



Effective Business Continuity Program Frameworks

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Agenda



- **Session Objectives**
- **Successful BC Program Framework**
- **Critical Success Factors**



Survey Snapshot



- **How many of your enterprise-wide BC Programs have the CIO as the Executive Sponsor?**
- **How many face challenges in planning, developing, implementing and maintaining enterprise-wide BC Programs?**
- **How many have difficulty obtaining funds and expanding or maturing the BC Program?**

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The Survey Says



- **Organizational placement affects program maturity and funding**
 - Programs that report to non-IT executives are more mature and receive increased funding than those reporting to IT executives
- **Significant progress in establishing some elements of a BC Program has been made**
 - Approx 70% of respondents noted their biggest challenge is effective and efficient BC Program Management
- **65% of companies have difficulty obtaining funds to mature BC Programs**



DRJ and Isurus Survey (December 2008)

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Session Objectives



- Explain the differences between:
 - a BC/DR **Program**
 - a Recovery **Plan** and
 - a **Project**
- Communicate experiential insight of components that make BC/DR Programs **effective**
- Provide **tangible illustrations** of critical BC/DR Program elements

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Definitions



- **Program**
 - Ongoing initiative with a collection of policies and processes that are linked to strategic objectives
- **Plan**
 - Temporary endeavor to plan, organize and manage resources to complete specific goals
- **Project**
 - Set of documented, intended actions through which one expects to achieve a goal

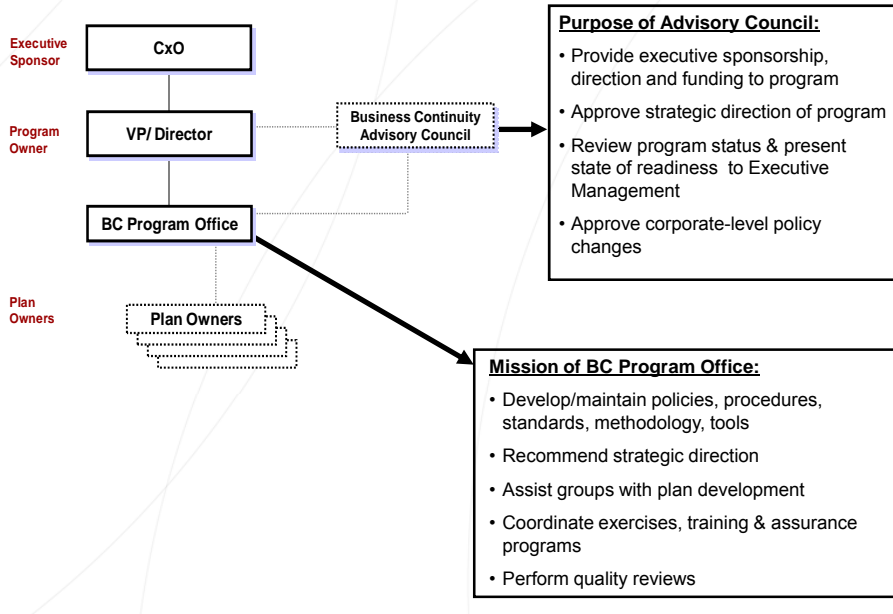
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Program Framework: Policy, Governance & Reporting				
Plan Types				
Incident Management	Emergency Response	Technology Recovery	Business Recovery	Pandemic
<ul style="list-style-type: none"> • Assemble the decision-makers • Collect information • Coordinate all response, recovery & restoration activity • Communicate information to all stakeholders 	<ul style="list-style-type: none"> • Life/Safety • Personnel Headcount • Damage Assessment 	<ul style="list-style-type: none"> • Maintain or recover IT Services 	<ul style="list-style-type: none"> • Maintain or recover business functions • Invoke alternate procedures during no/limited IT Services or input from suppliers or dependent departments 	<ul style="list-style-type: none"> • Maintain mission-critical processes during extended high absenteeism rates

Comprehensive	Considers all potential hazards and all potentially affected stakeholders
Sponsored	Requires support, involvement and funding from the executive management team
Assigned	Plan development, maintenance and exercises are a business unit managers' responsibility
Impact Driven	Standards for plan content, updates and exercises are relative to the degree of impact on business operations, finances and/or regulatory compliance
Flexible	Requires creative and innovative approaches; especially when the specifics of the situation cannot be predetermined
Ongoing	Continuous process requiring regular review, planning and updating
Professional	Based on education, training, experience, ethics, wise-stewardship and continuous improvement

Organizational Jurisdiction



Framework Manual



- Amalgamation of standards
 - NFPA 1600
 - ITIL/ITSCM
 - PS: Prep
- Governance
 - Executive Sponsorship
 - Program Management
 - Plan Ownership
- Compliance
 - Program Requirements
 - Plan Attestation
 - Readiness Reporting
- Scope
 - Global Data Centers
 - Big DR / Little DR



Corporate Policy Statement



Key Elements:

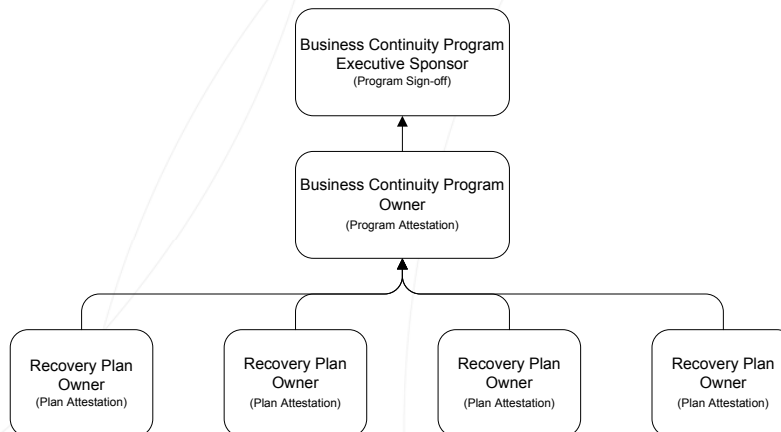
- Maintain a viable Business Continuity Program
- All business units are required to develop and maintain recovery plans
- All business units are required to submit an annual attestation statement to the Business Continuity Program Office
- Business Continuity Program Office is required to submit an annual statement of recovery readiness/program status

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Plan Attestation

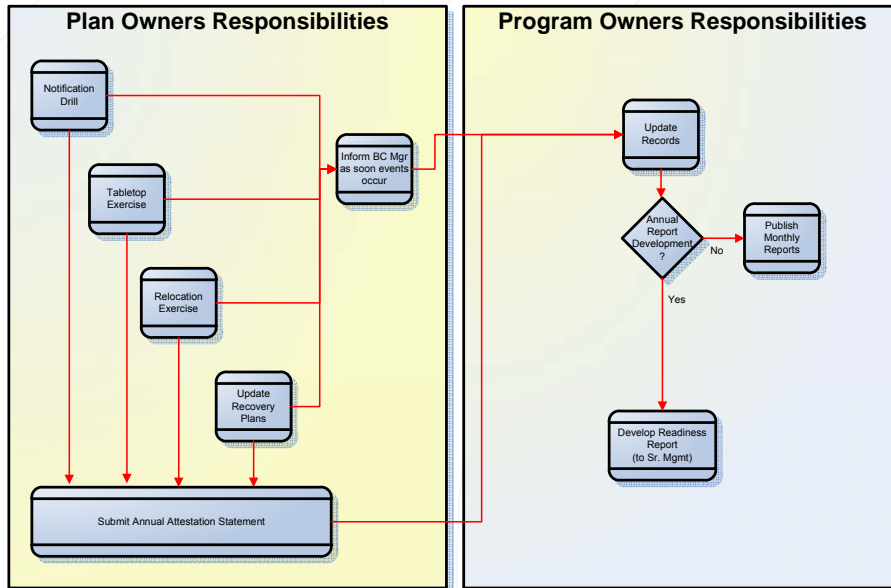


- Annual signatures attesting requirements have been met and program is being maintained according to expectations
- Built into Annual Program Status Reporting



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Reporting Process



Responsibilities



	BC Advisory Council	Executive Sponsor	Program Owner	Plan Owners	Business Analyst	Business Units	Change Manager	Risk Manager	IT Operations Manager	Facilities Manager
Maintain Policy	C	C	R	I		I	I	I		
Approve Policy	A	R	I	I		I	I	I		
Maintain Program Materials	C	A	R							
Plan Attestation	I	I	A	R		I			I	
Program Reporting	I	C	RA	C		I				
Plan Maintenance	I	I	C	RA	I	I	I	I	I	I
Plan Exercise	I	I	C	RA	I	I			I	I
Impact Analysis	I	C	A	R	I	I		I	I	
Risk Assessment	I	I	A	I	I	I		R	I	I
BC/DR Requirements (SDLC)			A	C	I		R	I		
Change Control		I	A	I	I		R			

R = Responsible A = Accountable C = Consulted I = Informed

Recovery Readiness Reporting



Annual presentation to Executives & Board of Directors



- **State of “Recovery Readiness”**
 - How prepared is <the company> to effectively & efficiently meet recovery objectives?
- **Status of compliance with regulations and standards**
 - What are the applicable regulatory requirements and is <the company> in compliance?
 - Which units are non-compliant with content, maintenance, exercise or certification standards?
- **Level of exercises performed**
 - What was the level of success & issues identified during exercises?
- **Program challenges**
 - What are inhibitors to providing/maintaining a viable continuity program?
- **Planned program enhancements**
 - What program enhancements are underway or planned?

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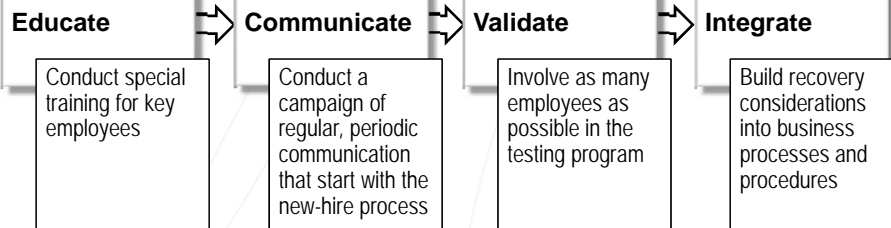
Capability Disclosure Statement



- An Executive Summary document for distribution to clients, prospects and suppliers that verifies a management program exists and describes the level of recoverability that clients can expect
 - Executive Sponsor, Program Owner and Plan Owners have been assigned
 - Responsibilities of the BC Program Office
 - Business Continuity Council exists and the purpose of that group
 - Highlights Corporate Business Continuity Policy
 - Vision and Mission Statements
 - Standards for plan content, update and exercise frequencies
 - Annual Program Status Report presented to Executive Management
 - Describe current recovery capabilities stating when critical services will be available

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Training and Awareness



Issue Tracking



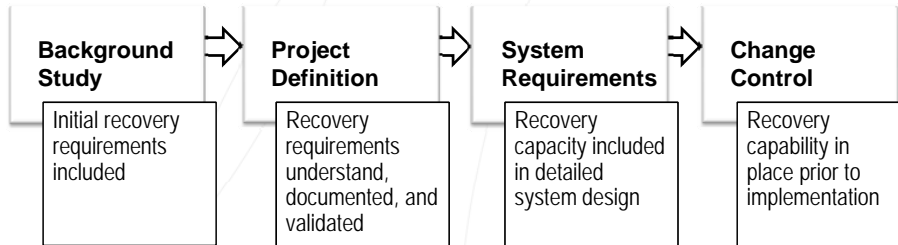
- Document & Report all BC/DR issues
- Monitor through resolution
- Maintained by BC/DR Program Office
- Monthly reporting to management
- Relational database

- | | |
|--|--|
| <ul style="list-style-type: none">• Issue Category/#<ul style="list-style-type: none">- Notification- Tabletop- Relocation- Planning- Incident | <ul style="list-style-type: none">• Issue Description• Date Opened• Date Closed• Target Close Date• Owner• Status |
|--|--|

Change Management



- Change in an organization (relative to BC/DR) is best managed by ensuring processes are in place to identify, document and develop plans addressing those changes



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Standards



	Risk Level 1	Risk Level 2
Plan Updates	6 mos	12 mos
Notification Exercise	3 mos	6 mos
Table Top Exercise	12 mos	12 mos
Relocation Exercise	6 mos	12 mos
Attestation Statement	12 mos	12 mos

Note: While these are examples of generally used standards, it is most important that you select and commit to a specific period of time in which you will conduct these tasks on an ongoing basis specific to your organization's requirements.

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Most Critical Success Factors



- Align Business Continuity Program to enterprise business objectives
 - Executive sponsorship and active involvement
 - Institutionalize program elements
 - Budget commitment and visibility
 - Proper organizational placement
 - Apply project management disciplines
- Base recovery strategy and capability on accurate and validated business requirements
- Executive commitment to a centralized repository
- Exercise the way you would recover
- Establish and maintain partnerships with public sector
- Continuously expand your knowledge
 - Your business environment and regulations
 - BC/DR practices and tools

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Questions



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