

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.

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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 / Developing and Implementing BC Plans	<ul style="list-style-type: none"> Understand the plan components. 	GAP Subject Area 6 / Developing and Implementing BC Plans
	2	Base any quality requirements on existing regulations (e.g., audit, legal, risk, FFIEC, ISO, SOX, HIPAA, FINRA, etc.). NOTE: Corporate BCM Policy should identify the roles and responsibilities for plan maintenance and exercises	<ul style="list-style-type: none"> Consider all applicable regulations governing your organization or standards / guidelines that fit your organization. 	<ul style="list-style-type: none"> Corporate BCM Policy DRJ Rules and Regulations http://www.drj.com/resources/dr-rules-regulations.html
	3	Plan component review: <ul style="list-style-type: none"> Review and/or update contact info at least quarterly Review and/or update resource requirements at least semi-annually Review and/or update procedures at least annually 	<ul style="list-style-type: none"> Require each site to review plan components periodically. 	<ul style="list-style-type: none"> Corporate BCM Policy

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Sub-Topic #1 MAINTAINING QUALITY REVIEW PROGRAM	#	What	How	Points of Reference
	4	If applicable, update plans when major organizational changes occur to the workarea and / or physical environments.	<ul style="list-style-type: none"> • Incorporate major organizational changes into plan(s) 	
	5	Change Management Processes (address proactive and reactive points).	<ul style="list-style-type: none"> • Integrate IT DRP and BCM with existing change management processes, and SDLC efforts. • Identify Change Management triggers. 	<ul style="list-style-type: none"> • Corporate Program Mgmt guidelines • Corporate System Development Lifecycle (SLDC) framework
	6	Management reporting – status of comparison to standards and / or with peers via benchmark studies.	<ul style="list-style-type: none"> • Report BCM metrics, highlights and / or findings to senior management. 	<ul style="list-style-type: none"> • Industry Benchmark Studies

Maintaining and Exercising BC Plans

Sub-Topic #2 EXERCISING	#	What	How	Points of Reference
Exercising	1	Develop a multi-year exercise schedule listing the various types of exercises to be conducted, with which groups (IT, Business, Vendors / Supply Chain, Responding Agencies, etc.), and when.	<ul style="list-style-type: none"> • Identify and define objectives for overall exercise program. • Obtain Management approval 	
	2	Identify pre-planning steps as per test type (i.e., objectives / scope, scenario(s), participants, roles / responsibilities, exercise site, use of tools / plans during exercise, frequency of planning meetings, etc.)	<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....) • Define “outcome”/ ultimate deliverable for test. 	
	3	Develop a scorecard to grade objectives – scoring mechanism to grade objectives. In addition, develop a post-exercise survey to capture test participant’s comments on lesson learned.	<ul style="list-style-type: none"> • Develop a scorecard to grade objectives and a post-exercise survey. • Identify measurements to success. 	
	4	Conduct exercise:		
	4a	Notification: Hold notification exercises to exercise the notification system to be used at time of emergency (ATOE) to ensure accuracy, length of time for notification, etc.	<ul style="list-style-type: none"> • Exercise the documented notification process 	
	4b	Tabletop:	<ul style="list-style-type: none"> • Bring critical business functions and / or Crisis Management Team into a conference room to discuss response to a scenario 	

Maintaining and Exercising BC Plans

Sub-Topic #2 EXERCISING	#	What	How	Points of Reference
	4d	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). 	
	4e	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. 	
	4e	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. 	
	5	Manage / track exercise actions.	<ul style="list-style-type: none"> • Develop a process to track actions to confirm closure (i.e., problem logs, IMs, etc.) 	
	6	Publish post-mortem issues tracking and summary.	<ul style="list-style-type: none"> • Conduct de-brief meeting, identify issues resulting from test, assignments for resolutions, and target completion dates. 	

External References: Standards, Guidelines & National Practice Publications

DR Rules and Regulations. Disaster Recovery Journal – September 2015. (Source: <http://www.drj.com/resources/dr-rules-regulations.html>.)

Open for Business, Disaster Planning Toolkit for Small to Mid-Sized Business Owners. Institute for Business and Home Safety (IBHS) - 2013. (Source: <http://disastersafety.org/ibhs-business-protection/ofb-ez-business-continuity/>.)