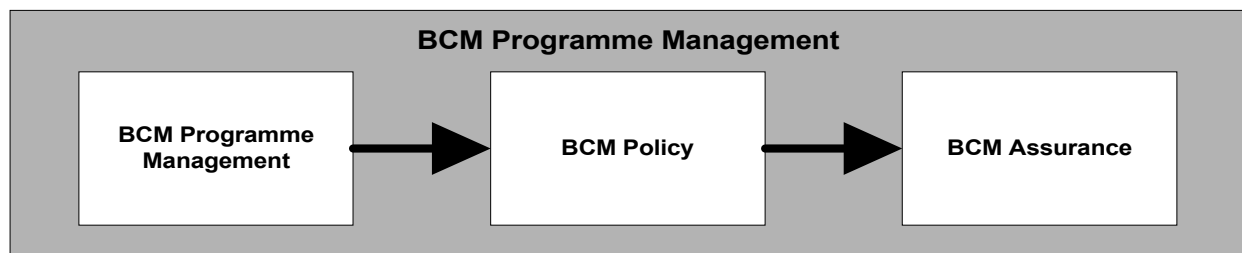


Stage 6: Business Continuity Management: Programme Management.



Introduction.

To be truly effective Business Continuity Management (BCM) must be a business as usual management process driven from the top of the organisation. It has to be clearly set out in an organisation vision statement that is fully endorsed and actively promoted by the Board or the Executive Committee.

A member of the Board or Executive should be given overall accountability for the effectiveness of the organisation's BCM competence and capability. This ensures that a BCM programme is given the correct level of importance within the organisation and a greater chance of effective implementation. The Financial Services Authority (FSA) considers that BCM is a cost of doing business and needs to be funded properly.

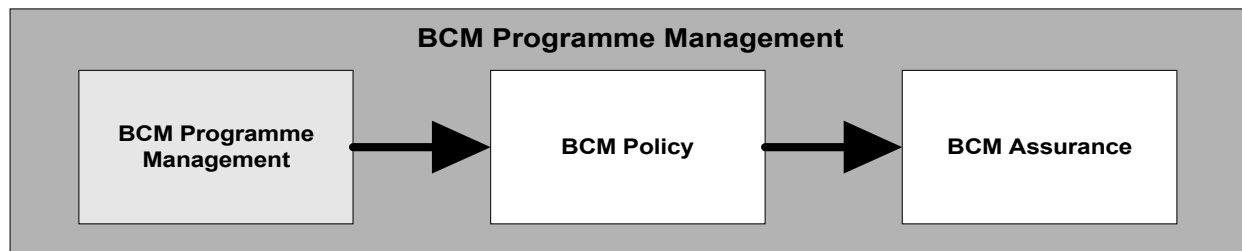
Dependent upon the size of the organisation a number of professional BCM practitioners and staff from other management disciplines and departments may be required to support and manage the programme albeit this may use a virtual management structure. A further consideration is the recognition and need to manage the BCM programme at both operational and organisational levels.

It is also critical at the genesis of the organisation's BCM programme to design and fully integrate a management process and structure to assure the various elements identified and described with the BCM life-cycle and Business Continuity Institute Good Practice Guidelines.

A key to the successful management of a BCM programme is the early appointment of clearly defined and documented roles, accountabilities, responsibilities and authorities within the BCM programme and process throughout the organisation.

One of the management objectives is to ensure that BCM is recognised as a mainstream management discipline by all executives, managers and staff of the organisation and is done because it adds value and not just because it is required by regulation or legislation.

Business Continuity Management: Programme Management.



Introduction.

The ongoing management of an effective Business Continuity Management programme by its very nature inevitably involves the participation of various managerial, operational, administrative and technical disciplines throughout its life cycle.

In the absence of a clearly defined and documented management process the whole BCM programme will be uncoordinated and almost impossible to effectively and/or efficiently measure, control, audit and/or assure.

If a BCM programme lacks the elements of management commitment, control and guidance the participants will quickly lose interest and may be reluctant to contribute. This recognises that there is a (must) need to appoint people at the right level within the organisation and to ensure they are properly empowered to 'make things happen'.

It is therefore essential, no matter how large or small the organisation or how many people are involved, directly or indirectly, that the management of BCM programme is clearly defined, documented and that roles, accountabilities, responsibilities and authorities are fully understood and discharged.

Purpose.

The purpose of the management process is to provide the effective and efficient ongoing (virtual) management and assurance (performance management) of the organisation's Business Continuity Management (including Crisis Management) programme.

Outcomes.

The outcomes of the Business Continuity Management (including Crisis Management) programme management process include:

- The assurance of the provision and maintenance of an effective, up-to-date and fit-for-purpose BCM competence and capability.
- The overall management of the organisation's BCM programme is effective, efficient and fit-for-purpose.
- A management process that is an integral part of the organisation's BCM programme and life cycle.

- Business managers within the organisation are fully aware that BCM is a part of their business as usual management accountability i.e. ownership and accountability of BCM remains firmly within the business line i.e. it cannot be outsourced.
- The robust and ongoing challenge and review of the organisation's risk profile and appetite.
- The provision of an annual BCM budget bid/audit.
- The provision of a BCM budget and other resource management process.
- Assurance that BCM is undertaken and based on value based management principles.
- A management information system that provides details of the current state of the organisation's BCM programme.
- The focus of BCM upon the organisation's Mission Critical Activities, their dependencies and single points of failure at a product and service level.
- The BCM programme is based on an end-to-end (E2E) approach in the context of product and service delivery.
- The optimising of BCM cost efficiencies e.g. common infrastructures, industry collaboration and standard work area recovery solutions.
- The optimising of business processes, product and service resilience and availability.
- Assurance that the organisation's BCM policy, strategy(ies) and operational framework are up-to-date and fit-for-purpose.
- Assurance that suppliers (intra-organisation and/or outsourced providers) of the organisation's Mission Critical Activities and/or their dependencies have an effective, up-to-date and fit-for-purpose BCM capability.
- Assurance that suppliers (intra-organisation and/or outsourced providers) of the organisation's BCM specialist resources and/or services have an effective, up-to-date and fit-for-purpose BCM capability.
- Assurance that all new projects are not 'signed-off' without a Business Impact Analysis and BCM strategy being in place.

Components.

The key components to manage the Business Continuity Management programme include:

- A BCM Policy.
- A set of BCM Principles.
- A set of BCM Standards.

- A BCM Strategy(ies).
- A BCM Framework.
- Business Continuity Institute BCM Good Practice Guidelines.
- Annual Personal Performance Contracts and Appraisals
- Financial and other operational and support resources (this can be achieved on a virtual basis).
- A management information system.
- BCM Policy compliance process.
- A BCM Audit process and programme.
- BCM Assurance (Process and Metrics) process and programme.
- BCM Benchmarking (Process and Metrics) process and programme.

Methodologies/Techniques

The methods, tools and techniques to manage an organisation's Business Continuity Management programme include:

- A BCM Policy compliance self assessment scorecard.
- Annual Personal Performance Contracts and Appraisals.
- Supplier relationship management of business services and/or products (intra-organisation and/or outsourced providers).
- Supplier relationship management of BCM specialist resources and/or services (intra-organisation and/or outsourced providers).
- Purchasing management (intra-organisation and/or outsourced business and BCM services).
- Financial management.
- Legal and regulatory advice.
- Industry BCM Benchmarking (Process and Metrics).
- Internal and/or independent BCM audits.
- Internal and/or independent financial audit.
- Assurance (Key Performance Indicators) Management.
- Cost benefit analysis.

- Review and challenge.

Process.

The key constructs of a process to manage the Business Continuity Management programme include:

- Appoint a role to be accountable/responsible for the management of the BCM Programme.
- Define the scope of the management process and programme.
- Define the objectives of the management process and programme.
- Develop and approve a management planning process and programme.
- Appoint a planning and process/programme development manager.
- Create an actual or virtual management team to manage the organisation's BCM programme.
- Decide the structure, format, components and content of the management process and programme.
- Determine the management strategies on which the management programme is based.
- Determine the key approaches to key phases of the BCM life cycle.
- Conduct a current state assessment i.e. a 'gap' analysis to establish the current state of the management process/programme.
- Draft the management process and programme (including financial and other resources).
- Circulate the draft of the management process and programme for consultation, review and challenge.
- Gather feedback from consultation, review and challenge process.
- Amend the management process and programme as appropriate.
- Management process and programme agreed and 'signed-off' by the organisation's executive/senior management.
- Implementation of management process and programme.
- Ongoing assurance of management process and programme to establish it is effective and fit-for-purpose.

Frequency and Triggers.

An organisation's Business Continuity Management programme should be managed on an ongoing basis. However, the frequency and triggers that identify specific BCM components should be reviewed, audited or assured within the management programme is dependent upon the nature, scale and complexity of the organisation based on its business risk profile, appetite and the environment in which it operates.

Good practice indicates the management programme should be aligned with the review of other related organisational policies e.g. physical security, IT security, health and safety.

In particular the management programme itself should be reviewed, audited and assured annually to ensure it is effective and fit-for-purpose unless:

- It is the initial development and documentation of the management programme.
- The pace of business change is particularly aggressive.
- The initial outsourcing or intra-organisation sourcing of a Mission Critical Activity or dependency.
- A significant change in the key technology and/or telecommunications including systems and/or networks.
- There is a major business change that may include:
 - Business strategy or objectives.
 - BCM strategy and/or scope.
 - BCM solutions.
 - Location.
 - Large scale change in staff numbers, locations or office densities.
 - Key suppliers (intra-organisation sourcing and/or outsourced providers)
 - Post BCM event.
 - Process re-design.
 - New business line or product or service.
 - Merger.
 - Acquisition.
 - Significant change in the legal and/or regulatory environment.

Participants.

The following roles and functions (not restrictive or exhaustive) are identified as being either Responsible or Accountable or should be either Consulted or Informed (RACI) in the management of the organisation's BCM Programme. The matrix process provides a process that can be used to indicate/identify the specific roles, functions and/or area of the organisation within each of the RACI categories.

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Role or Function	R	A	C	I
	Responsible	Accountable	Consulted	Informed
Executive/Senior Management.				
Executive/Senior Business Manager accountable for BCM within the organisation.				
Business Continuity Manager.				
Operational Middle Management.				
Operational Supervisors and Staff.				
Professional BCM Practitioner				
Health and Safety				
Risk Management (All types)				
Training and Development.				
Human Resources.				
Audit/Assurance.				
Regulatory				
Owners of individual BCP's				
Legal.				
Finance.				
Telecommunications.				
Technology.				
Facilities/Property Management.				
Suppliers of specialist BCM resources and services (intra-organisation and/or outsourced providers).				
Insurance.				
Security.				
Communications and Public Relations.				
Unions and Staff Associations.				
Commercial Services Management.				
Relationship Management.				
Subject Experts (where appropriate).				
Suppliers of business services/products (intra-organisation and/or outsourced providers).				

Deliverables.

The deliverables of the management of the organisations Business Continuity Management programme include:

- A clearly defined and documented management programme in respect of the organisation's BCM programme that is agreed and 'signed-off' by the organisation's executive/senior management.

- Business Continuity Management assurance reports at a predetermined frequency that are agreed and 'signed-off' by the organisation's executive/senior management.
- A clearly defined and documented BCM Policy, Strategy and Standards that are agreed and 'signed-off' by the organisation's executive/senior management.
- The BCM programme annual budget bid and audit reports that are agreed and 'signed-off' by the organisation's executive/senior management.

Good Practice Evaluation Criteria.

Good Practice evaluation criteria of the management of a Business Continuity Management (including Crisis Management) programme includes:

- Does the organisation have a clearly defined and documented management programme in respect of the organisation's BCM programme that is agreed and 'signed-off' by the organisations executive/senior management?
- Does the management of the organisation's BCM programme provide assurance reports at a predetermined frequency that are agreed and 'signed-off' by the organisations executive/senior management?
- Does the management of the organisation's BCM programme provide assurance of the provision and maintenance of an effective, up-to-date and fit-for-purpose BCM competence and capability?
- Does the management of the organisation's BCM programme provide a management process that is an integral part of its BCM programme and life cycle?
- Does the management of the organisation's BCM programme ensure that business managers within the organisation are fully aware that BCM is a part of their business as usual management accountability i.e. ownership and accountability of BCM remains firmly within the business line i.e. it cannot be outsourced?
- Does the management of the organisation's BCM programme provide a robust and ongoing challenge and review of the organisation's BCM Programme?
- Does the management of the organisation's BCM programme provide a robust and ongoing challenge and review of the organisation's risk profile and appetite?
- Does the management of the organisation's BCM programme provide assurance that BCM is undertaken and based on value based management principles?
- Does the management of the organisation's BCM programme provide a management information system that provides details of the current assurance state of the organisation's BCM programme?
- Does the management of the organisation's BCM programme provide a focus of BCM upon the organisation's Mission Critical Activities, their dependencies and single points of failure at a product and service level?

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- Does the management of the organisation's BCM programme provide a BCM programme that is based on an end-to-end (E2E) approach in the context of product and service delivery?
- Does the management of the organisation's BCM programme optimise BCM cost efficiencies e.g. common infrastructures, industry collaboration and standard work area recovery solutions?
- Does the management of the organisation's BCM programme optimise business processes, product and service resilience and availability?
- Does the management of the organisation's BCM programme provide assurance that the organisation's BCM policy, strategy(ies) and operational framework are up-to-date and fit-for-purpose?
- Does the management of the organisation's BCM programme provide assurance that suppliers (intra-organisation and/or outsourced providers) of the organisation's Mission Critical Activities and/or their dependencies have an effective, up-to-date and fit-for-purpose BCM capability?
- Does the management of the organisation's BCM programme provide assurance that suppliers (intra-organisation and/or outsourced providers) of the organisation's BCM specialist resources and services have an effective, up-to-date and fit-for-purpose BCM capability?
- Does the organisation have a Management Information System (MIS) to monitor the status of BCM and Crisis Management within the organisation?
- Does the organisation provide regular management information system reports concerning the status of BCM and Crisis Management within the organisation?
- Does the organisation use the Business Continuity Institute BCM Good Practice Guidelines as a part of its BCM management assurance process?
- Does the organisation's BCM management process achieve the BCM management outcomes set out in the Business Continuity Institute BCM Good Practice Guidelines?
- Does the organisation's BCM management process provide the BCM management process deliverables set out in Business Continuity Institute BCM Good Practice Guidelines?

Finance.

- Does the organisation have a dedicated BCM budget?
- Does the management of the organisation's BCM programme provide for the allocation of resources and finance for BCM as a part of the annual budget review and development process?
- Does the management of the organisation's BCM programme provide an annual budget bid report that is agreed and 'signed-off' by the organisation's executive/senior management?

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- Does the management of the organisation's BCM programme provide an annual budget audit report that is agreed and 'signed-off' by the organisation's executive/senior management?
- Does the management of the organisation's BCM programme provide a budget and other resource management process that is agreed and 'signed-off' by the organisation's executive/senior management?
- Is the organisation's BCM budget a standalone budget e.g. it is not a part of the organisation's IT budget?
- Does the financial responsibility for the BCM budget reside other than with the IT Manager?
- Does the organisation's financial regulations contain clearly defined and documented instructions, advice, process, procedures or guidelines concerning the authorisation of financial expenditure during a BCM event?
- Does the BCM budget reflect the BIA findings that are balanced by the organisation's risk appetite?

Legal, Regulatory and Policy.

- Is there a process to ensure that all BCM processes, procedures, systems operate in accordance with applicable laws, regulations and organisation policy?
- Is there a process to ensure that changes in laws, regulations and organisation policy are communicated to business areas, managers and staff?
- Is there a process for identifying conflicts between local and UK laws and regulations?
- Do all non-UK business areas comply with local law or regulations or UK law (which ever is the more stringent)?
- Is there a process of informing the Organisation's Legal Department when a BCM event and/or Crisis occurs?
- Are all line managers aware of their responsibilities to ensure compliance with the legal, regulatory and policy requirements for Business Continuity Management?
- Does the Organisations BCM Policy require its legal department or advisors to carry out a mandatory review of Business Continuity Plans and Sourcing (intra-organisation and/or outsourced providers) Contracts and SLA's for Mission Critical Activities and their dependencies?
- Is it mandatory for the Organisation's Legal and/or Regulatory Department and/or advisors to be consulted in the development of the Organisations BCM Strategy(ies)?

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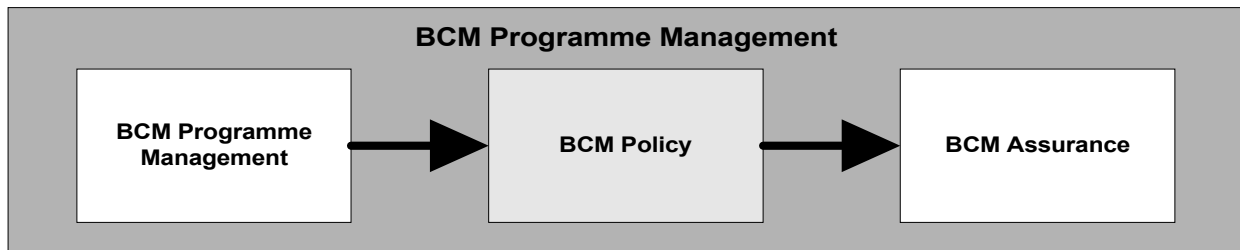
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BCM Policy.



Introduction.

The Business Continuity Management Policy of an organisation provides the foundation upon which the whole of the BCM capability is designed and built. It is a clearly defined and documented statement by the organisation's executive of the level of importance and value that the organisation places on Business Continuity Management.

Purpose.

The purpose of a formal Business Continuity Management Policy is to provide a clearly defined, documented mandatory course of action to be implemented by the organisation in respect of Business Continuity Management (including Crisis Management).

Outcomes.

The outcomes from a Business Continuity Management (including Crisis Management) Policy include :

- An effective and fit-for-purpose BCM competence and capability.
- Creation of BCM awareness throughout the organisation.
- A clearly defined and documented set of BCM Principles.
- A clearly defined and documented set of BCM guidelines and minimum standards.
- A clearly defined and documented BCM Strategy(ies).
- A clearly defined and documented BCM Operational Framework.
- Assurance that all staff are appropriately protected and that assets are safeguarded at effective cost, appropriate to their value and associated risk.
- A clearly defined and documented process for the management of the organisation's BCM programme.
- A clearly defined and documented assurance process for the organisation's BCM programme.
- Assurance that the organisation's management and staff are aware and comply with all relevant regulatory and legislative requirements.

- Assurance that appropriate levels of BCM are implemented to enable the organisation's Mission Critical Activities to continue following disruption, interruption or loss.
- Assurance that the internal and external suppliers are able to continue to provide an agreed level of service should they themselves suffer a crisis or business continuity event.
- Assurance that all BCM plans, teams and solutions are exercised, rehearsed, tested and proven effective and 'fit-for-purpose' at a frequency commensurate to the risk and criticality of the business activity.
- The ability of the organisation and its executive to discharge their responsibilities and satisfy their legal and regulatory obligations.
- The ability to demonstrate effective BCM governance to the media, market, clients, customers, staff and regulators.
- Assurance that BCM is consistently and effectively applied throughout the organisation.

Components.

The components of a Business Continuity Management Policy include :

- The scope.
- Policy content statement(s).
- Objectives.
- Roles, Accountabilities and Responsibilities.
- Details of other relevant reference material .

Methodologies/Techniques.

The methods, tools and techniques of developing a Business Continuity Management Policy include :

- Review of organisation's current BCM Policy.
- Desktop research of external sources for guidance e.g. regulatory, legal, industry good practice, professional bodies.
- Research within the organisation to identify current versions and information concerning BCM related policies and statements.
- Liaison with industry and professional bodies to understand current BCM issues and key drivers.
- Identify and adopt or modify a BCM Policy of another organisation that is considered Good Practice.

- A current state assessment 'gap' analysis and review of internal and external policies to derive core components of a new or amended BCM Policy.
- Organisation multi-discipline focus groups.
- External professional BCM Consultant(s).
- Circulation of draft of a BCM Policy for feedback and comments.

Process.

The key constructs of the process to develop a Business Continuity Management Policy include:

- Identify and document the components of a BCM Policy.
- Identify any relevant standards, good practice guidelines, regulations and legislation that impact the BCM Policy.
- Identify other organisation's BCM policies that could act as a benchmark.
- Review and conduct a 'gap analysis' of the organisation's current BCM Policy (where appropriate) and the external benchmark policy or new BCM Policy requirements.
- Develop a draft of a new or amended BCM Policy.
- Circulate the draft policy for consultation.
- Review the draft BCM Policy against similar and related policies e.g. IT security.
- Amend the draft BCM Policy, as appropriate, based on consultation feedback.
- The BCM Policy is agreed and 'signed-off' by the organisation's executive/senior management.
- Publish and distribute the Business Continuity Policy using an appropriate version control system.

Frequency and Triggers.

Whilst all organisational policies should be reviewed on an on-going basis the frequency that an organisation's Business Continuity Management Policy should be reviewed is dependent upon the nature, scale and complexity of the organisation based on its business risk profile, appetite and the environment in which it operates.

Good Practice indicates that a BCM Policy and its component parts should be the subject of an annual review to coincide with the review of other related organisational policies e.g. physical security, IT security, health and safety unless:

- It is the Initial development and documentation of the policy.

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- The pace of business change is particularly aggressive.
- The initial outsourcing or intra-organisation sourcing of a Mission Critical Activity or dependency.
- A significant change in the key technology and/or telecommunications including systems and/or networks.
- There is a major business change that may include:
 - Business strategy or objectives.
 - BCM strategy and/or scope.
 - BCM solutions.
 - Location.
 - Large scale change in staff numbers, locations or office densities.
 - Key suppliers (intra-organisation sourcing and/or outsourced providers)
 - Post BCM event.
 - Process re-design.
 - New business line or product or service.
 - Merger.
 - Acquisition.
 - Significant change in the regulatory environment.

Participants.

The following roles and functions (not restrictive or exhaustive) are identified as being either Responsible or Accountable or should be either Consulted or Informed (RACI) in design and development of the organisation’s BCM Policy.

The matrix process provides a process that can be used to indicate/identify the specific roles, functions and/or area of the organisation within each of the RACI categories.

Role or Function	R	A	C	I
	Responsible	Accountable	Consulted	Informed
Executive/Senior Management.				
Executive/Senior Business Manager accountable for BCM within the organisation.				
Operational Middle Management.				
Operational Supervisors and Staff.				
Professional BCM Practitioner				
Health and Safety				
Risk Management (All types)				
Training and Development.				
Human Resources.				
Regulatory				
Legal.				
Finance.				
Insurance.				
Security.				
Communications and Public Relations.				
Unions and Staff Associations.				

Deliverables.

The deliverables of an organisation's Business Continuity Management (including Crisis Management) Policy include:

- A clearly defined and documented BCM Policy that is agreed and 'signed-off' by the organisation's executive/senior management.
- A clearly defined and documented set of BCM Principles that are agreed and 'signed-off' by the organisation's executive/senior management.
- A clearly defined and documented set of BCM guidelines and minimum standards that are agreed and 'signed-off' by the organisation's executive/senior management.
- A clearly defined and documented BCM Operational Framework that is agreed and 'signed-off' by the organisation's executive/senior management.

Good Practice Evaluation Criteria.

Good Practice Business Continuity Management Policy evaluation criteria includes:

- Does the organisation provide a clearly defined and documented BCM Policy that is agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation provide a clearly defined and documented Crisis Management Policy that is agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation provide a clearly defined and documented Policy for dealing with the media that is approved and 'signed-off' by the organisation's executive/senior management?
- Does the organisation's BCM and Crisis Management Policies enable corporate governance; the discharge of its responsibilities and satisfy legal and regulatory obligations?
- Does the organisation's BCM and Crisis Management Policies provide for a clearly defined and documented set of BCM Principles that are agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation's BCM and Crisis Management Policies provide for a clearly defined and documented set of BCM guidelines and minimum standards that are agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation's BCM and Crisis Management Policies provide for a clearly defined, documented and scheduled BCM and Crisis review and maintenance process and cycle including frequency/triggers that is agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation's BCM and Crisis Management Policies provide for a clearly defined and documented BCM and Crisis Management exercising process and

programme that is agreed and ‘signed-off’ by the organisation’s executive/senior management?

- Does the organisation’s BCM Policy provide for a clearly defined and documented Organisation (Corporate) BCM Strategy that is agreed and ‘signed-off’ by the organisation’s executive/senior management?
- Does the organisation’s Crisis Management Policy provide for a clearly defined and documented Organisation (Corporate) Crisis Management Strategy that is agreed and ‘signed-off’ by the organisation’s executive/senior management?
- Does the organisation’s BCM and Crisis Management Policies provide for a clearly defined and documented BCM and Crisis Management Operational Framework that is agreed and ‘signed-off’ by the organisation’s executive/senior management?
- Does the organisation’s BCM and Crisis Management Policies provide for a clearly defined and documented independent audit process including frequency and triggers of the organisation’s BCM and Crisis Management capability (not just plans) that is agreed and ‘signed-off’ by the organisation’s executive/senior management?
- Does the organisation’s BCM Policy clearly define that the scope of a BCM audit must be based on the BCM life-cycle and its component parts as set out in the Business Continuity Institute BCM Good Practice Guidelines?
- Does the organisation’s BCM Policy provide for the mandatory ‘due diligence’ verification and validation of the effectiveness and fit-for-purpose BCM capability of suppliers (intra-organisation and/or outsourced providers) of Mission Critical Activities and their dependencies?
- Does the organisation’s BCM Policy provide for the mandatory ‘due diligence’ verification and validation of the BCM capability of suppliers (intra-organisation and/or outsourced providers) of BCM specialist services and/or resources.
- Does the organisation have a clearly defined and documented process that details how individual members of the organisation and other persons can report any suspected breach of the organisation’s BCM Policy?
- Does the organisation’s BCM Policy clearly define and document the BIA review and maintenance process including timescales/frequency?
- Does the organisation carry out an annual review of its BCM and Crisis Management Policies?
- Does the organisation use the Business Continuity Institute Good Practice Guidelines as a part of its BCM and Crisis Management Policy assurance process?
- Does the organisation’s BCM and Crisis Management policies achieve the BCM Programme Management (Policy) outcomes set out in the Business Continuity Institute BCM Good Practice Guidelines?
- Does the organisation’s BCM and Crisis Management policies provide the BCM Programme Management (Policy) deliverables set out in Business Continuity Institute BCM Good Practice Guidelines?

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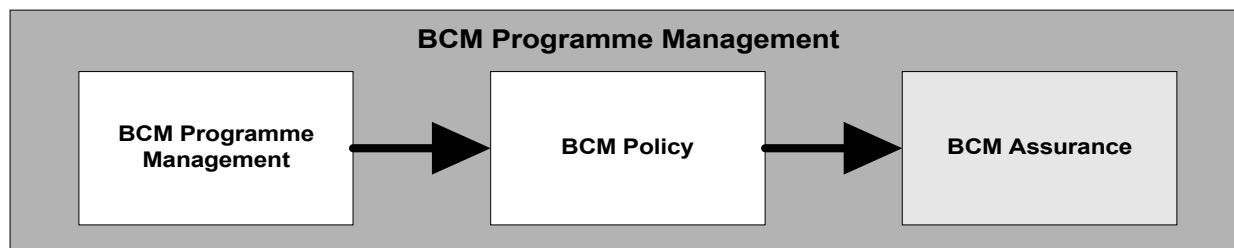
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Assurance.



Introduction.

An essential element in the establishment of a Business Continuity Management programme is the requirement to continually monitor, evaluate and assure the performance of the programme.

- Performance measurement is the quantification of efficiency and effectiveness. Within the context of BCM it concerns defined outputs and deliverables.
- Performance is usually measured by Key Performance Indicators (KPI's).
- A performance measure is an indicator used to quantify efficiency and/or effectiveness.
- A performance measurement system is a set of indicators used to quantify efficiency and effectiveness.
- Performance measurement is usually based on objectives, targets and defined industry standards.

Whilst objectives and target measurement are quantitative (metric) the standards element is qualitative.

Consequently a performance measurement system can operate and provide assurance from both an individual perspective and/or the BCM system as a whole.

Within the performance assurance monitoring and evaluation process there are two distinct functions.

Assurance: This function concerns the procedures to be used and the type and frequency/triggers of tasks and checks to be made within the organisation's BCM process to ensure it is meeting the Key Performance Indicators of the BCM outcomes and deliverables specified within the various stages of the BCM life-cycle.

Control: This is the undertaking of defined tasks and checks contained within the procedures and included within the assurance function.

It is important to assure the whole management of the BCM programme rather than the individual components e.g. plans and procedures. The most rigorous assurance check is

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the audit of the BCM Key Performance Indicators. The management programme coordinates all the sub-components effectively monitoring and controlling the success of the programme outcomes and deliverables. A robust and effective management structure and programme is vital to the efficient implementation and running of the organisation's BCM programme.

Purpose.

The purpose of the Business Continuity Management assurance is to provide the effective and efficient performance monitoring and management to ensure the integrity of the organisation's BCM Policy and Programme.

Outcomes.

The outcomes of a Business Continuity Management assurance process include:

- The establishment of a clearly defined and documented BCM assurance process and system.
- The provision of clearly defined and documented Key Performance Indicators (Objectives, Targets and Standards) for Business Continuity Management.
- The monitoring, evaluation and review of the organisation's BCM Key Performance Indicators.
- Compliance or variance with the organisations BCM Key Performance Indicators.
- Assurance that the overall management of the organisation's BCM programme is effective, efficient and fit-for-purpose.
- Compliance or variance of BCM outcomes and deliverables against the BCM life cycle.

Components.

The key components of a Business Continuity Management assurance process include:

- A clearly defined and documented BCM assurance process and system approved and 'signed-off' by the organisation's executive/senior management.
- Industry standards e.g. ISO 17799 IT security.
- Industry good practice guidelines.
- Legal requirements.
- Industry regulatory requirements.
- Key Performance Indicators for BCM outcomes and deliverables:
 - Objectives.
 - Targets.

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- Standard of performance.
- A BCM good practice evaluation criteria scorecard:
 - Process (Qualitative).
 - Metrics (Quantitative).
- An independent BCM Audit Report approved and 'signed-off' by the organisation's executive/senior management.
- A clearly defined, prioritised and documented remedial action plan(s) that is approved and 'signed-off' by the senior management of the auditee to implement the agreed recommendations of the independent BCM audit opinion report.
- An approved Post Exercise Report (including recommendations) 'signed-off' by the business sponsor/plan owner.
- An approved Post Exercise Report Action Plan 'signed-off' by the business sponsor/plan owner.

Methodologies/Techniques.

The methods, tools and techniques of a Business Continuity Management assurance process include:

- Exercising, rehearsal, testing and review.
- Benchmarking (metrics and process).
- Policy compliance scorecard.
- Operational audit.
- Creation of a BCM Budget for implementation and maintenance.
- Budgetary control.
- Document analysis and review.
- Self assessment assurance scorecard.
- Interviews.
- Current state assessment 'Gap' analysis.
- SWOT analysis (Strengths, Weaknesses, Opportunities and Threats).
- Invocation and review

Process.

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The key constructs of the Business Continuity Management assurance process include:

- Define role accountabilities, responsibilities and authority
- Define Key Performance Indicators (KPI's) – Objective(s), measurement target(s) and standard(s)
- Define critical success factors.
- Incorporate Key Performance Indicators in internal and external contract terms and conditions or service level agreement.
- Monitor and audit performance of Key Performance Indicators.
- Evaluate and review performance.
- Provide assurance report.
- Provide remedial action plan.

Frequency and Triggers.

The assurance of Business Continuity Management performance should be an ongoing process that is an integral and key part of the management of the organisation's BCM programme. The level and size of the assurance programme is dependent upon the nature, scale and complexity of the organisation and based on its business risk profile, appetite and the environment in which it operates. If it is not an ongoing process; it should, as a minimum, be conducted annually to coincide with the review and assurance of other related organisational policies e.g. physical security, IT security, health and safety unless:

- It is the initial development and documentation of the assurance process.
- The pace of business change is particularly aggressive.
- The initial outsourcing or intra-organisation sourcing of a Mission Critical Activity or dependency.
- A significant change in the key technology and/or telecommunications including systems and/or networks.
- There is a major business change that may include:
 - Business strategy or objectives.
 - BCM strategy and/or scope.
 - BCM solutions.
 - Location.
 - Large scale change in staff numbers, locations or office densities.
 - Key suppliers (intra-organisation sourcing and/or outsourced providers)
 - Post BCM event.
 - Process re-design.
 - New business line or product or service.
 - Merger.

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- Acquisition.
- Significant change in the regulatory environment.

Participants.

The following roles and functions (not restrictive or exhaustive) are identified as being either Responsible or Accountable or should be either Consulted or Informed (RACI) in the management of the organisation's BCM assurance process. The matrix process provides a process that can be used to indicate/identify the specific roles, functions and/or area of the organisation within each of the RACI categories.

Role or Function	R	A	C	I
	Responsible	Accountable	Consulted	Informed
Executive/Senior Management.				
Executive/Senior Business Manager accountable for BCM within the organisation.				
Operational Middle Management.				
Operational Supervisors and Staff.				
Professional BCM Practitioner				
Risk Management (All types)				
Human Resources.				
Auditors (internal and external)				
Regulatory				
Legal.				
Finance.				
Telecommunications.				
Technology.				
Facilities/Property Management.				
Suppliers of specialist BCM resources and services (intra-organisation and/or outsourced providers).				
Security.				
Communications and Public Relations.				
Unions and Staff Associations.				
Commercial Services Management.				
Suppliers of business services/products (intra-organisation and/or outsourced providers).				

Deliverables.

The deliverables of a Business Continuity Management assurance process should include:

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- A clearly defined and documented set of Key Performance Indicators (Objectives, Targets and Standards) for BCM approved and 'signed-off' by the organisation's executive/senior management.
- A clearly defined and documented Key Performance Indicator assurance reports that are approved and 'signed-off' by the organisation's executive/senior management.
- A clearly defined, prioritised and documented remedial action plan(s) that is approved and 'signed-off' by the organisation's executive/senior management to implement the agreed recommendations within the assurance report.
- A clearly defined and documented monitoring programme that is approved and 'signed-off' by the organisation's executive/senior management to ensure that remedial actions plans are implemented within the agreed timescale.

Good Practice Evaluation Criteria.

The Good Practice Business Continuity Management assurance evaluation criteria includes:

- Does the organisation have a clearly defined and documented BCM assurance policy, standards, management process, scheduled cycle and system that drives a BCM assurance programme and is approved and 'signed-off' by the organisation's executive/senior management?
- Does the organisation have a set of clearly defined and documented Key Performance Indicators (Objectives, Targets and Standards) for BCM that are agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation have a clearly defined and documented monitoring, evaluation and review process for the organisation's BCM Key Performance Indicators.
- Does the organisation's BCM assurance process provide clearly defined and documented management information assurance reports that are agreed and 'signed-off' by the organisation's executive/senior management?
- Does the organisation's BCM assurance process provide clearly defined, prioritised and documented remedial action plan(s) that is agreed and 'signed-off' by the organisation's executive/senior management to implement the agreed recommendations of the assurance report?
- Does the organisation's BCM assurance process provide a clearly defined and documented monitoring programme that is agreed and 'signed-off' by the organisation's executive/senior management to ensure that remedial actions plans are implemented within the agreed time-scale?
- Does the organisation use the Business Continuity Institute BCM Good Practice Guidelines as a part of its BCM and Crisis Management assurance process?
- Does the organisation's assurance process achieve the assurance outcomes set out in the Business Continuity Institute BCM Good Practice Guidelines?

- Does the organisation's assurance process provide the assurance deliverables set out in Business Continuity Institute BCM Good Practice Guidelines?

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