Business Continuity Management Program
“A Suggested Approach”

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December 2, 2005

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Business Continuity Management Program
“A Suggested Approach”

Agenda

- A Suggested Approach – Background
- Session #1 - A Suggested Approach - Overview
- Session #2 - A Suggested Approach - Phase 1, “The Emergency Response Plan”
- Questions & Open Discussion
Business Continuity Management Program
“A Suggested Approach”

A Suggested Approach - Background
A Suggested Approach

Background

“The Bridge Builder”

An old man, going a lone highway,
Came at the evening, cold and gray,
To a chasm, vast and deep and wide,
Through which was flowing a sullen tide.
The old man crossed in the twilight dim –
That sullen stream had no fears for him;
But he turned, when he reached the other side,
And built a bridge to span the tide.

The builder lifted his old gray head.
“Good friend, in the path I have come,” he said,
“There followeth after me today
A youth whose feet must pass this way.
This chasm that has been naught to me
To that fair-haired youth may a pitfall be.
He, too, must cross in the twilight dim;
Good friend, I am building the bridge for him.”

“Old man,” said a fellow pilgrim near,
“You are wasting strength in building hear.
Your journey will end with the ending day;
You never again must pass this way.
You have crossed the chasm, deep and wide,
Why build you the bridge at the eventide?”

By : Will Allen Dromgoole

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A Suggested Approach

Background – What?

Mission Statement

In order to improve the success rate of companies and organizations and to help them establish a viable and maintainable business continuity management program, CPAC establishes the following Mission Statement:

It shall be the Mission of CPAC to draw upon the knowledge and experience base both within and external to CPAC to establish a “Suggested Approach” that all size companies and organizations can apply in their effort to build and maintain a viable business continuity program.
A Suggested Approach

Background – Why?

The 9/11 Commission Report
Section 12.4, page 397 and 398

Private Sector Preparedness:
“The mandate of the Dept of Homeland Security does not end with government; the department is also responsible for working with the private sector to ensure preparedness. This is entirely appropriate, for the private sector controls 85% of the critical infrastructure in the nation. Indeed, unless the terrorist’s target is a military or other government facility, the “first” responders will almost certainly be civilians. Homeland security and national preparedness therefore often begins with the private sector.”

Recommendations:
“…. Private-sector preparedness is not a luxury; it is a cost of doing business in the post-9/11 world. It is ignored at a tremendous potential cost in lives, money and national security.”
A Suggested Approach

Background – Why?

Status

The recovery planning industry has been in existence for 35+ years. Despite a multitude of vendors, consultants, their methodologies and software tools, less than 10% of all companies and organizations have a viable currently maintained business continuity program.
A Suggested Approach

Background – How, Who & Resources?

- **Design & Development Committee**
  - Certified Planners within CPAC
    - Experience representing a variety of industries and organizations
    - Experienced regarding IT and/or Business Operations

- **Referenced Established Educational Programs:**
  - “Business Continuity Planning Made Simple” by Norm Harris, CBCP, CRP & Tracy Cowan, CBCP, CRP
  - “Open for Business” by Institute for Business & Home Safety
  - DRII

- **Work in Progress**
  - the results will continually be refined and improved from ongoing input from new resources, which include both individuals and “programs”.

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Background – Goal

“It is CPAC’s goal to establish a qualified educational program for business continuity management, which, along with support from fellow CPAC members, will provide the guidance and direction necessary for member companies and organizations to establish a viable and maintainable business continuity management program.

And,

to offer the “Suggested Approach” to similar business continuity organizations throughout the country.”
A Suggested Approach

**Principle**

**Definition of “Business Disaster”**

A *business disaster* is not the fire, tornado, hurricane, flood, etc. Those are the *causes*.

A *business disaster* is that point in time after the *cause* when you can not provide your customers and users with the minimum level of service they require.
A Suggested Approach

**Principle**

**Definition of “Continuity Planning”**

Continuity Planning involves the mitigation of risks and proactive preparation for the resumption of business to prevent a “business disaster”.

It is addressed on a location basis with the premise that the building is not accessible and nothing is salvageable.
A Suggested Approach - Principle
Maslow’s Law

On “Human Psychology”

- **SELF ACTUALIZATION**
  - Ultimate Expression of Self
  - Influence & Philanthropy

- **SECURITY**
  - Living Standard, Expansion of Environment

- **RECOGNITION**
  - Career, Position, Promotion
  - Fame, Respect

- **BASIC NEEDS**
  - Food, Shelter & Safety

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A Suggested Approach - Principle
Based on Maslow’s Law
On “Business Continuity”

- **SELF ACTUALIZATION**
  - Total Management Support
  - Established Budget for Funds and Resources

- **REFINE & EXPAND**
  - Risk Assessment & Evaluation
  - Business Impact Analysis
  - Determine Strategy

- **CONFIRM & REDUCE IMPACT**
  - Test
  - Mitigation & Insurance

- **BASIC NEEDS**
  - Off-site Storage: IT and Business Unit/Departments
  - A Place to go: IT and Business Unit/Departments
  - Plan of Action: Emergency Response & Recovery – Maintained
  - Workforce
A Suggested Approach

Principle

The Purpose of Planning

- **Mitigation** - Is the process of reducing the probability and the impact, but it will not eliminate the risk. It is a part of the BCP program.

- **Insurance** – Will address the cost of recovery, pay employees, provide income to the business, protect directors and officers, but it will not put the “business” back. It is a part of the BCP program.

**NOTE:**
With the RTO being so short, there is nothing that can replace the need to have an Emergency Response Plan and Business Continuity Plan, critical data, information and materials off-site and have a place to go for both Business and IT.
SESSION #1

A Suggested Approach - Overview
A Suggested Approach

Overview

Steps

Phase 1
- Step 1 - Justification
- Step 2 – Program Initiation
- Step 3 – Program Development
- Step 4 – Workforce Protection
- Step 5 – Off-site Storage Program
- Step 6 - Incident Command Center
- Step 7 - Emergency Response Plan

Phase 2
- Step 8 – Alternate Sites
- Step 9 - Risk Management
- Step 10 - Testing

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SESSION #2

A Suggested Approach - Phase 1, “The Emergency Response Plan”
A Suggested Approach

Phase 1

Objective

Phase 1 consists of several individual “steps” that collectively represents an objective for the organization to become as protected as possible as soon as possible and will thereafter become the infrastructure supporting all subsequent aspects of the business continuity management program.
A Suggested Approach

Phase 1

Steps

- Step 1 - Justification
- Step 2 – Program Initiation
- Step 3 – Program Development
- Step 4 – Workforce Protection
- Step 5 – Off-site Storage Program
- Step 6 - Incident Command Center
- Step 7 - Emergency Response Plan
A Suggested Approach
Phase 1, Step #1 - Justification

WHAT?

The process of identifying applicable risks and their resulting impact on the organization so that management can make an informed decision regarding support for Phase 1 and/or the full business continuity management program.
A Suggested Approach
Phase 1, Step #1 - Justification

WHY?

- Management and key resources need to know how important BCP is and what the ramifications are if not addressed, which will support an informed decision.

- The Justification process is the genesis of your Awareness Program.

- Justification addressed initially in the BCM Program can generate support needed down the road when budgets are tight and reorganizations introduce new adverse philosophies. It’s an investment supporting due diligence and a hedge against developing and maintaining an ineffective Plan and/or Program.
A Suggested Approach
Phase 1, Step #1 - Justification

HOW?
- Conduct and/or Define:
  - Threat Assessment
  - Risk Analysis
  - Regulatory Issues
    - HIPAA
    - Sarbanes-Oxley
    - NFPA 1600
  - BIA – High Level:
    - Define Critical Systems and/or Services
    - Define RTO, RPO

WHO?
- Conducts and/or Participates:
  - The BC Planner
  - Risk Manager
  - The IT Manager
A Suggested Approach
Phase 1, Step #1 - Justification

RESOURCES:
- Providers of Input and Support:
  - Risk Manager
  - Local Emergency Manager: State and/or County
  - Local Fire and Police Chiefs
  - Internal and/or External Auditor
  - Security Officer, Compliance Officer, CIO, CTO, IT Manager
  - CPAC and others using an abbreviated approach

GOALS:
- Timeframe:
  - 2 to 6 weeks
- Objective:
  - Produce a Justification Document detailing for IT and Business:
    - exposures and risks
    - cost in loss of revenue, fines, legal penalties, good will, future market share
  - Obtain letter of executive endorsement for Phase 1 and/or entire Business Continuity Mgmt Program
A Suggested Approach
Phase 1, Step #2 – Program Initiation

WHAT?

Note: The Executive Endorsement Letter will get the “minds” of the organization to support you and the Program.

The Program Initiation step, which presents a detailed, logical approach supporting development, implementation and maintenance of the Business Continuity Management Program to the organization is intended to get their buy-in or “hearts”.

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A Suggested Approach
Phase 1, Step #2 – Program Initiation

WHY?

Without broad organizational understanding for and support of the Business Continuity Management Program, the long term chances of producing a viable Program that is maintained at a current level is virtually zero.

Note: With the “minds” and “hearts” of the organization, the planner’s life will be less difficult and the chances of success for the overall Program is increased significantly.
A Suggested Approach
Phase 1, Step #2 – Program Initiation

HOW?

- Establish a BC Team Organizational Structure:
  - Correlates with existing organizational chart + Crisis Management Team
  - Everything related to business continuity planning will fall under a specific team

WHO?

- The Program Leader
- Each BCP Team will be assigned its appropriate leader
A Suggested Approach
Phase 1, Step #2 – Program Initiation

RESOURCES:
- BCP Certification is important to the success of the Program
  - Recruit a Certified Planner
  - An existing experienced individual must move towards certification
  - Obtain consulting support from an experienced certified planner

- Research and select a Business Continuity Management Software Tool
  - Solicit input from those who have and/or are using BCP tools

GOALS:
- You are to position yourself to move out into the organization with a solid approach to developing, managing and maintaining the Program with support of those essential to its success, which is the collective leadership of the Teams and key resources.

- You must have a way to manage the development, monitor the ongoing preparation and maintenance process and be able to proactively brief management on the status of the overall Program.

- Establish an employee Awareness Program supporting the BCM Program and fostering ongoing support.
A Suggested Approach
Phase 1, Step #3 – Program Development

WHAT?

- **Initial Development** - must focus on what each team can and must do immediately with what it has and identify what must be done to protect the workforce and organization so that it can become as protected as possible as soon as possible.

- **Ongoing Development** – from the infrastructure already established, continue to strengthen the organization’s degree of readiness by maintaining what has already been done and addressing outstanding items as well as new issues supporting the goal to be ready to effectively respond to and recover from any contingency.
A Suggested Approach
Phase 1, Step #3 – Program Development

WHY?

- **Business Continuity is a “work in progress”!** The Development process will eventually blend with the “maintenance” process and/or “management” process. **BUT initially, the Program Development Step is where you establish the infrastructure that will support all current and subsequent aspects of a successful business continuity management program.**

- **The Development Process is a vehicle that should be used to strengthen overall support for the BCM Program.**
A Suggested Approach

Principle

Team Mission

“To be prepared at all times to relocate your area of responsibility to another location and re-establish your critical systems and services to a level supporting your users and customers within the established Recovery Time Objective, and to accomplish this solely from information, resources and materials stored and accessible off premises.”
A Suggested Approach
Phase 1, Step #3 – Program Development

HOW?

- Team Meetings to Address:
  - Establish Mission Statement and Specific Responsibilities
  - Staff the team and collect 24x7 contact information
  - Establish accountability
  - Define critical systems and/or services = establish RTO, RPO
  - Identify supporting Items: documents, procedures, tasks, off-site storage, etc.
  - Identify critical vendors and key resources = obtain 24x7 contact information
  - Identify “issues” that will or could have an adverse impact on the response and/or recovery effort
  - Establish the team’s ATO, Assembly Time Objective
A Suggested Approach
Phase 1, Step #3 – Program Development

WHO?

- Program Leader or Business Continuity Planner
- Team Leaders and their supporting resources
- External Resources – Key vendors and personnel
A Suggested Approach
Phase 1, Step #3 – Program Development

RESOURCES:
- **Methodology & Tool** - Your selected Methodology and supporting business continuity planning software tool will be your most important asset
- “**Misery Loves Company**” – with your eyes wide open and sticking to your established “approach”, work with: CPAC membership, consultants, other experienced planners

GOALS:
- The Team Structure is established and staffed with a full understanding of what is expected of them and they are in the process of addressing the critical items supporting Phase 1, “to become as protected as possible as soon as possible”.
- The organization’s employee base is fully aware of the BCM Program and the established Awareness Program will continue to keep them in the loop and onboard.
A Suggested Approach

Principle

Maintenance

“Maintenance must be a factor considered from the very beginning. The objective is to develop methods, procedures, plans, etc. that incorporate maintenance saving techniques that result in them being maintained by the resources available yet do not compromise safety and/or recovery.”
A Suggested Approach
Phase 1, Step #4 – Workforce Protection

**WHAT?**

- Provide for the protection and safety of ALL employees both from the personal “at home” standpoint as well as from “at the workplace” aspect.

**WHY?**

- The availability of employees, many of whom are your team leaders and resources, will determine how quickly you will be able to respond and/or recover and possibly whether you will recover at all!
A Suggested Approach

Principle

Organizational Mission

“It shall be the mission of the Company to establish and maintain a Business Continuity Management Program supporting both IT and business that assures the well being and safety of employees, protects company assets, and continued high level of service to customers and users.”
A Suggested Approach
Phase 1, Step #4 – Workforce Protection

HOW?

- **Employee Preparedness** - through an active “home safety and preparedness program”, encourage employees to be prepared at home for emergencies
- **BCP Team Members** – as a part of being on a recovery team, being prepared at home must be a stated requirement for being on a Team.
- **Company** – the company must take the necessary proactive and mitigating steps to protect employees, visitors, customers, etc.
  - Building Evacuation Plans – properly done
  - Inclement weather procedures
  - Bomb Threat procedures, workplace violence procedures, etc.
  - Work From Home – establish procedures and provide resources

WHO?

With the Team Infrastructure in place, everything supporting the BCM Program will fall under one or more teams. Therefore, the **Team Leader** with support of their members and available resources will address the tasks, documents and issues to be addressed supporting Workforce Protection.
A Suggested Approach  
Phase 1, Step #4 – Workforce Protection

RESOURCES:
- **Home Safety and Preparedness**: Red Cross, County Local Emergency Manager, CPAC membership

- **Company – Proactive & Mitigating Efforts**: Local Fire and Police Departments, County Local Emergency Manager, Local FBI Office, CPAC membership, etc.

GOALS:
To establish initial and ongoing programs and procedures that will protect the employee at work and increase their availability through Home Preparedness to support the company’s response and recovery effort in the event of a minor disruption and/or major disaster situation.
A Suggested Approach
Phase 1, Step #5 – Off-site Storage Program

WHAT?
- QUICKLY, establish an off-site storage program that includes both IT and the business units, ensuring that accurate and complete data, information and materials are being stored far enough from the Facility/Location so as to ensure accessibility and availability.

WHY?
- Without timely access to essential data, information and materials supporting recovery and/or re-establishing critical systems and/or services, the chances of the company recovering to an acceptable level in the timeframe necessary or recovering at all is virtually zero!
- Quickly – being so critical, you are exposed until properly addressed.
A Suggested Approach
Phase 1, Step #5 – Off-site Storage Program

HOW?

Individual Teams - through the initial Team Meeting and subsequent follow-up meetings, ensure each team, including IT and Business, is identifying and storing what is necessary to meet their Mission.

WHO?

Having defined it in their Mission Statement, each Team Leader is responsible to “… to accomplish this solely from information, resources and materials stored and accessible off premises.”
A Suggested Approach
Phase 1, Step #5 – Off-site Storage Program

RESOURCES:
- Off-site Storage facility and service provider
- Electronic data backups or Redundant operating system
- Internal currier system and personnel
- Facilities Manager – for company provided storage location

GOALS:
Regarding both IT and Business units and their essential data, information and materials, quickly ensure the company is protected as much as possible and to identify the critical areas needing immediate attention.
A Suggested Approach
Phase 1, Step #6 – Incident Command Center

**WHAT?**

*Establish the Command Center Protocol* so that the Team Leaders, key vendors and resources, can effectively respond to and coordinate any emergency situation.

**WHY?**

Once notified, if places to meet, methods of communication, hierarchy of decision making, etc. have not been clearly defined, confusion and miscommunication will lead to critical time being lost, which could lead to serious safety and legal issues as well as impact the level and ability to recover.
A Suggested Approach

Principles

Enemies of the Business Continuity Management Program

“Before the disaster situation, “maintenance” is the enemy affecting the degree of readiness. Once the disaster has struck, “Time” is your number one enemy.

“Do everything you can ahead of time to have an accurate and up to date Plan that contains time saving techniques”
A Suggested Approach
Phase 1, Step #6 – Incident Command Center

**HOW?**

*Establish the Critical Command Center Components as Policy & Procedures:*

- Define several Command Center Locations - one on campus, two or more at varying distances; obtain 24x7 contact info and addresses.
- Define method of initial notification: phone tree, automatic notification
- Establish methods of communicating to Team and/or employee base if phone service is down.
- The hierarchy of your Team Structure should define your notification and escalation process and provide for leadership in the event members are missing or unavailable.

**WHO?**

“The Incident Command Center Protocol and its supporting policies and procedures are not a usual component of the organization, and therefore should be created and/or coordinated by the BCP Team with input and support form associated Team Leaders.
A Suggested Approach
Phase 1, Step #6 – Incident Command Center

RESOURCES:

- **Command Center Locations**: Hotels, other company office locations, meeting and conference centers
- **Automatic Notification Systems** – consult within CPAC membership, internet, DRJ Magazine
- **Alternate Methods of Communications** – local TV and Radio stations, phone service provider, satellite phones

GOALS:

To establish the resources and processes that will expedite and facilitate an effective response and coordinating effort by the leaders of the teams notified of a pending or disaster situation.
A Suggested Approach
Phase 1, Step #7 – Emergency Response Plan

WHAT?
A document that will provide the organization’s “first responders” with the critical instructions and information they need to effectively respond to and coordinate the notification and activation phases of any emergency situation.

WHY?
The Emergency Response Plan will allow the organization to quickly and effectively respond to any emergency situation. When in place, it will allow the organization to proceed with addressing the remaining important aspects of the Business Continuity Management Program knowing that the safety and well being of all employees both at home and at work as well as the most critical recovery aspects of the business have been and/or are being addressed.
A Suggested Approach
Phase 1, Step #7 – Emergency Response Plan

HOW?
Create a Document Generic to All Teams or Specific to Each Team that includes:
- Emergency Communication Methods and Procedures
- Incident Command Center Locations
- Team Member Contact information and staffing hierarchy.
- Organization and Team Mission Statements
- Critical Emergency Information and Procedures:
  - Communicating with the Media Policy
  - Building Evacuation Procedure
  - Bomb Threat
  - Inclement Weather
  - Workplace Violence Policy and Procedure.

WHO?
A specific responsibility of the BCP Team is to establish the Emergency Response Plan by assembling the information, policy statements and procedures maintained by the Team and person responsible.
A Suggested Approach
Phase 1, Step #7 – Emergency Response Plan

RESOURCES:
- The Policy Statements and Procedures that have been established
- The Information that has been gathered
- The Business Continuity Tool

GOALS:
To develop and implement an Emergency Response Plan containing the minimum essential information and instructions necessary that will allow the Teams to, at least, effectively respond to and coordinate any emergency situation.

Time – by carefully selecting the essential Steps and associated Tasks, and focusing on those supporting the development and implementation of the Emergency Response Plan, it should be accomplished within two to four weeks.
A Suggested Approach

Principle

The Purpose of Planning

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- **Insurance** – Will address the cost of recovery, pay employees, provide income to the business, protect directors and officers, but it will not put the “business” back. It is a part of the BCP program.

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*With the RTO being so short, there is nothing that can replace the need to have an Emergency Response Plan and Business Continuity Plan, critical data, information and materials off-site and have a place to go for both Business and IT.*
A Suggested Approach

QUESTIONS

&

OPEN DISCUSSION