

DRII/BCI Professional Practice Narrative:

- Pre-plan and coordinate plan exercises, and evaluate and document plan exercise results. Develop processes to maintain the currency of continuity capabilities and the Plan documents in accordance with the organization’s strategic direction. Verify that the Plans will prove effective by comparison with a suitable standard, and report results in a clear and concise manner.

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 8 – Maintaining and Exercising BC Plans				
Sub-Topic #1 MAINTAINING QUALITY REVIEW PROGRAM	#	What	How	Points of Reference
Maintaining – Quality Review Program	1	Reference Subject Area 6		
	2	Minimum requirement of corporate standard plan content and frequency of updates.	<ul style="list-style-type: none"> • Understand what your corporate and regulatory standards are. 	
	3	Plan component review: <ul style="list-style-type: none"> • Review contact info at least quarterly • Review requirements at least semi-annually • Review procedures at least annually 	<ul style="list-style-type: none"> • Require each location review plan components periodically. 	
	4	Make other reviews when organizational changes require, including workarea and physical environments.	<ul style="list-style-type: none"> • Incorporate major organizational changes into plan 	
	5	Ensure consistency with plan content guidelines established in Plan Development practice.	<ul style="list-style-type: none"> • Review plan to ensure consistency with other content guidelines. 	

Subject Area 8 – Maintaining and Exercising BC Plans

Sub-Topic #1 MAINTAINING QUALITY REVIEW PROGRAM	#	What	How	Points of Reference
	6	Management reporting – status of comparison to standards.	<ul style="list-style-type: none"> Report findings to senior management and issues to BRC. 	<ul style="list-style-type: none"> Sample Heat map/reporting examples.
	7	Change Management Processes (address proactive and reactive points).	<ul style="list-style-type: none"> Integrate IT DRP and BCP with existing change management processes, and SDLC efforts. Identify Change Management triggers. 	<ul style="list-style-type: none"> Organizations Program Mgmt guidelines. Organization's System Development Lifecycle (SLDC) framework.
	8	Base any quality requirements on existing regulations (e.g., audit, legal, ISO, SOX, HIPAA, FINRA).	<ul style="list-style-type: none"> Consider all existing regulations governing your organization and build quality requirements around them 	

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Sub-Topic #2 EXERCISING	#	What	How	Points of Reference
Exercising	1	Develop exercise strategies.	<ul style="list-style-type: none"> Identify and define objectives for overall exercise program. 	<ul style="list-style-type: none"> To be assessed on a strategic basis.
	2	Develop exercise objectives and scope.	<ul style="list-style-type: none"> Consider all risks when developing exercise. Identify and document testing approaches and types to be used (phased walkthrough, simulation procedural, etc....) 	
	3	Identify pre-planning steps as per test type.	<ul style="list-style-type: none"> Define "outcome"/ ultimate deliverable for test. 	
	4	Use scorecard to grade objectives – scoring mechanism to grade objectives.	<ul style="list-style-type: none"> Develop a scorecard to grade objectives. Identify measurements to success. 	
	5	Conduct exercise.		
	6	Manage/track exercise actions.	<ul style="list-style-type: none"> Develop a process to track actions to confirm closure. 	

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Sub-Topic #2 EXERCISING	#	What	How	Points of Reference
	7	Publish post-mortem issues tracking and summary.	<ul style="list-style-type: none">Identify issues resulting from test, assignments for resolutions, and target completion dates.	

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Sub-Topic #3 DISCUSSION BASED EXERCISES	#	What	How	Points of Reference
Exercising – Discussion- based	1	Execute an interactive walkthrough of a documented plan	<ul style="list-style-type: none"> • Discuss scenario against documented plan 	
	2	Hold tabletop exercises to facilitate the understanding of policy, roles & responsibilities, response and recovery approach and priorities	<ul style="list-style-type: none"> • Bring critical functions into a conference room to discuss response to a scenario 	
	3	Execute with individual business units (aka departments)	<ul style="list-style-type: none"> • Develop a scenario for a single business unit 	
	4	Execute with several units together as a joint exercise	<ul style="list-style-type: none"> • Develop a scenario for multiple business units 	

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Sub-Topic #3 OPERATION BASED EXERCISES	#	What	How	Points of Reference
Exercising – Operation- based	1	Hold notification exercises to exercise the notification system to be used at time of emergency (ATOE) to ensure accuracy, length of time for notification & that appropriate personnel have access to plan ATOE	<ul style="list-style-type: none"> Exercise the documented notification process 	
	2	Hold relocation exercises	<ul style="list-style-type: none"> Move critical functions to planned recovery location to validate location is acceptable 	
	2a	Functional	<ul style="list-style-type: none"> Technology: O/S restore: restore systems or applications without interfaces. Business: Single business units or particular processes (functions). 	
	2b	Integrated	<ul style="list-style-type: none"> Technology: O/S, Applications & Network: Multiple systems and interfaces between them. Business: Multiple units from same location testing all or most processes in highest risk tier. 	

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Sub-Topic #3 OPERATION BASED EXERCISES	#	What	How	Points of Reference
	2c	Comprehensive	<ul style="list-style-type: none"> • Technology: All systems & components of the production site. Business: All units from same site validating capabilities for all functions for a given risk tier. 	

External References: Standards, Guidelines & National Practice Publications

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>.)

Business Continuity Guideline, A Practical Approach to Emergency Preparedness, Crisis Management, and Disaster Recovery. ASIS International, 2005. (Source: <http://www.asisonline.org/guidelines/guidelinesbc.pdf>.)

FEMA 141: Emergency Management Guide for Business and Industry. FEMA, October 1993. (Source: <http://www.fema.gov/pdf/library/bizindst.pdf>.)

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>.)

ISO/IEC 27002:2005 (ISO/IEC 17799:2005) – Information Technology Security Techniques - Code of Practice for Information Security Management. International Standards Organization, June 2005. (Source: <http://www.iso.org>.)

ISO/IEC 27001:2005 - Information technology -- Security techniques -- Information security management systems -- Requirements. International Standards Organization, October 2005. (Source: <http://www.27001.com/>.)

Open for Business, Disaster Planning Toolkit for Small to Mid-Sized Business Owners. Institute for Business and Home Safety (IBHS), January 2005. (Source: <http://www.ibhs.org/docs/OpenForBusiness.pdf>.)

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