
Enterprise Business Continuity Plan Premises

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Premises

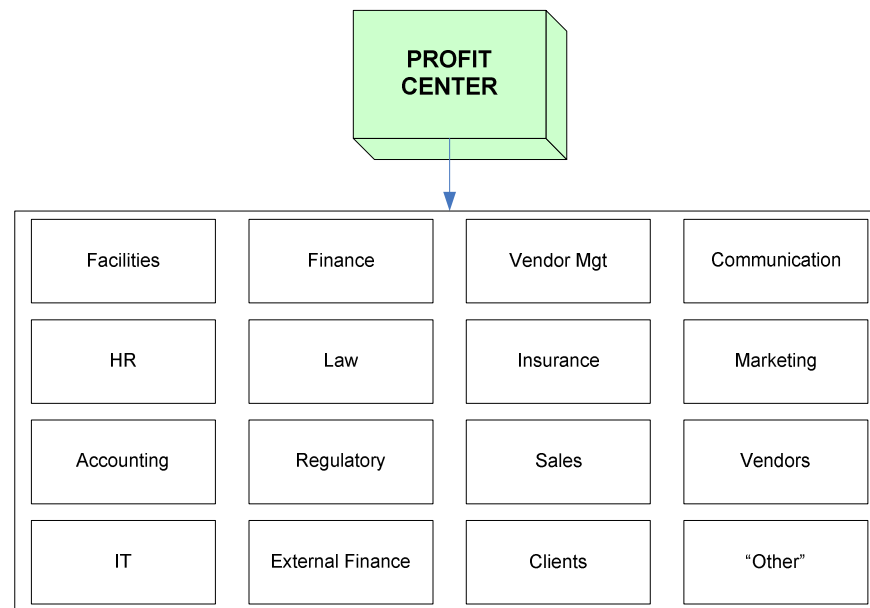
- 1. Business Continuity protects the business, the profit centers and all the resources on which the profit centers depend.***
- 2. Business Continuity must be an enterprise process.***
- 3. Business Continuity must have lower-echelon plans "roll-up" into next level plans.***
- 4. Business Continuity plans, properly developed, identify and allow organizations to enjoy certain Advantages of Scale.***
- 5. Business Continuity is more than "insurance"; a process-focused function, Business Continuity closely examines all processes to identify ways to enhance efficiency for greater Return On Investment (ROI).***
- 6. Business Continuity must be sponsored by a C*O with fiduciary responsibility and be funded from the corporate budget.***

Premise 1: Business Continuity's purpose

- **Business Continuity is a program to assure continuity of the business regardless of events.**
 - **Events are anything which interrupt "business as usual"**
 - Environment
 - Human factor
 - Technology
 - Combinations of the above
- **Business Continuity examines business processes to**
 - Identify risks to the processes
 - Identify ways to avoid or mitigate risks
 - Develop plans to maintain at least a Minimum Level of Service while restoring the operation to Business As Usual *in the most efficient and economical means possible*

Premise 2: Enterprise Business Continuity

- Enterprise includes all organizational operations - profit centers and all internal and external profit center resources.



- Enterprise Business Continuity is at once "top down" and "bottom up."

Top down

- **It is "top down" in that it must have a very senior executive (C*O level) with fiduciary responsibility as its Sponsor.**
 - **The Sponsor promotes the Business Continuity process across the enterprise and provides the planning practitioners with the image of authority and responsibility they need to assure cooperation from all personnel at all levels, from newest intern to fellow senior managers.**
 - **The Sponsor should have Corporate-level fiduciary responsibility and be known as a person with an overall concern for the organization's welfare rather than be perceived as favoring one business unit over another. Prime candidates for the Sponsor role are Chief Financial Officer (CFO), Chief Operating Office (COO), and Chief Executive Office (CEO).**

Bottom up

- It is "bottom up" in that Business Continuity focuses on activities at the process level.
 - Plans begin by examining each process performed by a Functional Unit (profit center or profit center resource).
 - Plans "grow" as shown in [Figure 1](#).
 - Enterprise plans include examination (Gap Analysis) of critical vendor Business Continuity plans. Critical Vendors should be required, as a matter of contract, to provide a "sanitized" plan before a contract is awarded. This helps assure that the organization will continue to meet its Service Level Agreements (SLAs) even in the event of a critical vendor failure.

Bottom up planning process

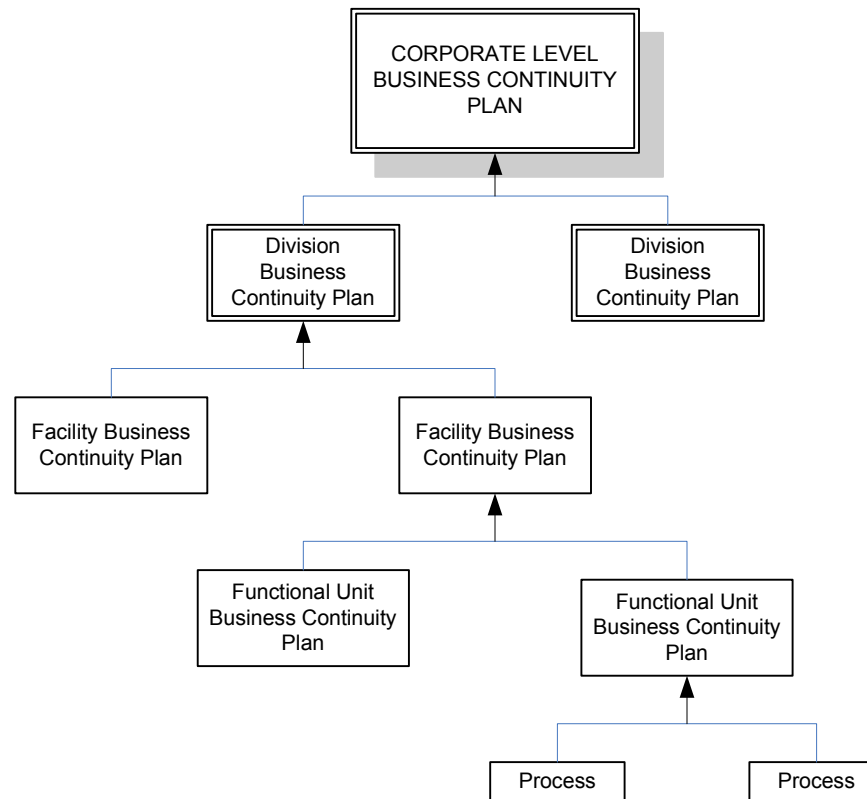


Figure 1

All inclusive

- **Business Continuity for maximum effectiveness must be "all inclusive."**
 - **Business Continuity begins by examining each process performed in the profit centers ([Figure 2](#)).**
 - **Is the process a "critical process?" Does the process impact a "critical process?"**
 - **Business Continuity is one of the few processes which cross all boundaries to**
 - **Track a process from beginning to end.**
 - **Identify all dependencies, both internal and external.**

Simplified process flow & dependencies

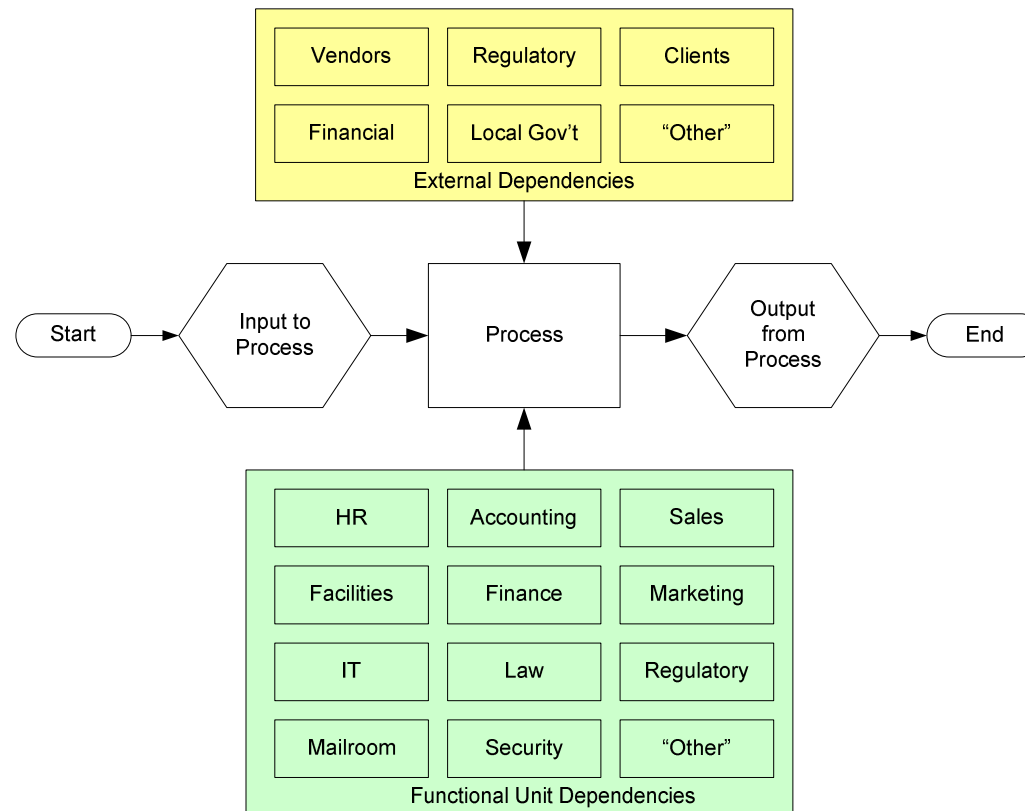


Figure 2

Premise 3: Bottom up planning

- **An Enterprise Business Continuity plan is based upon numerous Functional Unit level Business Continuity plans. These plans are both independent and dependent on other Functional Unit plans.**
 - **Each Functional Unit plan is created so that in the event a risk occurs at the unit level, unit personnel are prepared to respond.**
 - **If the response can be completed within a specified time - that is, before the incident impacts the unit's SLA to internal or external clients - the issue is resolved at the Functional Unit level and no escalation is necessary.**
 - **Functional Level response may require support from other units, e.g. Purchasing, Finance, HR, Shipping/Receiving; these units are included in the Functional Unit plan and participate in advanced exercises to assure that all responses are as expected.**

Escalation

- **Escalation**
 - In the event a Functional Unit is unable (or sees that it will be unable) to meet its SLAs, the event response is escalated to the next higher unit ([Figure 1](#)).
 - If this becomes necessary, Functional Units which depend upon the unit responding to the event will be able to determine what actions, if any, need to be taken to assure their SLAs are met.
 - As with the Functional Unit, additional resources may be required even without further escalation.

Premise 4: Advantages of scale

- **An Enterprise Business Continuity plan allows multi-site organizations to enjoy certain "Benefits of Scale."**
 - **At the facility level, if one facility cannot be inhabited for any reason, personnel from that facility may be relocated to other facilities owned or controlled by the organization which have unused capacity. The basic infrastructure (cabling for IT, telephones, electric, etc.) already is in place.**
 - **Information Technology is similar. Resources with extra capacity and resources used for development functions can be made available to accommodate applications the original site is unable to support.**

Some benefits of scale

- **The overall benefits are several, including**
 - **availability of trained personnel**
 - **commonality**
 - **control of the environment**
 - **cost**
 - **priority of access**
 - **security**

Premise 5: More than insurance

- **Business Continuity often is thought of a "insurance." Business Continuity is more, it can function as "process (re)-engineering."**
 - **Business Continuity is process driven.**
 - **Planners look at each critical process at a very fine granularity level. Enterprise Business Continuity follows a process from beginning to end and includes communications, transportation, vendor management, regulatory issues, and more ([Figure 3](#)).**
 - **As Business Continuity follows a process, risks are uncovered.**
 - **Risks can be (a) avoided, (b) mitigated, or (c) absorbed. How the risks are handled is a management decision based upon the process the probability that a risk will occur and the impact on the organization if the risk occurs.**
 - **Absorbing a risk usually is limited to processes which are slated to be abandoned or greatly revised, or when technology is several generations old and new technology is already slated to be implemented.**

Simplified interdependencies flow chart

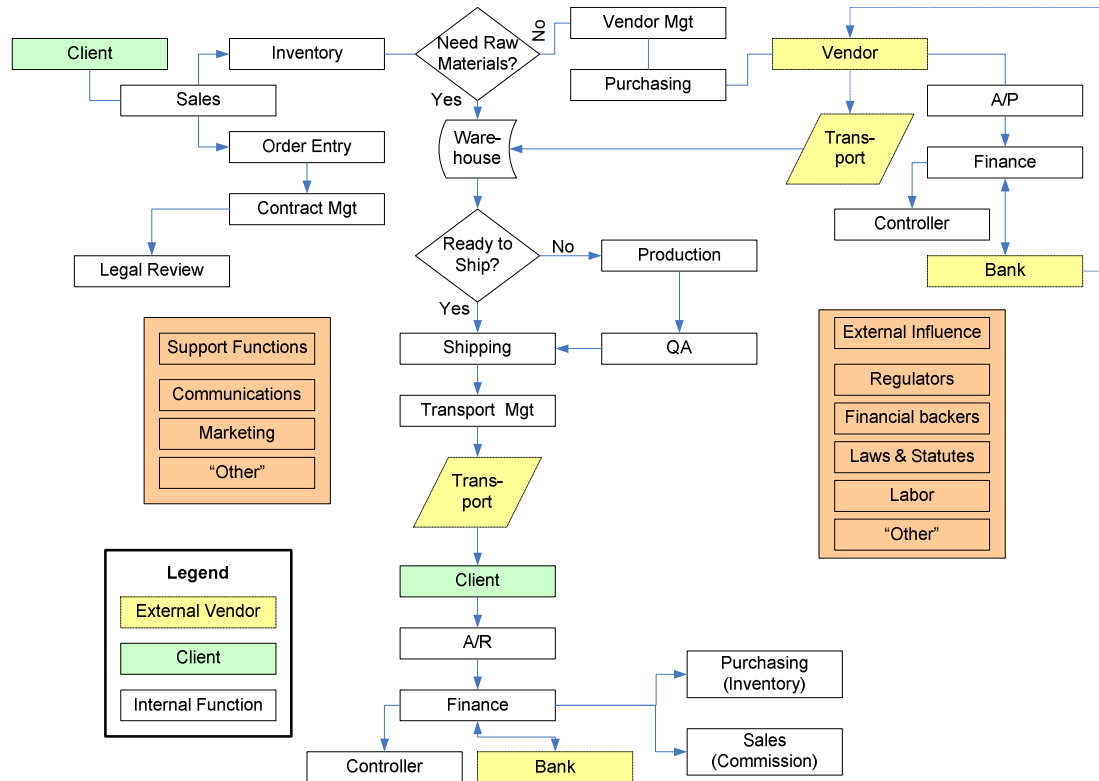
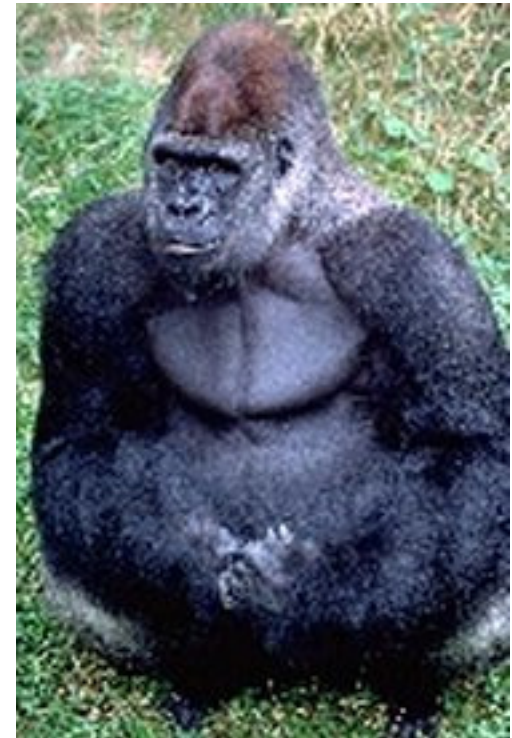


Figure 3

Premise 6: Top down sponsorship

- **Business Continuity, to be effective, must be sponsored by a very senior corporate executive with fiduciary responsibility (Figure 4).**
 - **The Business Continuity Sponsor must be seen by all personnel at all levels as a person free of any agenda other than working for the best interests of the organization.**
 - **Along with top down sponsorship is top down funding.**
 - **Since enterprise Business Continuity can benefit the organizational bottom line, and since all Divisions contribute to the bottom line, Business Continuity should be funded from corporate resources (rather than Division resources). This helps assure a consistent level of planning across the enterprise and eliminates management resistance that "Business Continuity is too expensive."**



Top down sponsorship

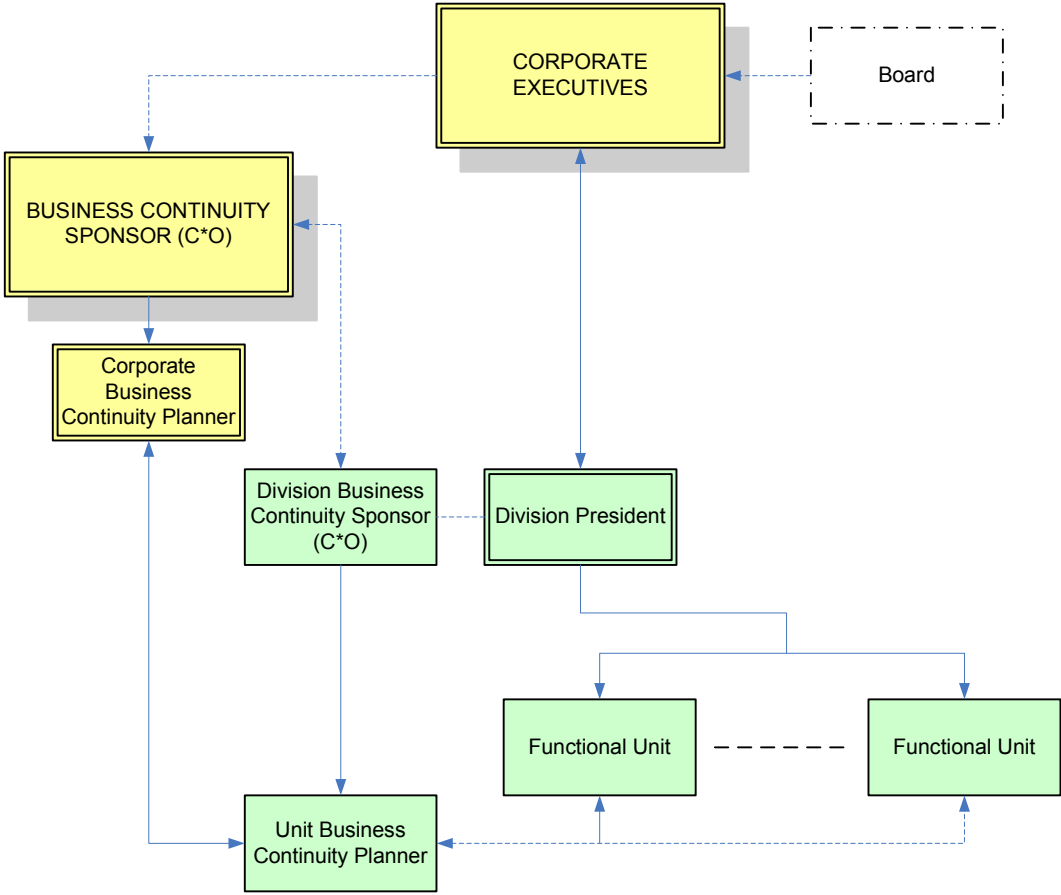


Figure 4

More information

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