

RISK YÖNETİMİNDE BAŞARI FAKTÖRÜ “İŞ SÜREKLİLİĞİ YÖNETİMİ” SUCCESS IN RISK MANAGEMENT: “BUSINESS CONTINUITY MANAGEMENT”



19-20.09.2009
İstanbul Teknik Üniversitesi,
Ayazağa Kampüsü,
Süleyman Demirel
Kültür Merkezi

Maslak – İSTANBUL
TÜRKİYE / TURKEY

**BCM–Audit und Review,
Preparation for Certification**

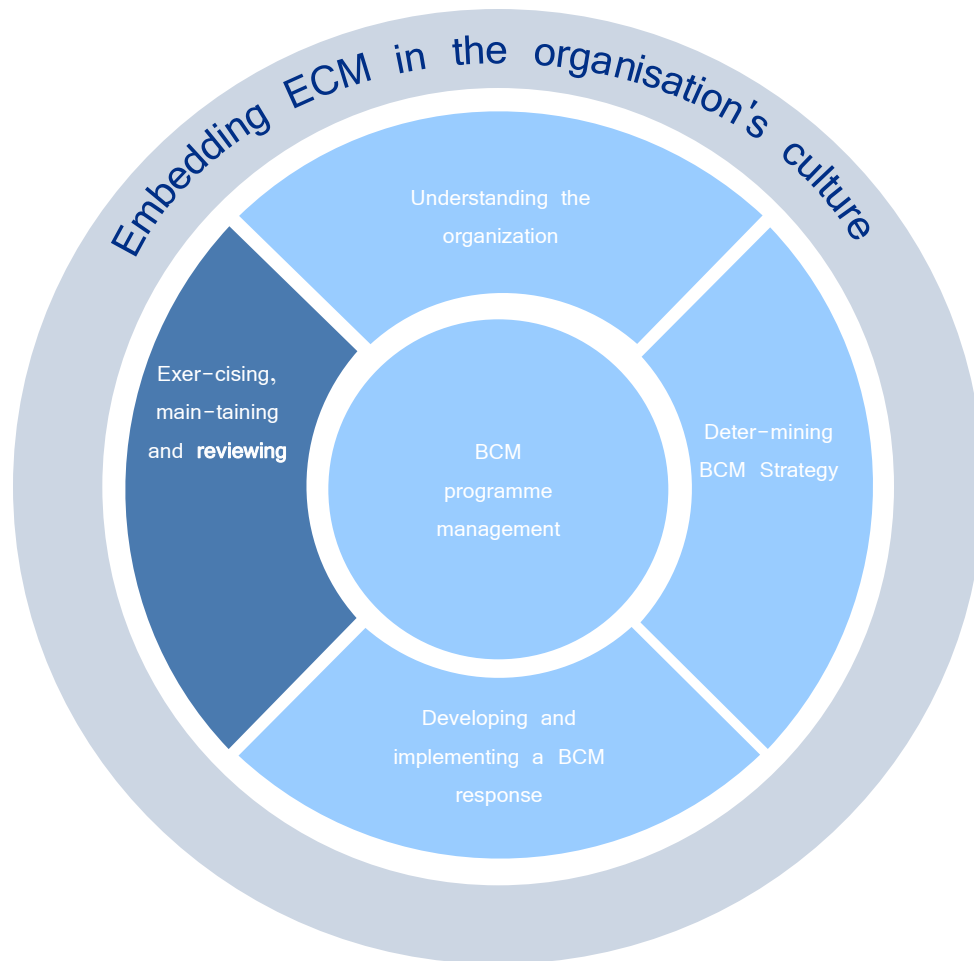
Matthias Hämmerle MBCI

Inhalt

- **Audit and Review as a central part of the BCM lifecycle**
 - **Audit and Review Types**
 - **BCM audit lifecycle**
-

Would you fly with a airline that does not
regularly audit and review their planes and
pilots?





„Reviewing the BCM“

„The organizations s top management should, at intervals that it deems appropriate, review the organization s BCM capability, to ensure ist continuing suitability, adquacy and effectiveness. This review should be documented.“

The review can take the form of

- Internal audits
- External audits
- Self Assessments

BS 25999-1:2006

Systematic examination to

- determine whether activities and related results conform to planned arrangements and
- whether these arrangements are implemented effectively and
- are suitable for achieving the organization s policy and objectives.
(BS 25999-2:2007)

Phase	Reviewing Topics
BCM programme management	<ul style="list-style-type: none">• The organization s BCM policy, strategies, framework and plans accurately reflect its priorities and requirements (the organization s objectives)• The organization s BCM competence and its capability are effective and fit-for-purpose and will permit management, command, control and coordination of an incident
Understanding the Organization	<ul style="list-style-type: none">• All key products and services and their supporting critical activities and resources have been identified
BCM strategy	<ul style="list-style-type: none">• All key products and services and their supporting critical activities and resources have been included in the organization s BCM strategy

Phase	Reviewing Topics
BCM response	<ul style="list-style-type: none">• The organization s BCM solutions are effective, up-to-date and fit-for-purpose, and appropriate to the level of risk faced by the organization• BCM procedures have been effectively communicated to relevant staff, and that those staff understand their roles and responsibilities
Exercising Maintaining reviewing	<ul style="list-style-type: none">• The organization s BCM maintenance and exercising programmes have been effectively implemented• BCM strategies and plans incorporate improvements identified during incidents and exercises and in the maintenance programme• Change control processes are in place and operate effectively
Embedding in culture	<ul style="list-style-type: none">• The organization has an ongoing programme for BCM training and awareness

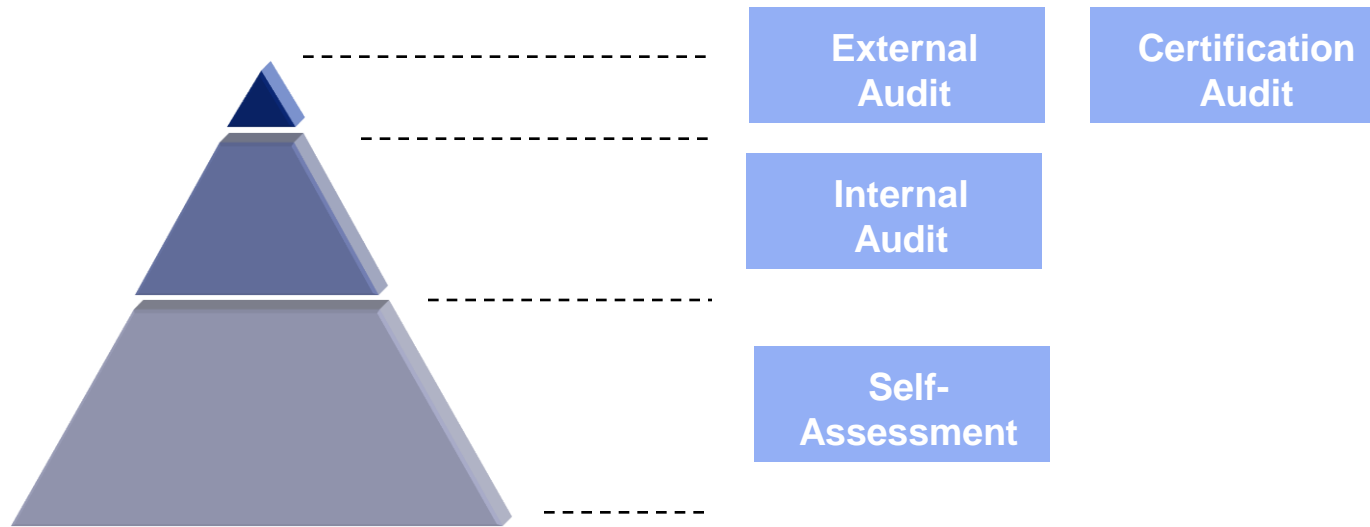
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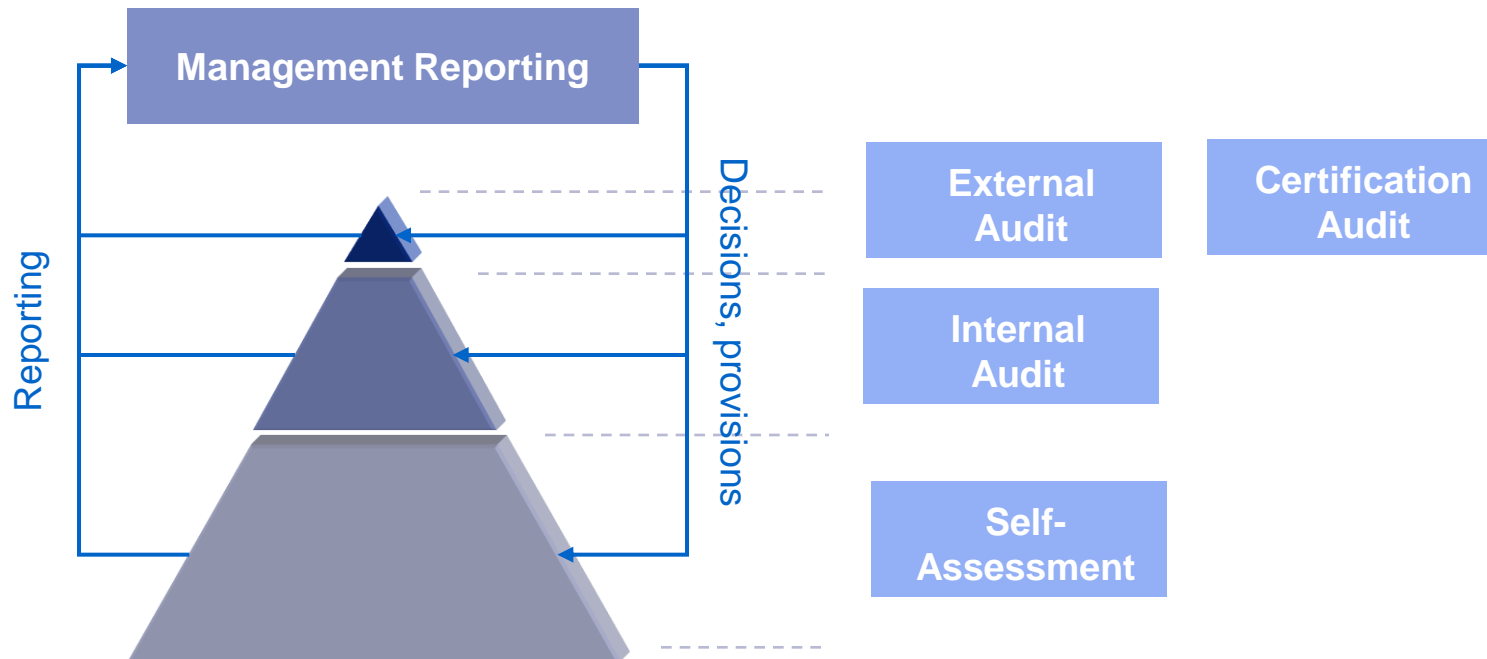
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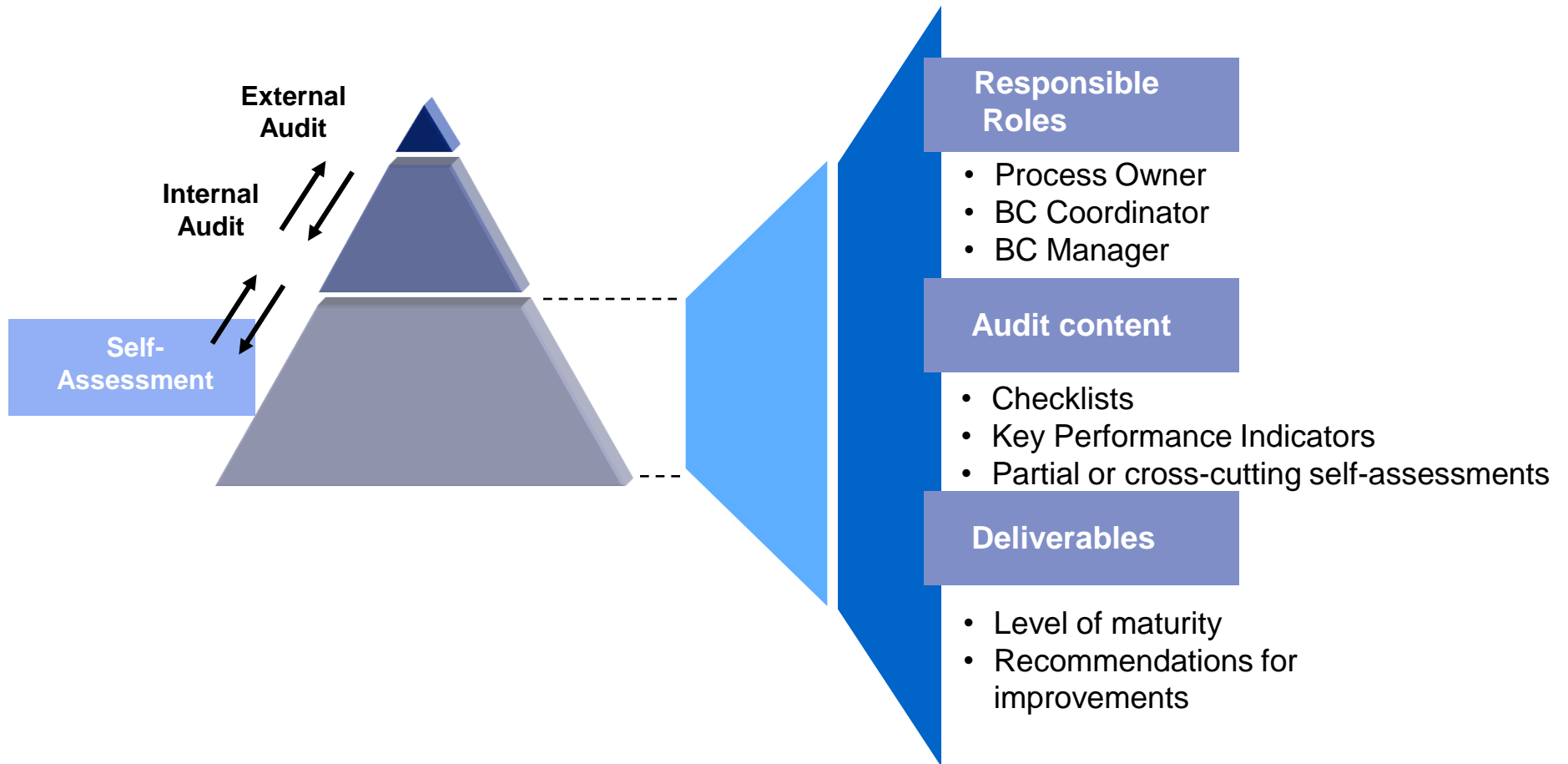
- **Audit and Review Types**

- **BCM audit lifecycle**
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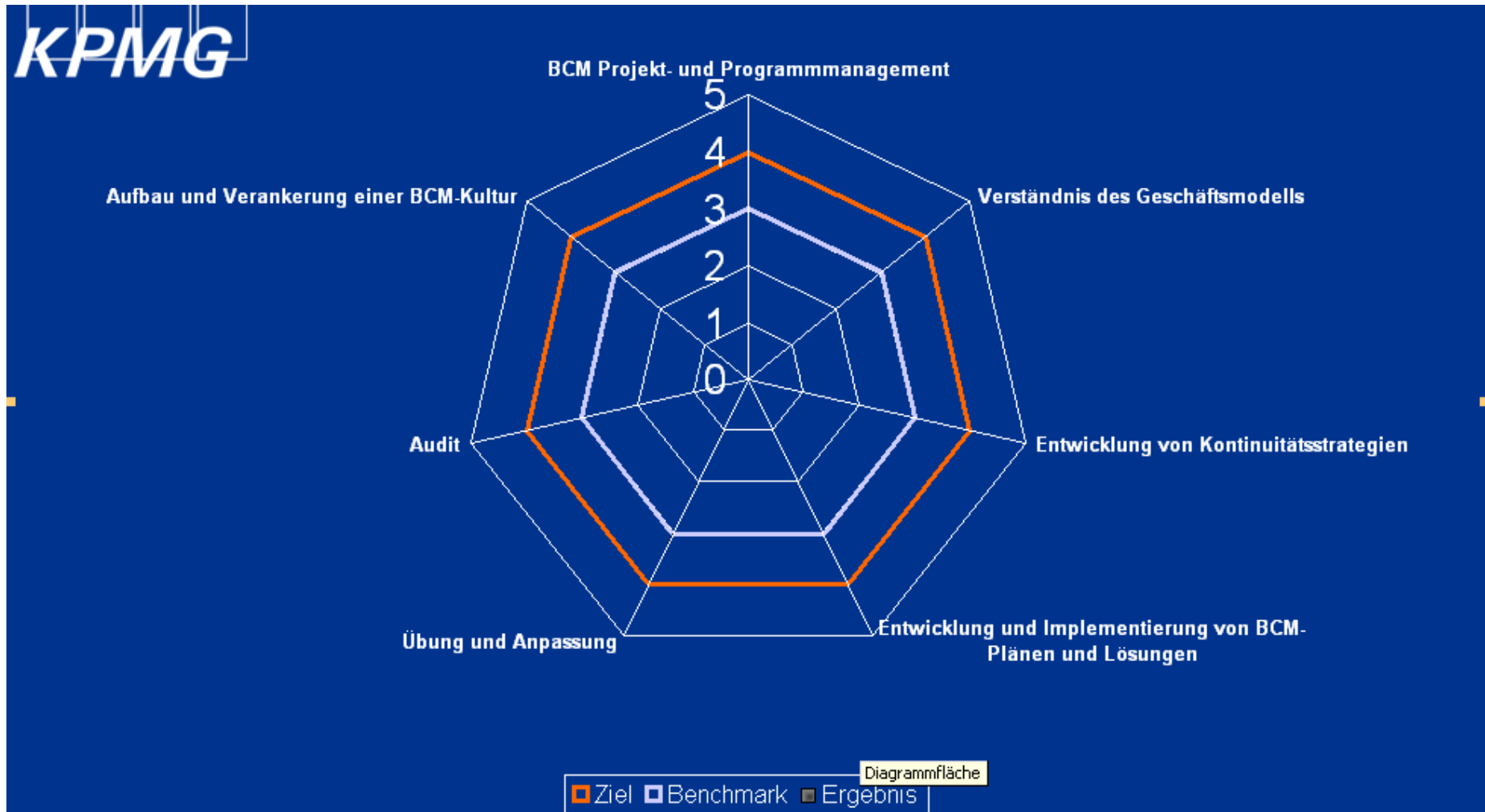
The review can take the form of internal or external audits or self-assessments







Fragen		Nein					Ja	
		1	2	3	4	5		
BCM-Policy								
1-1	Wurde von der Geschäftsführung eine strategische BCM-Zielsetzung oder eine unternehmensweite BCM-Policy ausgegeben?		<input type="radio"/>				<input checked="" type="radio"/>	
1-2	Steht BCM generell auf der Management Agenda?	überhaupt nicht	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	immer
1-3	Gibt es einen BCM Verantwortlichen auf Geschäftsleitungsebene?		<input type="radio"/>				<input checked="" type="radio"/>	
1-4	Sind in der BCM-Policy die Aufgaben, Verantwortungen und Kompetenzen definiert?		<input type="radio"/>				<input checked="" type="radio"/>	
1-5	Wurde der Umfang des BCM in der Policy definiert?	überhaupt nicht	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	vollständig
1-6	Wurden geltende BCM-Standards berücksichtigt?		<input checked="" type="radio"/>				<input type="radio"/>	
1-7	Wird der BCM-Lifecycle in regelmäßigen Abständen durchlaufen?	nie	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	regelmäßig
1-8	Wird die BCM-Policy regelmäßig überprüft und angepasst?	niemals	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	regelmäßig
1-9	Steht für das BCM ein eigenes Budget zur Verfügung?		<input type="radio"/>				<input type="radio"/>	
▶ Projekt- und Programmmanagement / Verständnis des Geschäftsmodell / Entwicklung von Strategien / Env								



Implementation project

- Scope of BCM project defined
- Provision of resources to the project
- Competency of project manager and project team

BC Management System, BCM Policy

- Objectives, policies and success factors defined
- Program governance process documented
- Ongoing, visible support of executive management

Roles and Responsibilities

- Roles and responsibilities for BCM business as usual processes defined
- Roles and responsibilities for incident response defined
- Roles and responsibilities for crisis management teams defined

Business Impact Analysis

- Criticality of activities and products identified and defined
- Recovery time objectives for critical activities defined
- Minimum resource requirements for critical activities identified

Risk Assessment

- Loss potentials from internal and external sources identified
- Probability-weighted impacts for events
- Regular risk assessments

Strategy development

- Enterprisewide requirements for continuity identified
- Mitigating strategies defined
- Plan development based on agreed strategies

Emergency Response

- Emergency response procedures established
- Integration between emergency response and business continuity
- Command and control established for emergency response
- Contact details are updated

BC Plans

- Roles, responsibilities, authorities defined for the documentation of BC Plans
- Format and structure of plan components defined
- Plans are developed and implemented
- Plan distribution and revision control is established
- Plan maintenance method and schedule is defined

Training and Awareness

- Awareness and training objectives are defined
- Awareness program for management, staff and team members is established
- Regular evaluation of training needs is performed
- Training program is established

Tests, Exercises

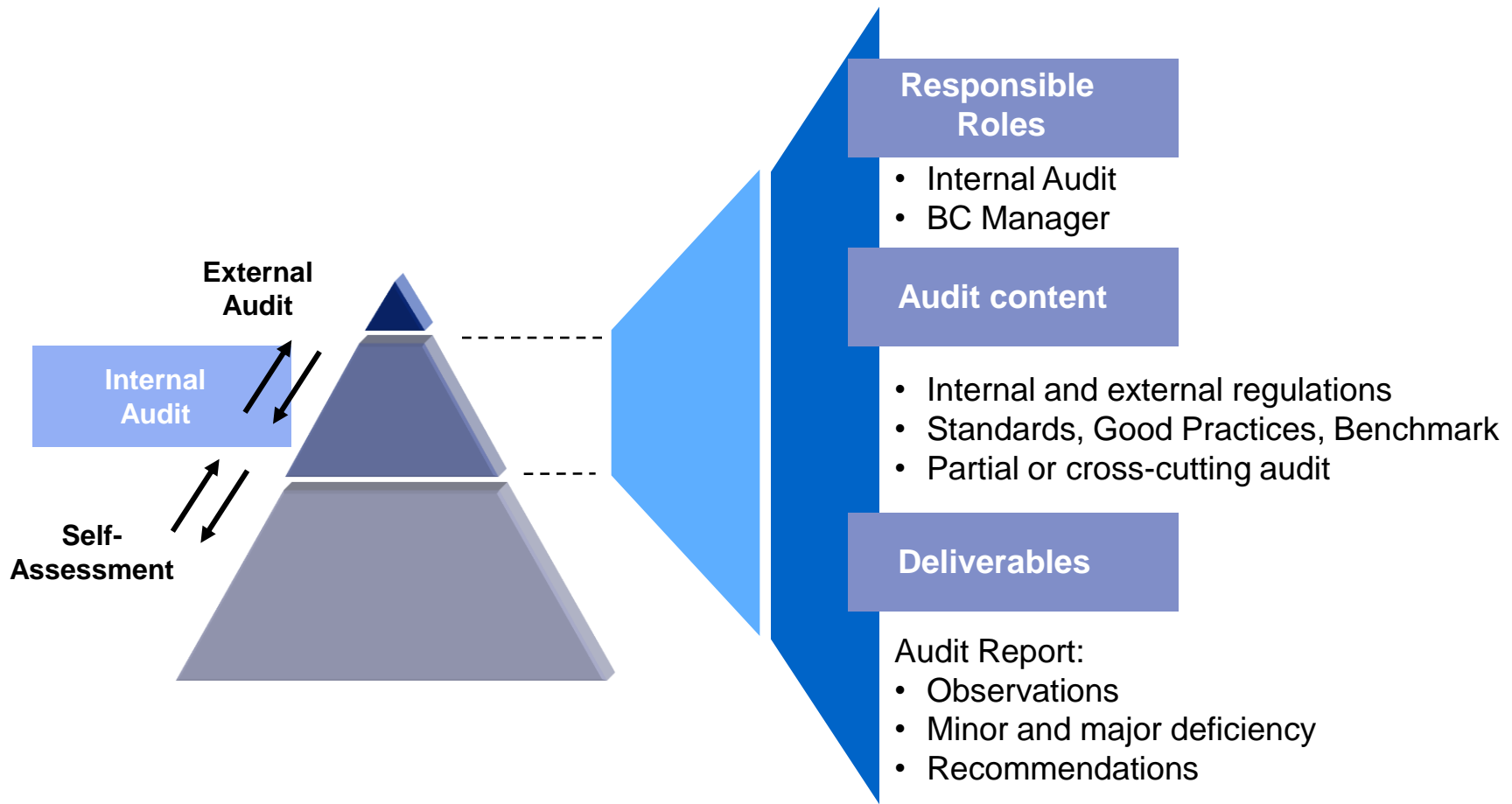
- Exercise program is established
- Exercise methodology is established (objectives, success criterias, scenarios, documentation templates)
- Regular exercises are conducted against the plan
- For each exercise a report with opbservations, findings and recommendations is prepared
- Follow –up process to ensure implementation of recommended changes is in place

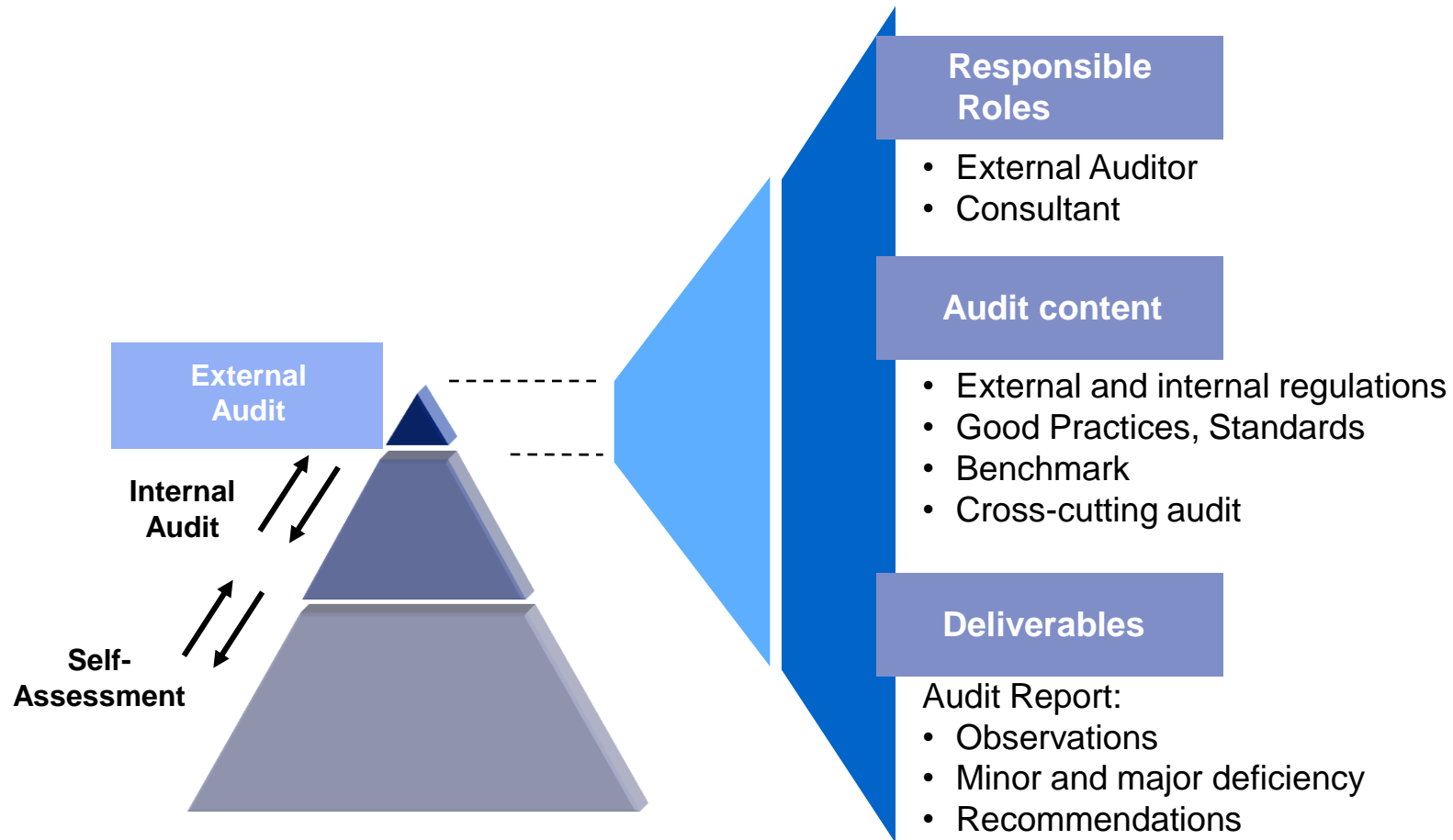
Maintenance and update

- Plan maintenance procedures and reporting in place
- Maintenance reporting procedures established
- Change control procedures in place for organizational changes that may affect BCM

Audit

- Roles and responsibilities for BCM Audits are defined
- Audit objectives are defined
- Audits are scheduled in a Audit program
- Internal audit, external audit an self-assessments are integrated
- Audit opservations, findings and recommendations are part of the management reporting





suitable

- There is no „out-of-the box“-BCM
- Does the Business Continuity Management reflect the individual risks and threats of the organization?
- Does the BCM reflect the risk appetite of the management?

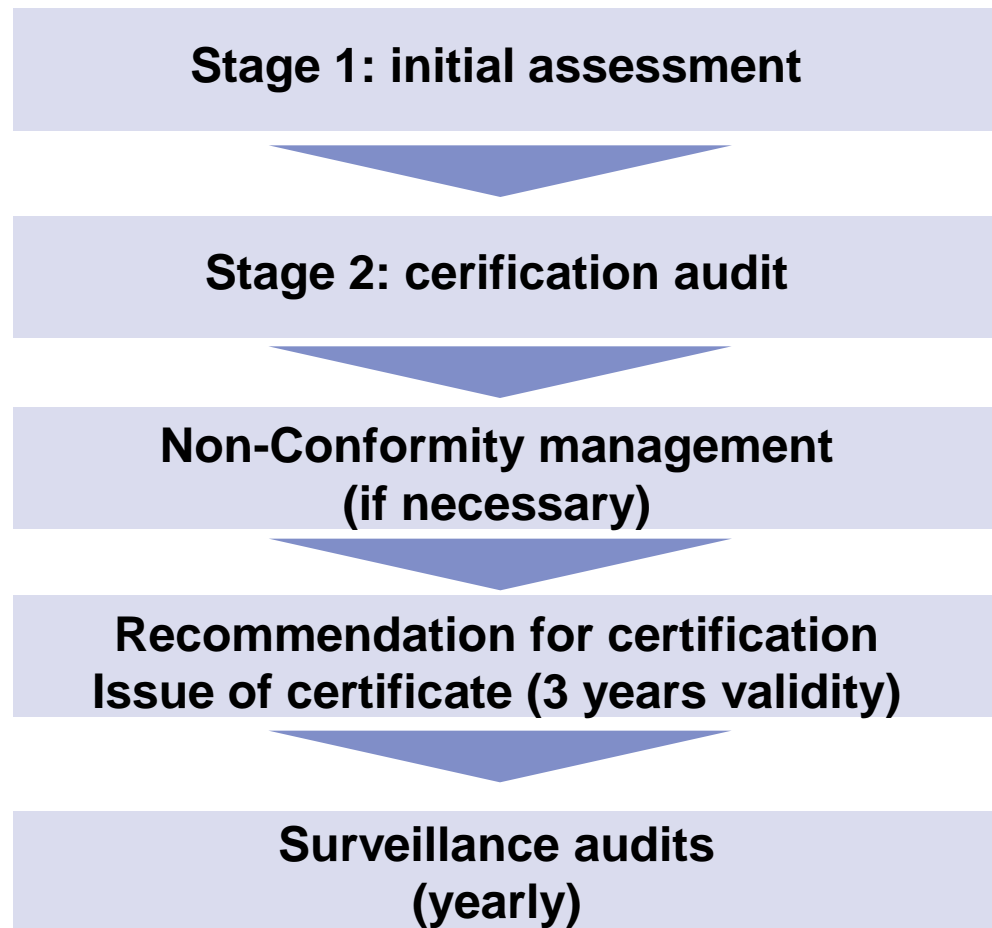
effectiveness

- Is the Effectiveness of BCM tested on a regular basis?
- Is there a clear understanding of roles and responsibilities for BCM?
- Are resources allocated for run and change of BCM?

compliant

- Are the specific regulations for BCM well-known?
- Are BCM-Standards and Good Practice in use?
- Does the maintenance process reflect changes in regulations and new standards?

The compliance audits take place at specific stages and regularly after the certification is awarded



Inhalt

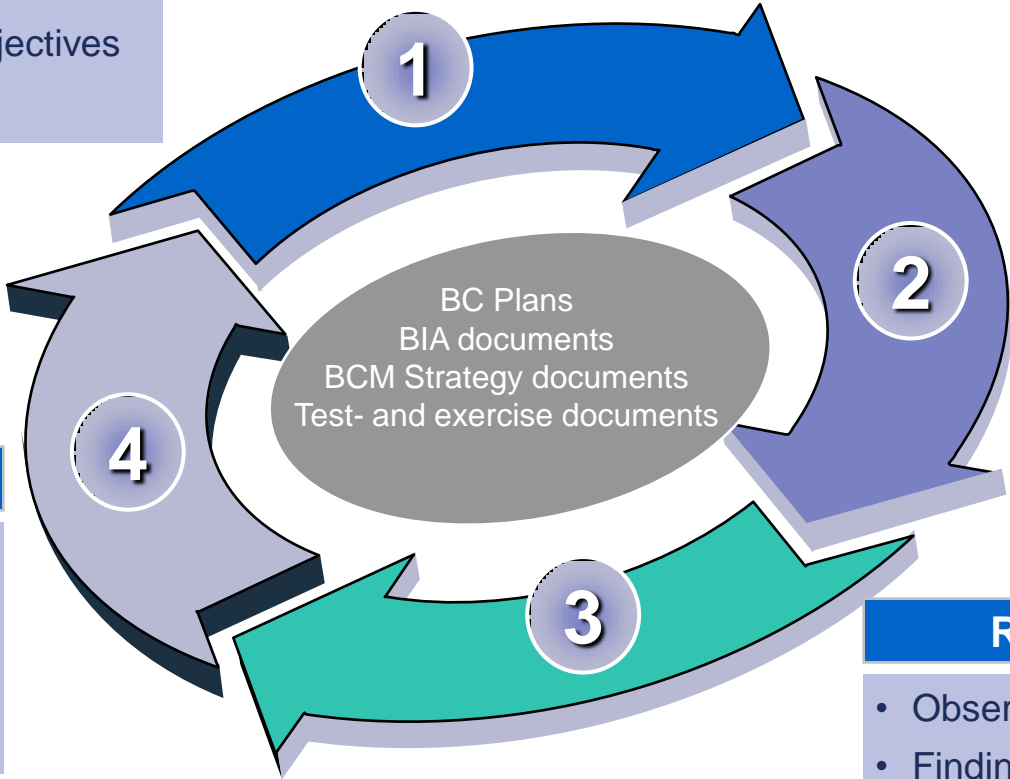
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BCM Audit Program

- Understanding business processes and risk
- Scope and Objectives
- Audit cycles

perform Audit

- Preparation of the audit
- Creation of Audit plan
- Revision of documents
- On-site examination
- Evaluation
- Audit report



Monitoring

- Actions to be taken
- Recommendations
- Tests and Exercises
- Incidents

Reporting

- Observations
- Findings (minor, major)
- Recommendations

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