



BUSINESS CONTINUITY INSTITUTE

BUSINESS CONTINUITY MANAGEMENT : GOOD PRACTICE GUIDELINES

Editor: Dr. David J. Smith FBCI

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Work Group:

Fred Bell MBCI

Nigel Bridger FBCI

Mark Bryce MBCI

Tim Chadwick MBCI

Chris Green MBCI

Albert Horan MBCI

Phil Slate MBCI

Dr. David J. Smith FBCI

Graham Vingoe MBCI

Pamela White MBCI

Editor:

Dr. David J. Smith FBCI

Readers:

Lyndon Bird FBCI

Chris Rigby-Smith FBCI

Rolf von Roessing MBCI

David Green FBCI

John Worthington MBCI

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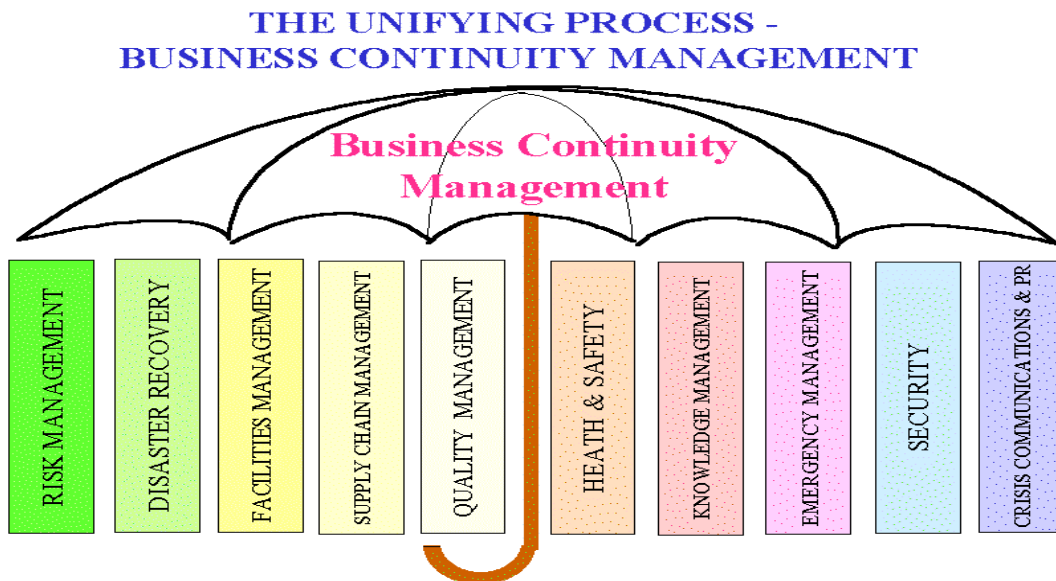
OVERVIEW.

Introduction.

Business Continuity Management (BCM) is not just about disaster recovery, crisis management, risk management control or technology recovery. It is not just a professional specialist discipline but a business owned and driven issue that unifies a broad spectrum of business and management disciplines. In particular it provides the strategic and operational framework to both review and where appropriate redesign the way an organisation provides its products and services whilst increasing its resilience to disruption, interruption or loss.

Business Continuity Management has also long been recognised as good business practice and is an integral part of corporate governance. Within this setting BCM takes on a strategic dimension and should not only be seen in a narrow reactive operational context.

It is important at this early stage to clearly dismiss two fallacies concerning Business Continuity Management. The first is that it only applies to private sector business and the second is the belief that it is Information Technology Disaster Recovery (ITDR). It applies to all organisations whether from the private or public sector. In fully supporting this approach the Business Continuity Institute Good Practice Guidelines refer to industry and organisation. Where the phrase business is used it is adopted as a generic term in recognition that all organisations are in the business of whatever is their raison d'être.



Whilst there are several sources of BCM Good Practice currently available a high proportion of organisations still continue to focus upon the narrow reactive Information Technology Disaster Recovery (ITDR) and planning bureaucracy approach that talks of business recovery, resumption and planning. This is in direct contrast to the holistic and integrated multi-discipline BCM process that is not just reactive but preventative and is owned and led by the organisation and in some circumstances the industry e.g. financial services sector. In acknowledging BCM as a holistic business driven process, ITDR and plans are recognised

as important elements within the process that drives and provides organisational/industry resilience via an effective and fit for purpose BCM competence and capability.

In particular the guidelines fully recognise that an organisation's BCM resilience depends equally on its management and operational staff as well as technology and requires an 'out of geographical region' BCM capability.

Many businesses believe crises only happen to others and that their size or some other feature makes them immune. They genuinely believe 'It will not happen to us'. Others firmly believe that insurance will cover the cost but insurance does not win back lost market share. The case studies at business schools are littered with such examples. Whilst bombs, fires and floods capture the headlines almost 90% of crises are 'quiet catastrophes'. It is these 'quiet catastrophes' that also have the potential to damage an organisation's most valuable assets; its brand and reputation. Recent research indicates that where an organisation has successfully dealt with a crisis their share holder value price has increased in the long-term in contrast to those who did not or were perceived not to have managed the crisis well.

IN ESSENCE AN ESTABLISHED AND SUCCESSFUL BRAND OR PUBLIC IMAGE, REPUTATION AND TRUST OF EITHER A PRIVATE OR PUBLIC SECTOR ORGANISATION CAN BE DESTROYED IN MINUTES UNLESS VIGOROUSLY DEFENDED AT A TIME WHEN THE SPEED AND SCALE OF EVENTS CAN OVERWHELM THE NORMAL OPERATIONAL AND MANAGEMENT SYSTEMS.

In managing any event it is critical to recognise that a successful outcome is judged by both the technical response and the perceived competence and capability of the management in delivering the business response. The stakeholder perception should be seen as the critical success factor with an equal if not more urgent priority over the technical solution. Consequently, the 'acid test' is to convincingly demonstrate an effective BCM competence and capability and continue business as usual in contrast to a fall and recovery of business that is representative of the outdated disaster recovery and business resumption management approach.

In addition to meeting regulatory requirements there are many other advantages that flow from successful BCM; not least of all that it can provide a competitive advantage and as a provider of services/goods it is becoming a standard term in contracts.

In adopting a modular approach BCM provides a common basis for the management of any crisis or business continuity event and/or crisis and can be easily and quickly modified to suit local, national as well as global requirements. The BCM life-cycle and good practice guidelines helps those involved in its delivery to have a clear understanding of what is required of them to achieve the needs of the business and corporate governance.

Whilst the guidelines are generic in nature their particular strength lies in their flexibility that enables them to be customised to meet the specific needs of a particular public or private sector organisation/body.

There are a number of key change drivers that demand financial service firms and other businesses, including the public sector, meet the needs and requirements of both developing and established markets, clients and customers in an ever changing and competitive environment. These include:

- Customer/client expectation;

- globalisation;
- reduction of operating costs;
- reduced budgets;
- reduced margins;
- technology - particularly e-business with increasingly sophisticated business models and processes;
- increasing legislation and regulation;
- corporate governance;
- organisational change and the breakdown of traditional controls;
- Increased staff mobility causing higher staff turnover at all levels.

As a key component of contemporary management the role of BCM is recognised as a critical element of the public and private organisation environment and has achieved new levels of professional competence and maturity within a relatively short period of time. The role of the Business Continuity Institute (BCI) and its professional membership has significantly been at the vanguard and contributed to the development of global BCM professional standards.

The Definition of Business Continuity Management.

Business Continuity Management is a holistic management process that identifies potential impacts that threaten an organisation and provides a framework for building resilience and the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value creating activities.

Purpose.

The guidelines outlined in this document are not intended to be a restrictive, exhaustive, definitive or overly detailed (granular) process to cover every eventuality within BCM as by their very nature all business continuity events are different. Consequently, the Good Practice Guidelines must not be interpreted as the only course of action. It is recognised that there may be a case where they may need to be modified or customised to meet the specific needs of the organisation or industry.

Whilst the guidelines do not of themselves provide a BCM competency and capability they do provide a generic framework and standardised approach to enable and inform their development. In particular the guidelines are designed to provide assistance in understanding and applying the BCM principles.

The guidelines are divided into six sections that are each based upon a stage of the BCM life-cycle and process. They draw together the collective experience of leading BCM practitioners from financial services, insurance, audit, consulting and academia in partnership with the Business Continuity Institute.

Each organisation needs to assess how to apply the good practice contained within the guidelines to their own organisation. Within this context they must ensure that their BCM competence and capability meets the nature, scale and complexity of their business, and reflects their individual culture and operating environment.

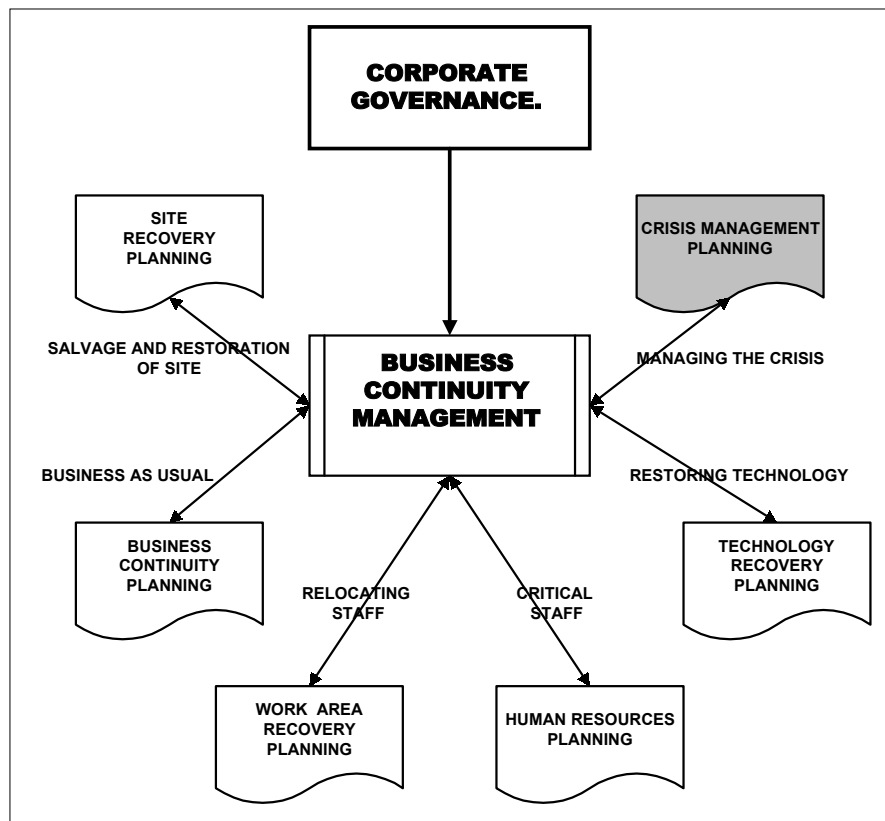
Scope.

These guidelines establish the process, principles and terminology of Business Continuity Management. They describe the activities and outcomes involved and provide recommendations for good practice. They also describe and provide evaluation criteria and current state assessment (benchmark) workbook.

For the purpose of these guidelines BCM incorporates/includes Crisis Management.

Consequently, Crisis Management and BCM are not seen as mutually exclusive albeit they can of necessity be standalone based on the type of event. It is fully recognised that they are two elements in an overall business continuity process (see figure below) and frequently one is not found without the other. In the latter context they are mutually supportive.

However, it is further acknowledged that there is a necessity to apply different evaluation criteria to reflect the specific elements of the processes.

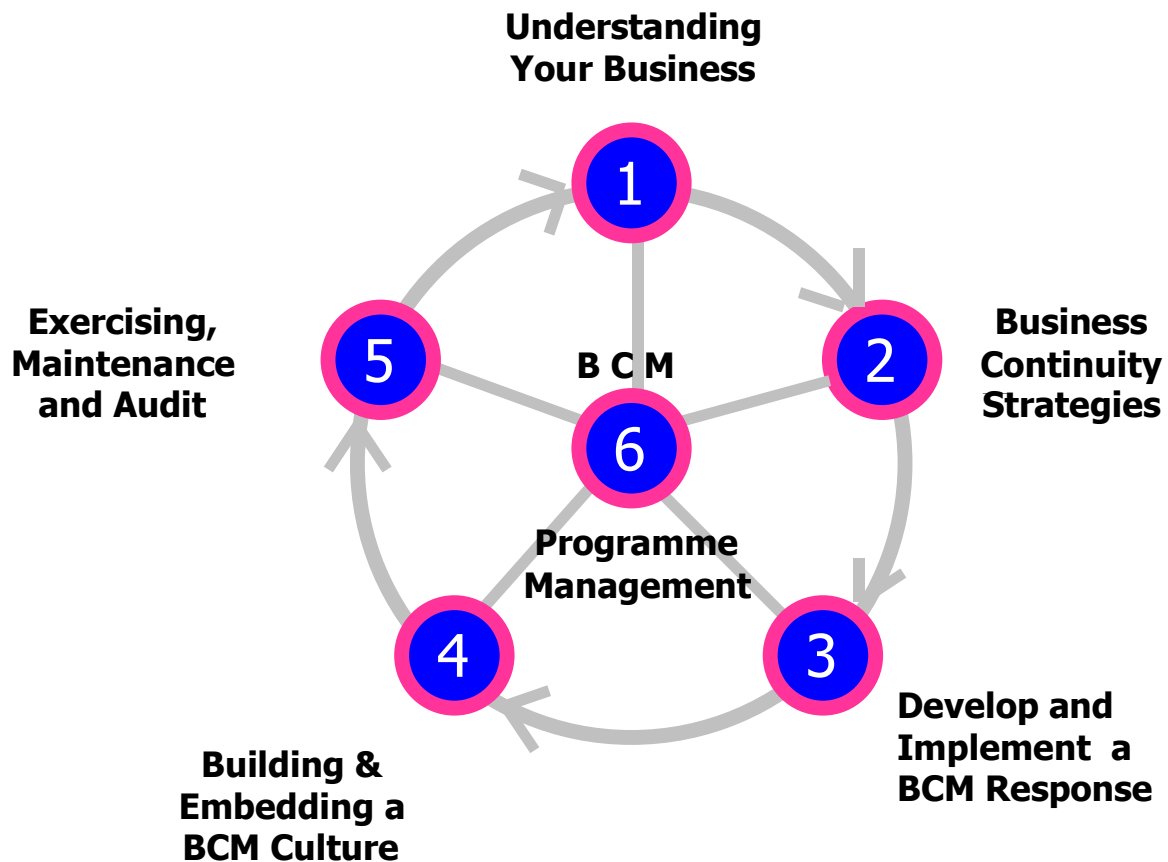


Audience.

The guidelines are applicable to all organisations, regardless of size or industry sector, and are intended for use by managers, BCM practitioners, auditors and regulators.

In particular the guidelines are intended for BCM practitioners that have a primary responsibility for defining, developing, implementing and managing a BCM programme.

The Business Continuity Management Life Cycle.



The Business Continuity Management Life Cycle is an inter-active process consisting of the following six stages and components:

Stage No.1: Understanding Your Business:

- Business Impact Analysis.
- Risk Assessment and Control.

Stage No.2: Business Continuity Management Strategies:

- Organisation (Corporate) BCM Strategy.
- Process Level BCM Strategy.
- Resource Recovery BCM Strategy.

Stage No.3: Develop and Implement a BCM Response : Plans and Solution(s)

- Plans and Planning.
- External Bodies and Organisations.
- Crisis and/or BCM event/incident Management.
- Sourcing (intra-organisation and/or outsourcing providers).
- Emergency Response and Operations.
- Communications.
- Public Relations and the Media.

Stage No.4: Building and Embedding a Business Continuity Management Culture

- An on-going programme of:
 - Education.
 - Awareness.
 - Training.

Stage No.5: Exercising, Maintenance and Audit

- Exercising of BCM plans.
- Rehearsal of staff and BCM teams.
- Testing of technology and BCM systems.
- BCM Maintenance.
- BCM Audit.

Stage No.6: The Business Continuity Management Programme:

- Board Commitment and proactive participation.
- Organisation (Corporate) BCM Strategy.
- BCM Policy.
- BCM Framework.
- Roles, Accountability, Responsibility and Authority.
- Finance.
- Resources.
- Assurance.
- Audit.
- Management Information System (MIS) : Metrics/Scorecard/Benchmark.
- Compliance: Legal/Regulatory issues.
- Change Management.

Business Continuity Management Principles.

- Business Continuity Management (BCM) and Crisis Management are an integral part of Corporate Governance.
- BCM activities must match, focus upon and directly support the business strategy and goals of the organisation.
- BCM must provide organisational resilience to optimise product and service availability.
- As a value based management process BCM must optimise cost efficiencies.
- BCM is a business management process that is undertaken because it adds value rather than because of governance or regulatory considerations.
- The component parts of an organisation own their business risk i.e. Business ownership of Business Risk. The management of the business risk is based upon their individual and aggregated organisational risk appetite.
- The Organisation and its component parts are accountable and responsible for maintaining an effective, up-to-date and fit-for-purpose BCM competence and capability.

- All BCM strategies, plans and solutions must be business owned and driven.
- All BCM strategies, plans and solutions must be based upon the Business Mission Critical Activities (MCA) their dependencies and single points of failure identified by a Business Impact Analysis (BIA).
- All Business Impact Analysis (BIA) must be conducted in respect of business products and services in an end-to-end production context.
- There must be an agreed, published and distributed organisation policy, strategy, framework and exercising guidelines for BCM and Crisis Management.
- The organisation and its component parts must implement and maintain a robust exercising, rehearsal and testing programme to ensure its BCM and Crisis Management Capability is effective, up-to-date and fit-for-purpose.
- The relevant legal and regulatory requirements for BCM must be clearly defined and understood before undertaking a BCM programme.
- The organisation and its component parts must recognise and acknowledge that Reputation, Brand Image, Market Share and Shareholder Value risk cannot be transferred or removed by intra-organisation sourcing and/or outsourcing.
- BCM implications must be considered at all stages of the development of new business operations, products, services and organisational infrastructure projects.
- BCM implications must be considered as an essential part of the business change management process.
- The competency of BCM practitioners should be based and benchmarked against the ten professional competency standards of the Business Continuity Institute.
- All third parties including joint venture companies and service providers, upon whom an organisation is critically dependent for the provision of products, services, support or data, must be required to demonstrate an effective, proven and fit-for-purpose BCM capability.
- An organisation's Business Continuity Management and Crisis Management capability should reflect these good practice guidelines.

The standard terms and conditions of any intra-organisation and/or outsourcing of products, services, support or data should reflect these good practice guideline

Good Practice Evaluation Process.

The guidelines provide a good practice evaluation criteria and benchmarking tool based on a set of core questions. The evaluation tool is a workbook benchmarking spreadsheet that contains six scorecards (in addition to the user instructions) that reflect the six stages of the BCM lifecycle.

The **current state assessment (Benchmark) workbook** has been designed to facilitate a multi-stage assessment of an organisation's business continuity and crisis management

competence and capability by using the evaluation criteria of the Business Continuity Institute BCM Good Practice Guidelines as the benchmark comparator.

The assessment process also enables and facilitates, compliance evaluation, current state assessment 'gap' analysis, audit, assurance and benchmarking (process and metrics). A further benefit is that the workbook quickly establishes the maturity of an organisation's BCM competence and capability.

It is important to recognise that the workbook itself does not provide a quality assurance audit. The issue of quality assurance will require the assistance of a professional BCM practitioner to carry out a 'due diligence' verification and validation of the responses e.g. an organisation may have completed a Business Impact Analysis (BIA) but does it reflect the BCI BCM Good Practice Guidelines?

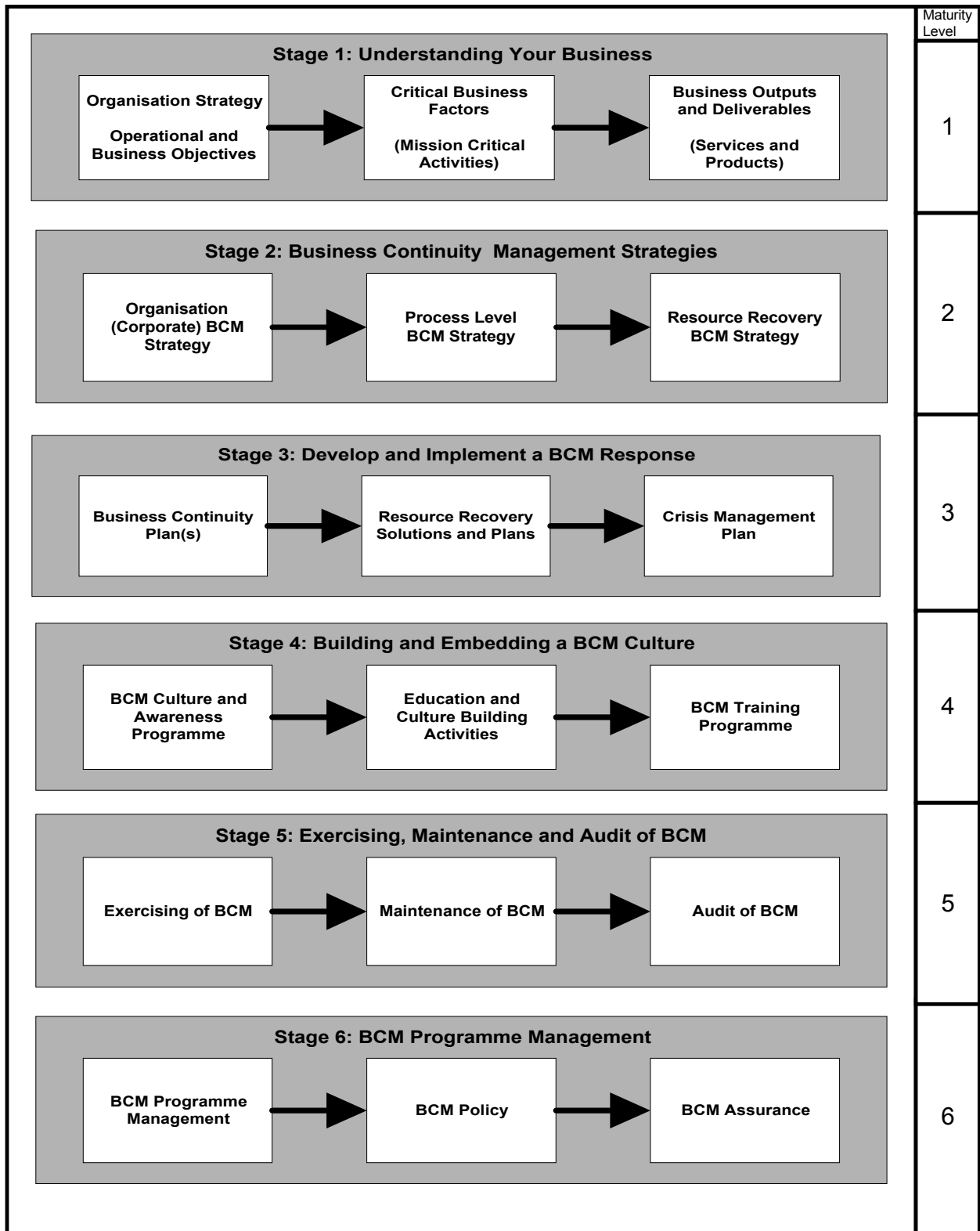
The format of the workbook enables it to be employed as either a self assessment (auditee use) process or by an auditor as a part of a formal audit. The workbook also provides a mechanism and process to monitor, track and progress Business Continuity and Crisis Management issues and actions identified by the assessment process.

Consequently, each organisation, service and/or industry needs to assess how to apply the workbook within the remit of their own guidelines or policy. Within this context they must ensure that their BCM competence and capability meets the nature, scale and complexity of their business and reflects their individual culture and operating environment.

The workbook has seven key objectives:

- The Provision of a consistent good practice benchmark and process to assess the maturity of an organisation's BCM competence and capability.
- To enable and inform the creation of an organisation's BCM management information dashboard of Key Performance Indicators (KPI's).
- The identification of gaps and hot spots in an organisation's BCM competence and capability.
- The provision and prioritisation of resources to resolve the organisation's BCM competence and capability gaps and hot spots.
- To provide an understanding and the management of the organisation's risk profile and appetite.
- The provision of a business driven, approved and 'signed-off' high level, time dependent, action plan, to resolve the organisation's BCM competency and capability gaps and hot spots.
- To clearly demonstrate and provide evidence that the organisation is discharging its legal, regulatory and corporate governance accountability and responsibilities.

The Business Continuity Management Process.



Structure and Format.

The structure and format of the guidelines is based upon the Most Frequently Asked Questions (MFAQ) in relation to BCM:

GUIDELINE COMPONENT HEADING.	MOST FREQUENTLY ASKED QUESTION.
• PURPOSE:	Why do we need to do it?
• OUTCOMES:	What will it achieve?
• COMPONENTS	What do we need to do it? What does it consist of (ingredients).
• METHODOLOGIES AND TECHNIQUES:	What are the tools we need to do it?
• PROCESS:	How is it done? How do we do it
• FREQUENCY AND TRIGGERS:	When should it be done?
• PARTICIPANTS:	Who does it? Who is Responsible, Accountable and/or needs to be Consulted or Informed (RACI)?
• DELIVERABLES:	What is the output?
• GOOD PRACTICE EVALUATION CRITERIA:	How do we know if we have got it right?

Source References and Further Reading.

As indicated earlier the guidelines incorporate the collective experience, knowledge and expertise of many leading professional Members and Fellows of the Business Continuity Institute (BCI) that are currently engaged within the major retail, wholesale and investment financial services sector including insurance.

The guidelines have also been sourced from a series of standard texts and publications of authoritative professional organisations, bodies and individual subject experts. The texts identified within the guidelines are considered to illustrate good practice in currently available material/publications. The guidelines also recognise that there are numerous other texts of equal validity and weight.

In particular the sourcing material upon which the guidelines are based includes the international competency based professional BCM practitioner certification standards of the Business Continuity Institute (BCI) that are considered the current BCM benchmark.

In addition to the provision of standard texts and the BCI competency certification standards the details of further reading i.e. current articles of interest, are provided after each specific section within the various stages of the guidelines. Where possible details of case studies and videos are also identified.

Individual references for further reading, videos and case studies may be located in more than one section. This is deliberate, firstly they are included where it is considered that the material adds value to a stage section in consequence of the multiple application of its content. A further and key factor for the overlap is to meet the aim of the web design and delivery of the guidelines. The guidelines are not meant to be a traditional book, this is the purpose of providing the texts, case studies and videos as sources that provide a virtual body of knowledge. The guidelines are designed to be an e-resource for members of the Business Continuity Institute. The web based modular approach enables an individual to open out one stage as a standalone pack and either read it on-line or print it off a hard copy and place it in a loose-leaf folder.

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Feedback.

All constructive feedback in respect of the guidelines is encouraged and welcomed as it provides a valuable source of comment that will improve the efficacy of both the guidelines and current state assessment (benchmarking) workbook.

Any feedback or suggestions concerning additions or alterations to the content, style and/or structure of the workbook must be filed with the author and/or Business Continuity Institute at (thebci@btinternet.com) for consideration and possible inclusion.

Conclusion.

The purpose of this overview has been to create a backcloth against which the main body of the guidelines can be viewed. It also provides a general guide for the reader whilst identifying the purpose of the guidelines.