

MHA CONSULTING INC. ENTERPRISE CONTINUITY MATURITY MODEL

Do you know the maturity level of your program? Is your BCP process consistent with industry best practices? Do you have a metric to measure continued progress or the lack of it? The MHA Enterprise Continuity Maturity Model can do just that.

Overview

The MHA Consulting (MHA) Enterprise Continuity Maturity Model is a rating system to measure the maturity of a company's Business Continuity Planning (BCP) program against industry best practices as established by the Disaster Recovery Planning Institute International (DRII).

The Model

The MHA Enterprise Continuity Maturity Model is comprised of three (3) questionnaires that rank a corporation's maturity in the areas of Technical Recovery Planning (TRP) typically associated with the Information System department(s), Business Resumption Planning (BRP) typically associated with business recovery, and Enterprise Continuity Planning which is a global view of organizational preparedness. The Enterprise Continuity Maturity Model provides a method to determine where an organization ranks along the enterprise continuity planning continuum, identify major gaps/exposures and as a metric to measure progress over time. A client can use the Enterprise Continuity Maturity Model to measure all three (3) areas (Enterprise, Technical Recovery and Business Resumption) or only select areas if so desired (e.g., Company is focused on technical recovery planning for the organization and has no business resumption planning program efforts in progress).

All of the items within the three (3) questionnaires are required elements of a fully mature integrated recovery and continuity planning process based on the DRII model. The scores are based on an internal assessment of the organization by MHA and/or client personnel. The scores will provide the corporation with a good starting point to build and measure the maturity of their continuity planning process over time.

Based on the results of the evaluation and resulting scores, the MHA model ranks each of its components (e.g., Enterprise, Technical Recovery and Business Resumption) into one (1) of the six (6) maturity levels noted below using:

BCP Maturity Level	Characteristics of the Maturity Level
Level 5 Best of Breed	Effective, efficient, adaptable, exceeds recovery needs.
Level 4 Mature	Effective, efficient, adaptable, meets recovery needs.
Level 3 Capable	Effective but not necessarily efficient, beginning to meet recovery needs.
Level 2 Aware	Understand the need but not effective.
Level 1 Ad Hoc	AdHoc and Dispersed
Level 0 Non-Existent	Does Not Exist

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Criteria of Each Maturity Level

Each maturity level has associated criteria with it to define what is in line with best practices as well as what exposures exist based on deficiencies identified by the questionnaire. The sample criteria for each level of maturity can be found in Attachment A to this document.

Components Evaluated

The BCP program components evaluated by the Enterprise Continuity Maturity Model are as follows:

BCP Program Component Evaluated	Description
Governance	Management oversight and governance to strategically direct program efforts, resources and funds.
Project Management	A standard project methodology to manage the execution of the program over time.
Policies & Standards	The appropriate policies and standards are documented, approved, communicated and enforced.
Business Impact Analysis (BIA)	An industry BIA / AIA has been conducted to identify the impacts of an outage to the organization and the priority of recovery for business processes and computer systems.
Threat & Risk Assessment (TRA)	An industry standard TRA has been conducted to identify the top natural, man-made and technological threats to the organization as well as level of mitigation across the organization.
Recovery Strategy	Appropriate recovery strategies (e.g., alternate site, backup hardware, alternate network, etc.) have been identified and implemented for mission critical business processes and computer applications.
Recovery Plans	Documented, tested and maintained recovery plans are in place for mission critical business processes and computer applications.
Change Management	A process is in place to identify changes that impact the BCP program and notify the BCP Office of the changes.
Escalation & Notification	A process is in place to notify the appropriate personnel of an event that may BCP program activation. Additionally, there are methods in place to notify employees of a disruption.
Crisis Management (CM)	A process and team is in place to strategically manage the response to an unplanned disruption. The team and process is regularly exercised.
Planned Growth	Management participates in annual review of the BCP program and directs future improvements.

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Impact of Technical and Business Maturity on Enterprise Score

The model has been engineered to consider the maturity levels of the business and technical recovery areas in its Enterprise rating. A high ranking in technical recovery planning but a low business recovery maturity will lower the overall Enterprise maturity ranking or vice versa. This capability allows users to give management an overall enterprise BCP assessment as well as individual area rankings.

Sample Graphs

The Enterprise Continuity Maturity Model generates graphs of the current and predicted maturity level of each area (Enterprise, Business Recovery and Technical Recovery) based on the scores entered in the associated questionnaires. Refer to Attachment B-Sample Graph.

Users of the Maturity Model

MHA has implemented the model at a number of its clients that include the following but are not limited to:

- The Nation's #1 retailer of Guitars, Amplifiers, Drums, Keyboards, and Pro-Audio Equipment
- Leading Financial Risk Management Institution
- Largest Specialty Retailer of Services and Solutions for the Lifetime Needs of Pets
- Largest Movie Picture Exhibitor in the World
- Leading Provider of Higher Education Programs for Working Adults
- Large Regional Healthcare Organizations Across the United States
- Leading Health Insurance Provider in Illinois
- Attendees to the MHA Current State Assessment Class at the Spring and Fall Disaster Recovery Journal Conferences

How can We Get the Model?

If you have an interest in the MHA Enterprise Continuity Maturity Model and would like to investigate how it can be used to evaluate the maturity of your BCP program, you have the following options:

1. **Onsite Visit:** MHA can be onsite and within four (4) days of arriving, complete the interviews and document the management report and roadmap for improvement. Additionally, clients are taught how to use the Maturity Model and can update it on their own as time progress.
2. **DRJ Current State Assessment Class** – MHA teaches a one (1) day Current State Assessment class at the Spring and Fall Disaster Recovery Journal (www.drj.com) conferences. Attendees are taught how to use the model and document the management report/roadmap.
3. **Purchase the Model and Sample Management Report** – The model and sample management report can be purchased from MHA on a site or enterprise basis. Contact MHA for pricing.

For more information and pricing, please contact us at info@mha-it.com or at 602-708-1718.

MHA CONSULTING INC. ENTERPRISE CONTINUITY MATURITY LEVEL MODEL CRITERIA

Attachment A-Sample Maturity Level Criteria

Level 0 "Non-Existent"	Level 1 "Ad-Hoc"	Level 2 "Aware"	Level 3 "Capable"	Level 4 "Mature"	Level 5 "Best of Class"
<ul style="list-style-type: none"> ◆ BCP readiness in non-existent across the organization. ◆ BCP is not a corporate priority. 	<ul style="list-style-type: none"> ◆ BCP readiness is low across the organization. ◆ BCP resources (internal/external) may have been made available to support corporate continuity efforts. ◆ Senior management does not make BCP a priority. 	<ul style="list-style-type: none"> ◆ BCP readiness remains low across the organization. ◆ BCP resources (internal or external) deliver continuity services to the organization. ◆ Management is evaluating the need for BCP at the organization. ◆ The BCP process and methodology has been defined for the organization. ◆ Business continuity plan formats have been designed and approved by management. ◆ The Business Impact Analysis (BIA) has been drafted and distributed to business units for completion. 	<ul style="list-style-type: none"> ◆ BCP readiness is moderate across the organization. ◆ Management is committed to the importance of BCP. ◆ Business units adhere to the BCP policy and its standards. ◆ BCP is a component of the corporate budget. ◆ Senior management meets on a regular basis to review the BCP program and provide management oversight. ◆ Company escalation procedures incorporate the BCP process. ◆ Recovery time objectives have been established for critical business units and associated computer systems/applications. ◆ Data backup/offsite storage matches recovery point objectives of critical systems/applications. ◆ Threat Assessments have been conducted at key sites to identify critical exposures. ◆ BCP is now a part of the IT and Business change control processes. ◆ Business continuity plans have/or are being developed for critical units and applications. ◆ Critical business units have conducted initial exercises of their plans. 	<ul style="list-style-type: none"> ◆ BCP readiness is high across the organization. ◆ The BCP program has no major audit findings. ◆ A multi-year BCP roadmap is regularly updated and followed by management to ensure continuous improvement of the program. ◆ Management participates in regular crisis management mock disaster exercises. ◆ Testing of all business and technical unit recovery plans has been completed. ◆ Major Risk & Threat Assessment exposures have been mitigated or eliminated. ◆ Business and technical units regularly participate in integrated exercises. ◆ The BIA and Risk & Threat Assessment are regularly updated. ◆ Business continuity plans are regularly updated. ◆ BCP education and communication is comprehensive and regular. 	<ul style="list-style-type: none"> ◆ BCP readiness is extremely high across the organization. ◆ Business and technical recovery strategies have been proven to recover complex business and technical unit processes. ◆ Business and technical units successfully exercise upstream and downstream integration of their recovery plans. ◆ BCP is a key component of the IT and Business change control processes ensuring a high state of readiness.

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Attachment B – Sample Questions

Maturity Component	Maturity Standard	Yes / No	Status	Current State 03/01/08	Future State 08/28/08
GOVERNANCE	A Project Sponsor has been identified and is responsible for guiding the long-term direction of the program.	NO		0	0
	BCP Governance Council has been identified and is responsible guiding the long-term direction of the program.	NO		0	0
	The BCP Governance Council meets on a regularly scheduled basis to review the progress of the BCP program.	NO		0	0
	A BCP office has been established to centrally deliver governance and support services to the enterprise.	NO		0	0
	Business units are mandated to follow the established Business Continuity Planning policies and standards.	NO		0	0
PROJECT MANAGEMENT AND STATUS	A project management methodology has been implemented to govern the business continuity-planning program on an on-going basis.	NO		0	0
	A project plan and BCP program guide has been documented and is updated regularly to govern the activities of the program.	NO		0	0
	BCP status reports have been drafted and adopted by the BCP Governance Council.	NO		0	0
	BCP Governance Council presentations are held on a regular basis to provide program status updates.	NO		0	0
POLICIES AND STANDARDS	Business Continuity Planning policies and standards have been drafted and approved.	NO		0	0
	The BCP policy has been reviewed with participating divisions and business units.	NO		0	0
	Senior management and the participating business units enforce the adopted Business Continuity Planning policies.	NO		0	0

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Attachment C-Sample Current & Future State

