BUSINESS CONTINUITY MANAGEMENT SERVICES

Keep business running during crisis
BUSINESS CONTINUITY MANAGEMENT SERVICES

Critical processes which are essential for business activity are part of every company. Business Continuity Management anticipates unexpected risks that may have a sudden and severe impact on these processes. Its aim is to minimize the disruption of critical processes and return to normality as quickly as possible. BCM defines and executes crisis response in an adequate and quick manner, involving crucial stakeholders.

Based on long-standing project experience Protiviti developed a six-element methodology for implementing and executing successful BCM throughout your company. Harness Protiviti’s comprehensive BCM services and keep your business running during crisis.
Protiviti is a global consulting firm that delivers deep expertise, objective insights, a tailored approach and unparalleled collaboration to help leaders confidently face the future. Protiviti and our independently owned Member Firms provide consulting solutions in finance, technology, operations, data, analytics, governance, risk and internal audit to our clients through our network of more than 75 offices in over 28 countries.

We have served more than 60 percent of Fortune 1000® and 35 percent of Fortune Global 500® companies. We also work with smaller, growing companies, including those looking to go public, as well as with government agencies. Protiviti is a wholly owned subsidiary of Robert Half (NYSE: RHI). Founded in 1948, Robert Half is a member of the S&P 500 index.

*Inclusive of Protiviti's Member Firm network
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Cincinnati, OH
Cleveland, OH
Dallas, TX
Denver, CO
Ft. Lauderdale, FL
Houston, TX
Indianapolis, IN
Kansas City, KS
Los Angeles, CA
Milwaukee, WI
Minneapolis, MN
New York, NY

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BHARAT*
Kochi

CHILE*
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MEXICO*
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PERU*
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Canberra
Melbourne
Sydney

CHINA
Beijing
Hong Kong
Shanghai
Shenzhen

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Bengaluru
Hyderabad
Kolkata
Mumbai
New Delhi

JAPAN
Osaka
Tokyo

SINGAPORE
Singapore

*Protiviti Member Firm
Protiviti’s knowledgeable professionals have decades of experience working with clients in a broad array of industry sectors. Our team is able to address even the most challenging business issues.

We have deep competency in the following industry categories:

**Healthcare and Life Sciences**
- Healthcare Payers
- Healthcare Providers
- Life Sciences and Pharmaceuticals

**Energy and Utilities**
- Mining
- Alternative Energy
- Oilfield Services
- Utilities, Pipelines and Transmission
- Exploration, Production and Refining
- Energy Trading, Marketing and Generation

**Manufacturing and Distribution**
- Automotive
- Materials and Chemicals
- Distribution and Logistics
- Industrial Products

**Technology, Media and Telecommunications**
- Telecommunications
- High-Tech
- Internet and Media
- Software

**Consumer Products and Services**
- Business Services
- Consumer Packaged Goods
- Hospitality, Leisure and Travel
- Retail
- Education
- Non-Profit

**Government Services**
- U.S. Federal
- U.S. State and Local
- Non-U.S. Governments

**Financial Services**
- Asset Management
- Broker-Dealer
- Insurance
- Real Estate
- Retail and Personal Banking
- Specialty Finance
- Wholesale and Corporate Banking
- Compliance
RECOGNISED AS A THOUGHT LEADER

We are recognised as “thought leaders” in business continuity community. Examples include Protiviti’s Guide to Business Continuity Management and Developing Functional BCM Programs for Oil & Gas Producers. Additional Point-of-View documents and whitepapers exist on our website below as well.

https://www.protiviti.com/DE-de

This Guide to BCM provides Protiviti’s view on how to tackle frequent issues that arise in the BCM universe.


This publication describes how the Coronavirus impacts are forcing companies to learn a new approach to Crisis Management


This white paper outlines leading practices for providing comprehensive assurance over operational resilience programs and explains key resiliency concepts.

https://www.protiviti.com/DE-de/insights/whitepaper-road-resiliency
HOW WE CAN HELP

In us you will find a partner to design and implement Business Continuity Management (BCM) capabilities across your organisation.

An overview of our BCM experience

- Our objective is to provide you with strategic insights on how potential interruptions could impact your critical business operations and to closely collaborate with you in achieving your objectives. We have an established BCM Methodology (page 8) and our typical BCM implementation approach (pages 9-16).

- Protiviti has significant experience assisting all types of organisations assess and mitigate the risks associated with planning for and responding to business disruptions. We have worked with global companies in various industries, including Manufacturing, Healthcare, Products and Services etc. to evaluate and implement continuity and recovery programs specific to sites that manage Operational Technologies. Our client projects are on page 17.

- We are recognised as “thought leaders” in the business continuity community. Examples include Protiviti’s Guide to Business Continuity Management, Operational Resilience Roadmaps, and blogs on how companies are facing the COVID-19 crisis. Additional Point-of-View documents and whitepapers exist on our website as well. A few selected examples are on page 5.
BUSINESS CONTINUITY MANAGEMENT

The Protiviti approach to comprehensive BCM
The key elements in developing and implementing a comprehensive BCM Framework are:

**Definition of BCM Function**
- Roles and responsibilities
- Guidelines and documentation
- Methodology (e.g. risk assessment)
- Definition of regular BCM processes

**Stakeholder Management**
- Involvement of relevant stakeholders, i.e. local residents, public authorities, regulators etc.
- Relation to other functions (risk management, company fire brigade etc.)

**Testing & Training**
- Regular trainings for employees
- Practice behavior in an emergency situation

**Elements of BCM**
- Universe
  - Inventory/catalog of all relevant critical processes, units and places
    - Process landscape including detailed information on each process
- Business Impact Analysis
  - How critical is the process?
  - How large are the losses if the process fails?
- Emergency & Crisis Scenarios
  - Identification of scenarios, risk analysis and evaluation
  - Detailed formulation of scenarios (including regulatory requirements)
  - Roles and responsibilities for each scenario
- Definition of measures when the scenario occurs
  - Emergency management
  - Crisis management
  - Continuity management
  - Preparation for the emergency
To achieve a successful setup of BCM within a company, an elaborate concept of the company’s universe is required. A sound approach defines the universe through a process map, but other definitions, e.g., using departments or locations, are possible too. The concept should include links to the IT landscape. Based on the company’s universe, critical functions can be identified, and adequate action plans can be created. We help our clients to create a solid foundation for BCM.

Process Map as Basis

- A process map shows the process architecture of a company. The processes are ordered hierarchically.

- Details about the process, such as input and output, main activities, resources for production (human, materials, facilities, IT, other) must be retrievable.

- Each process must be embedded in the process landscape of the company, dependencies within the landscape must be known.

Starting Point for Business Impact Analysis

Assess Process Criticality

- Which processes are of outstanding importance for the viability of a company?

- Which criteria must be considered to resume the processes in case of an emergency?
The BIA is considered the most important step in the development of a Business Continuity Plan (BCP) in that it provides the essential metrics and elements necessary for the development of an integrated recovery strategy. The Recovery Time Objectives (RTOs) per business process, production facility and technology provide the information necessary to jointly work with other stakeholders to craft an appropriate recovery strategy.

**Business Impact Analysis:**
...the comprehensive study of your operations, business processes, and supporting infrastructure to determine their criticality regarding ongoing continuity of operations.

### Key Tasks of Business Impact Analysis:

<table>
<thead>
<tr>
<th>Task</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Determine operational, financial, and reputational impacts of downtime</td>
</tr>
<tr>
<td>2</td>
<td>Categorize and measure business risks across key areas of the business</td>
</tr>
<tr>
<td>3</td>
<td>Identify reliance on production facilities, IT systems and process interdependencies</td>
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<tr>
<td>4</td>
<td>Ascertain recovery time objectives for business processes and supporting infrastructure</td>
</tr>
<tr>
<td>5</td>
<td>Understand current recovery capabilities for business processes and supporting infrastructure</td>
</tr>
<tr>
<td>6</td>
<td>Gain consensus on process criticality metrics</td>
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Companies must pass three phases to overcome a crisis: chaos, response and recovery. Based on realistic emergency scenarios, action plans are developed which enable companies to respond in time throughout these phases.

**Evolution of Emergency and Crisis**

<table>
<thead>
<tr>
<th>Phase</th>
<th>“Chaos”</th>
<th>“Response”</th>
<th>“Recovery”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objectives</td>
<td>Getting organized</td>
<td>Limitation of Loss, establishing communication</td>
<td>Returning to normality</td>
</tr>
<tr>
<td>Activities</td>
<td>Supporting intervention forces</td>
<td>Maintaining operations in difficult circumstances</td>
<td>Transition from emergency to business continuity process</td>
</tr>
</tbody>
</table>

**Emergency management:**
Alerting, internal and external communication, immediate actions (e.g. evacuation)

**Crisis management:**
Crisis management team for decision making, limitation of damages, continuity of critical processes

**Continuity management:**
Return to normality

Austrian Standards Institute, ONR 49002, Emergency, crisis and business continuity management
Emergency scenarios that could lead to unavailability of a critical process must be identified. Next, the scenario must be described in detail including roles and responsibilities and definition of measures when the scenario occurs.

Exemplary scenario and action plan: Inaccessibility of the office building

**Emergency Scenario**

The office building is not accessible due to fire/water damage or other safety threats.

- All critical processes are affected
- Failure of single storeys is not considered an emergency

**Action Plan**

**Prior risk analysis**
- Critical processes could be executed by 10 people
- 10 emergency workstations at a different location should be provided

**Emergency preparation**
- Distribution of the emergency workstations to the business areas was preliminary defined

**Actions**
- Provide emergency workstations
- Test business processes in emergency locations
## TESTING & TRAINING

### Practice emergency situations

- Test the proper functioning of emergency and crisis management on a regular basis. Simulate crisis scenarios and exercise the predefined steps within emergency and crisis management.
- Include internal and external intervention forces.
- Review exercises and adjust and improve emergency measures if deemed necessary.

### Improvisation is error prone during an emergency. Thorough preparation leads to confident behavior facing a crisis:

- Develop and execute trainings for members of the core crisis management team as well as the extended team in performing their tasks including potential media communication.
- Especially the emergency operation leader should receive media training. Insecurities in crisis communication may lead to misinformation.
- Perform fire drills with all employees. Train employees working in critical processes to execute their tasks during an emergency.
Internal and external stakeholders alike must be involved in emergency planning according to their tasks and responsibilities. Communication procedures during an emergency should be discussed and established in advance.

**Internal Stakeholders**
- Cooperation with other functions within the company such as risk management, IT or public relations as well as communication to employees and their involvement must be defined.
- Reporting to senior management and parent company etc.

**External Stakeholders**
- Emergency management may also require action of parties outside the company, e.g. residents, public authorities, regulators as well as clients and suppliers. External stakeholder management includes the involvement of these parties in emergency planning as well as ongoing communication.
  - **For example**, an emergency scenario for a chemical company could be a threat to groundwater from a sudden leakage. In that case, the local fire brigade, the environmental agency, neighboring companies and residents would be external stakeholders.
    - The fire brigade must be informed on how to handle leakage of specific chemicals.
    - The environmental agency can be consulted on how to handle a leakage, who to contact.
    - Neighboring companies and residents must be informed about communication channels and instructions.
In agreement with senior management, the appointed BCM leader defines the components of the BCM function:

- **People & Organization**
  - Definition of roles and responsibilities within BCM including substitution rules
  - Determination of the required number of employees
  - Training of employees
  - Job descriptions

- **Methodology**
  - Definition of criticality analysis for processes (e.g. Heatmap, impact & likelihood)

- **Strategy & Policies**
  - Definition of BCM policies, guidelines and work instructions
  - BCM should align with the overall business strategy

- **Processes**
  - Definition of regular BCM processes including fire drills
  - Definition and maintenance of the universe
  - Reporting to senior management on a regular basis

- **Systems & Data**
  - Data maintenance for process data, contact information
  - Tools
Multiple provider for standards and best practices offer guidelines for BCM. The guidelines are generally applicable to all kind of companies. There are further guidelines, but the listed ones serve as a first orientation.

**Institut der Wirtschaftsprüfer – Prüfungsstandard**
- IDW PS 340: Audit of early risk detection systems in accordance with Section 317 (4) HGB

**International organization for Standardization (ISO)**
- ISO 22301: Security and resilience – Business continuity management systems – Requirements (this standard is certifiable)
- ISO 22316: Security and resilience - Organizational resilience - Principles and attributes
- ISO 22399: Societal security - Guideline for incident preparedness and operational continuity management
- ISO 27002: Information technology - Security techniques - Code of practice for information security controls

**Bundesamt für Sicherheit in der Informationstechnik (BSI)**
- BSI-Standard 100-4: Business Continuity Management

**Austrian Standards Institute**
Protiviti already helped several customers to accomplish BCM projects successfully and sustainably.

**SELECTED CLIENT PROJECTS (1/2)**

**Manufacturing company**
- BCM Framework, IT Disaster Recovery, and Crisis Management for a manufacturing and distribution company specializing in batteries
  - Formalized BCM framework and governance program
  - Development of an IT Disaster Recovery plan including detailed application run-books for critical applications
  - Development of practical Crisis Management Plan for the corporate office

**Manufacturing company**
- Development of a front-to-back BCM Program for a manufacturing company specializing in medical devices
  - Conducted an enterprise Business Impact Analysis for the corporate office as well as the manufacturing and distribution centers
  - Development of practical Business Continuity Plans (BCPs) for the corporate office as well as the manufacturing and distribution centers

**Television Network**
- Extensive Business Impact Analysis for a leading polish TV network station
  - Gathering input from process owners regarding current maturity of BCM using CMM (capability maturity model)
  - Creation of process maps as basis for criticality analysis, prioritization of processes
  - Determination of business’ recovery time objective and recovery point objective
  - Written as well as visual summarization of results
Protiviti already helped several customers to accomplish BCM projects successfully and sustainably.

Financial Service Provider
- Support of a medium sized financial service provider with main business in automotive leasing and funding
  - Compilation of the bank’s process landscape and identification of process dependencies
  - Execution of business impact analysis including criticality and recovery time objectives visualized in a process-/component matrix
  - Determination of required emergency workstations
  - Development of emergency scenarios and action plans

Healthcare Organization
- Conducted Business Impact Analysis and Crisis Management Development
  - Development of practical Business Continuity Plans (BCPs) for the corporate office
  - Development of practical BCM framework and Crisis Management Plan
  - Identified the critical business processes, interdependencies, and IT applications
  - Identification of recovery strategies that worked during a real-life incident

Multiple Clients
- Audit and assessment of existing BCM processes, scenarios, emergency plans, execution of fire drills and documentation
- Improvement or creation of BCM policies
- Compilation of recommendations to improve the BCM structure and processes within the company
Dr. Gerald Kroha
Associate Director

10+ YEARS EXPERIENCE – RISK & COMPLIANCE
Expert in Risk Management, Controlling and Processes

Skills & Expertise:
• Risk Management
• Process Design
• Controlling and Reporting
• Project Management

Education & Certifications
Diploma in Banking management (FH) Bundesbank
Diploma in National Economy Gutenberg-Universität Mainz
PhD in National Economy Westfälische Wilhelms-Universität Münster

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Iris Schott
Senior Consultant

3 YEARS EXPERIENCE – RISK & COMPLIANCE

Skills & Expertise:
• Internal Audit
• Risk Management
• Quantitative Methods
• Financial Products

Education & Certifications
Master of Science in Mathematics Goethe-University Frankfurt,
Bachelor of Science in Mathematics Goethe-University Frankfurt, ISO 27001 Foundation

Iris.Schott@protiviti.de

Denis Lippolt
Associate Director

10+ YEARS EXPERIENCE – AUDIT AND CONSULTING
Expert in Risk & Compliance, Modelling, Internal Audit

Skills & Expertise:
• Internal Audit
• Regulatory
• Data analytics
• Quantitative Risk Management Enterprise Risk Management

Education & Certifications
M.Sc.in Mathematics -Ruprecht Karls Universität Heidelberg,
Aktuar (DAV) (German actuarial association), GARP Certified
FRM, ITIL® V3 Foundation, ICO ISMS 27001:2013
FOUNDATION, CFA 1st exam passed

Denis.Lippolt@protiviti.de

Recognized for Our Great People

Protiviti Fortune 100 Best Companies to Work For® (2015-2019)

Protiviti named one of the 'Best Firms to Work For' by Consulting Magazine (2014-2019)

Protiviti honoured with a Glassdoor Employees’ Choice Award as One of the Best Places to Work (2016, 2018)
Face the Future with Confidence