and compliance reviews of information systems specifically for ISO 17799-2005), GLBA-FFIEC, HIPAA, and SOX. (Source: <http://www.riskwatch.com/>.)

TR 19: 2005 – Technical Reference for Business Continuity Management. SPRING Singapore, 2005. (ISBN: 981-4154-13-X. Source: <http://www.spring.gov.sg/>.)