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CONDUCTING THE BIA

Michael Herrera

CEO, MHA Consulting

May 13, 2020

COMPANY BACKGROUND

KEY FACTS

20+
Years in operation.

20
Average years industry experience.

CAPABLE
Comprehensive suite of services.

GLOBAL
Diverse, global client base.

SAAS
Compliance and risk tools.

SENIOR LEADERSHIP

MHA Consulting's senior team has an average of over 20 years of industry relevant experience in the areas of Business Continuity, Disaster Recovery, and Project Management.

Michael A. Herrera, CBCP
Chief Executive Officer
Phoenix, Arizona
www.mha-it.com
https://bcmmetrics.com/

- A 20-year plus proven track record of applying industry standards and best practices across a diverse pedigree of clients.
- A simple mission: Ensure the continuous operations of our clients' critical processes.
- We seek to partner with clients who have a commitment to BCM versus a check the box mentality.
- SaaS Tools: BIA On-Demand, Planner, Compliance Confidence, Residual Risk, and BCM One.

DIVERSE GLOBAL CLIENT BASE

SERVICES

- Early Warning Services
- LifeLock
- ATS American Traffic Solutions
- BlueCat
- Keller Williams
- Mortenson
- Port of Benton
- Zachry

HEALTHCARE

- Amgen
- CVS Health
- Carle
- NuVasive
- MemorialCare
- Phoenix Children's Hospital
- Medtronic
- MIHS Maricopa Integrated Health System
- PeaceHealth

EDUCATION

- ASU
- Maricopa Community Colleges
- Johnson & Wales University
- Tulane University
- The Catholic University of America
- Remember Rejoice Renew
- PLI Practising Law Institute

FINANCIAL INSTITUTIONS

- American Express
- PenFed Credit Union
- Elevations Credit Union
- Stripe
- Charles Schwab
- Desert Financial Credit Union
- Mosaic
- Square
- FCS Financial
- Western & Southern Financial Group
- Mercedes-Benz Financial Services

CONSUMER PRODUCTS

- BJ's
- WSS
- HNI
- GameStop
- Auction Frontier
- Nestlé
- PetSmart
- ComplianceMate
- Henkel

INSURANCE

- Mutual of Omaha
- Health Alliance
- Federated Insurance
- CopperPoint Mutual Insurance Company
- BlueCross BlueShield of Arizona
- WageWorks
- Centene Corporation
- TriWest Healthcare Alliance

TRAVEL & ENTERTAINMENT

- MGM Resorts International
- Harrah's Entertainment, Inc.
- Welk Resorts
- Regal Entertainment Group
- SkyWest Airlines
- AAA
- Concord Music
- ICE

GOVERNMENT/UTILITY

- City of Tempe Arizona
- PNM
- CAP Central Arizona Project
- Idaho Power
- Town of Newtown
- NASA
- Albuquerque
- Surprise Arizona

THE QUESTIONNAIRE

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DETERMINING THE APPROACH

METHODS

01

Questionnaires

02

Facilitated interview method

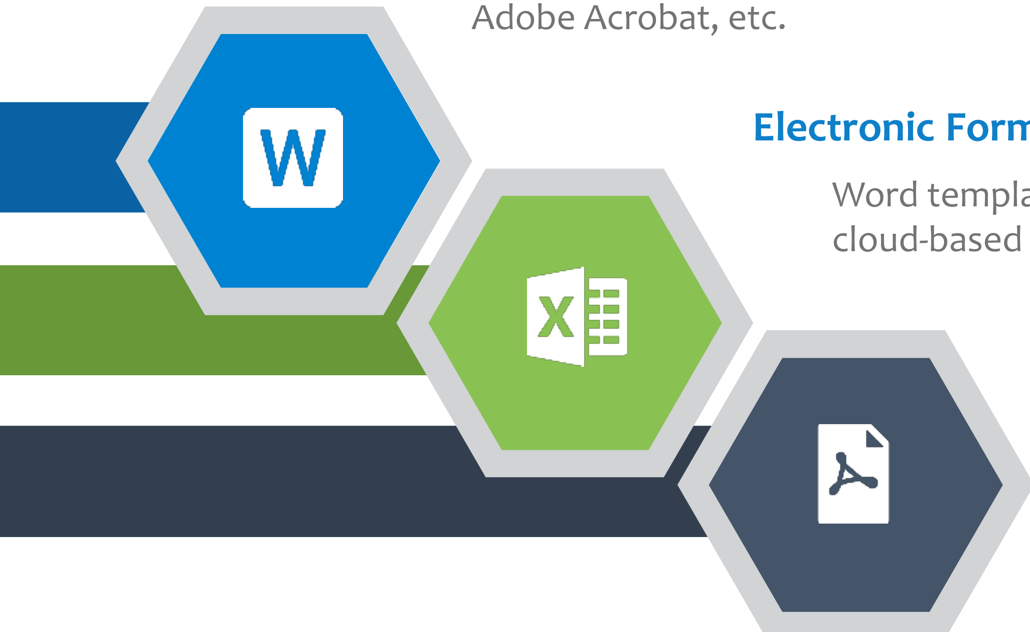
03

Workshop method

- The questionnaire is the **CORNERSTONE** of the BIA.
- A questionnaire must be created to **STANDARDIZE THE INFORMATION** being requested and should be used when requesting that information.
- Using a questionnaire can be an **EFFICIENT AND TIMESAVING** data gathering approach.

- It can also be a nightmare if:
  - Incomplete instructions are included with the questionnaire.
  - Assumptions that will be used during the process are not properly explained.
  - A lack of training and support can also be a major obstacle.
  - Too complex and voluminous.

QUESTIONNAIRES CAN BE IN DIFFERENT FORMATS



Paper Forms

Created in any media - Word, Excel, Adobe Acrobat, etc.

Electronic Format

Word templates, Excel-based forms, BIA cloud-based program tools

For illustrative purposes, we will be using screen shots from our BIA On-Demand tool but the concepts are valid if you use Excel, etc.

ELEMENTS OF A GOOD QUESTIONNAIRE

DESIGN TIPS AND TRAPS

LESS is more.

Don't make **THE BIA** do more than its mission.

Use **RELEVANT AND APPROPRIATE** questions.

Keep the design **NEAT, CLEAN AND SIMPLE**.

Provide instructions that are **COMPLETE** and easy to understand.

Keep the language **SIMPLE AND CLEAR**.

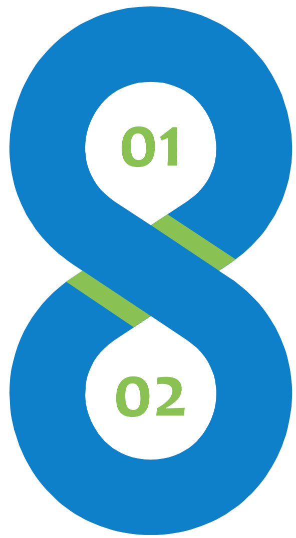
Minimize effort to **ENTER AND EXTRACT** information.

THE PILOT QUESTIONNAIRE

- Before any questionnaire is widely distributed, TEST IT!
- Test the questionnaire among a small group of managers or process owners who would normally be the target audience for your BIA.
- This is your quality assurance group.

REVIEW: DESIGNING THE QUESTIONNAIRE

The questionnaire is the cornerstone of the BIA.



Must be easy to understand and complete while still meeting objectives and industry best practices.

METHODS OF DATA GATHERING

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METHODS OF DATA GATHERING

INTERVIEW METHOD

01 Interviews are time consuming, but they provide the **best quality information.**

02 Be sure to document the questions you'll be asking. You'll need to **ask the same questions** at each interview.

03 **Be consistent.** Predetermine the structure, agenda and timing of the interview.

04 Use **one person to facilitate** and **one to enter data** into the questionnaire.

05 Be prepared for interviewees to **not be ready.**

INTERVIEW METHOD

06 Send BIA pre-work out **2 weeks prior** to the interview so it can be completed before the interview.

07 **Upload** the completed pre-work into the BIA questionnaire.

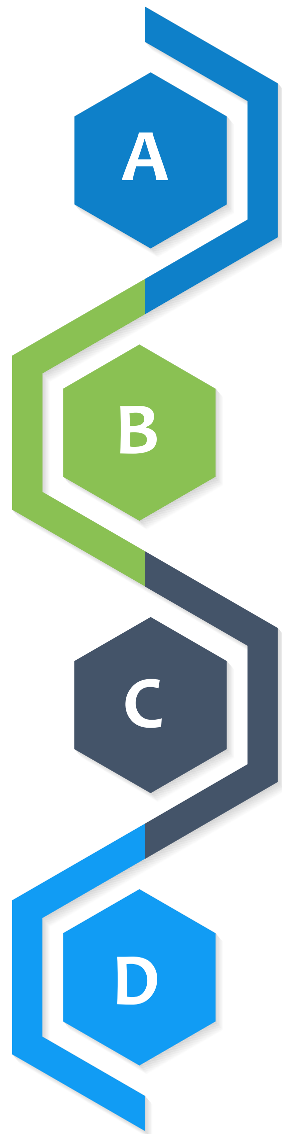
08 How long will it take? It can take as long as **1.5 to 2.0 hours** to complete a BIA interview.

09 **One-on-one** interviews yield the best data.

10 Provide **reference material** at the interview sessions.

11 Schedule **no more than 3 interviews** in a day.

DISSECTING THE INTERVIEW



Define the **PURPOSE** of the interview and BIA process.

Establish **RAPPORT** with interviewees.

DEFINE what information is being sought (impacts, systems, dependencies, etc.)

Explain key assumptions that will be used when completing the BIA:

- Disruption is disaster neutral.
- No recovery plans or capability exist.
- Occurs at peak processing time.

DISSECTING THE INTERVIEW

Define what kinds of **QUANTITATIVE AND QUALITATIVE** information you're seeking.

Don't get bogged down in the **MINUTIA**.

Work the interview in a **SYSTEMATIC** manner.

RETURN for more information, or have it sent to you, if needed.

WORKSHOP METHOD

Workshop-style data gathering sessions are another way to meet with large numbers of **BIA** participants at one time.

Train the trainer.

Meeting size should be limited to **a manageable number.**

Send out kickoff communication with management signature.

Distribute BIA information at least **2 weeks** ahead of time.

METHODS OF DATA GATHERING

INTERVIEW

- Time consuming
- Provides best information
- Small groups
- 1.5 to 2.0 hours to complete

WORKSHOP

- Train the trainer
- Large groups
- 15 to 20 per workshop
- Used infrequently.

BIA TOOLS: THE QUESTIONNAIRE

Tool used to complete the BIA for each business unit.

Inventories business unit information (e.g., name, systems, dependencies).

Allows for **multiple business functions** (processes).

Calculates RTOs for each business process based on the quantitative and qualitative impacts.

Must be **set up** before interviews or workshops are conducted.

BIA TOOLS: THE QUESTIONNAIRE

The following information **MUST** be reviewed, decided upon and approved by management in order to set up any BIA tool:

- Quantitative Impact Categories
- Qualitative Impact Categories
- Weighting of Impact Categories
- Financial Impact Scale(s)
- Recovery Time Objective (RTO) Categories
- Recovery Point Objective (RPO) Categories

BUSINESS UNITS PARTICIPATING IN THE STUDY SHOULD BE DECIDED AS WELL.

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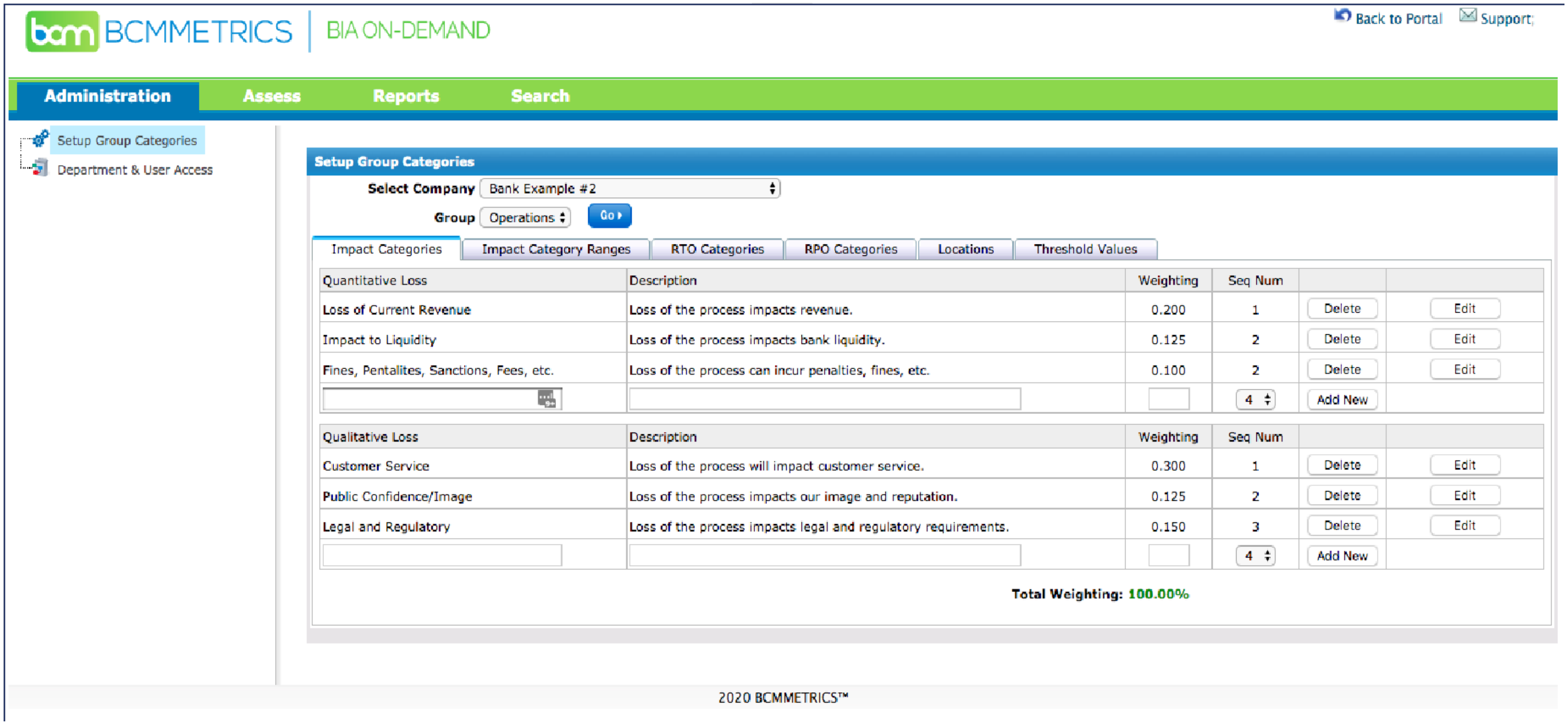
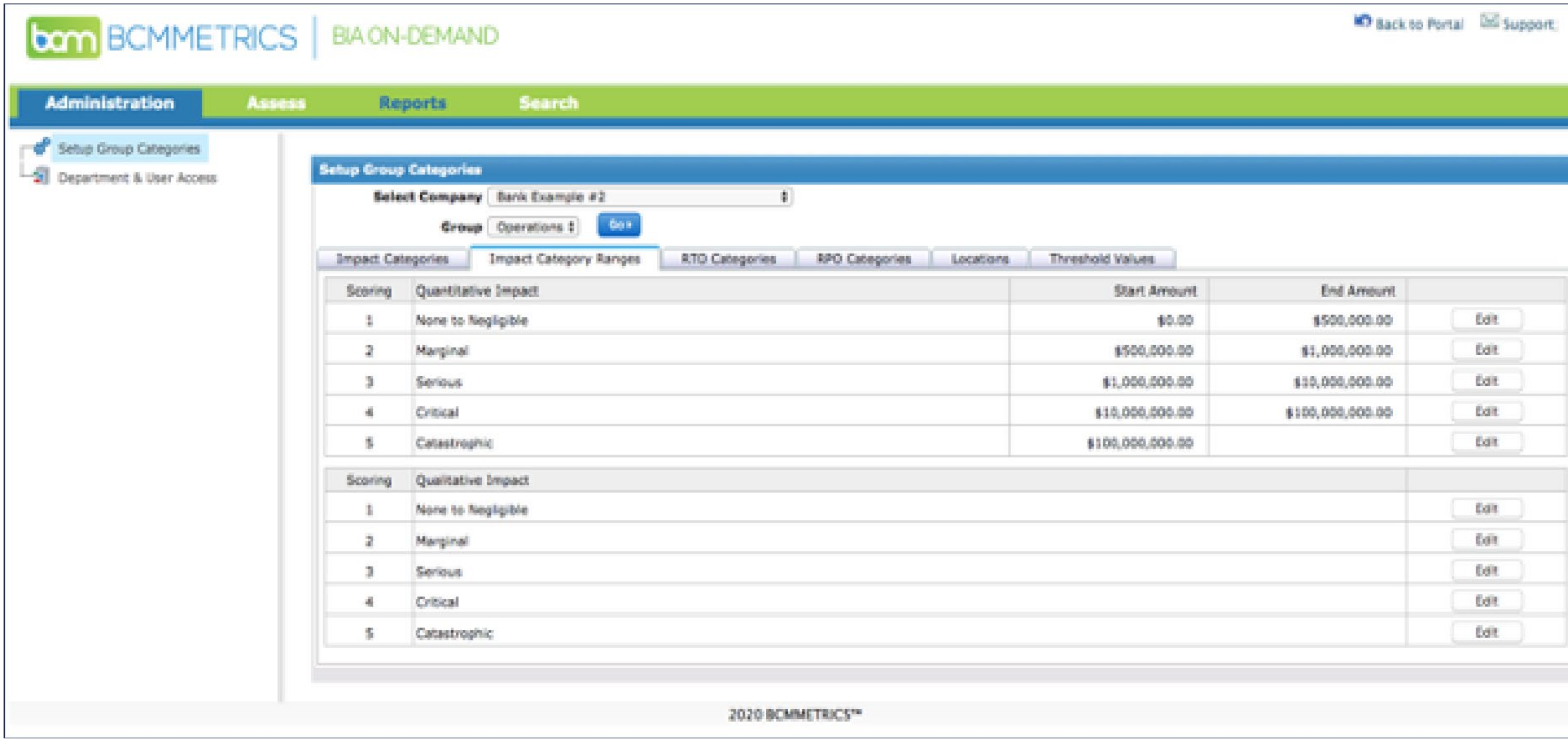
SETUP YOUR TOOL

IMPACT CATEGORIES



FINANCIAL IMPACT RANGES



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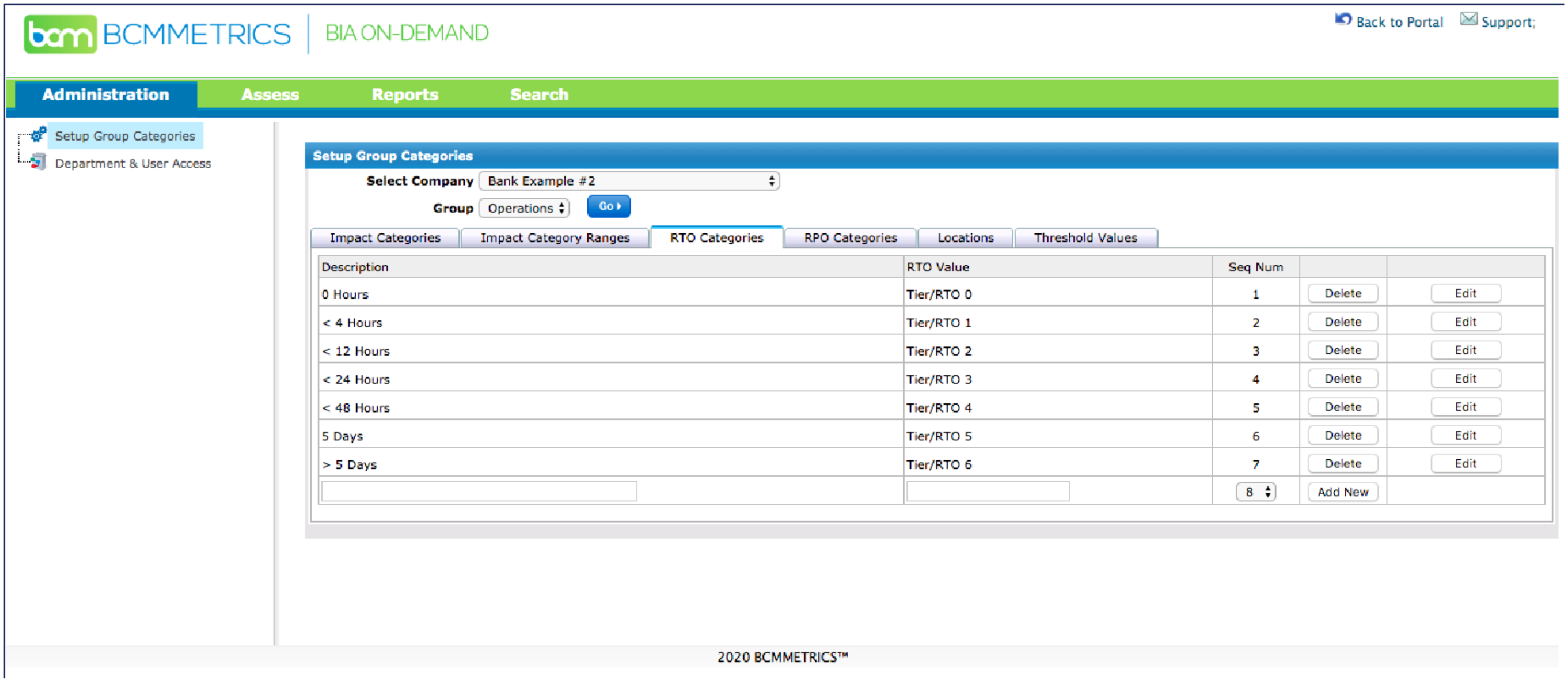
ESTABLISH RECOVERY TIME OBJECTIVES



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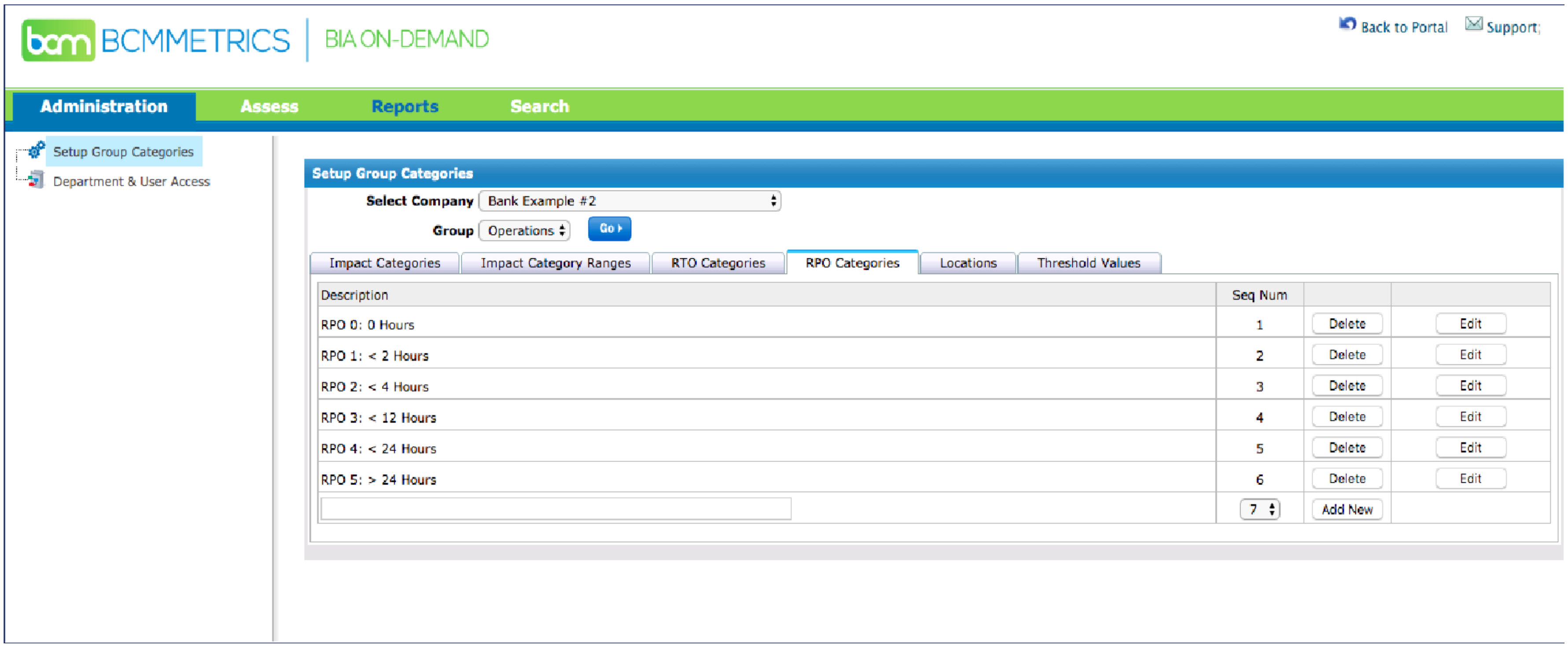
ESTABLISH RECOVERY POINT OBJECTIVES



PREPARATION & PRE-WORK

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KICKOFF COMMUNICATION

01

Send to participants at least 4 weeks before interview/workshop.

03

Outline information that will be required (pre-work).

02

Outline participant responsibilities and time commitments.

THE PRE-WORK

Send to participants at least **2 WEEKS** before interview/workshop.

Business unit **INFORMATION**

Existence of **DEPENDENCIES.**

Key **BUSINESS FUNCTIONS** (activities)

LEGAL AND REGULATORY requirements

Supporting **SYSTEMS, APPLICATIONS AND EQUIPMENT**

Business units should take no more than 30 minutes to complete. Make sure it's complete.

Should be returned to you at least one week before the interview/workshop.

THE PRE-WORK

INSTRUCTIONS:

Complete all sections of the **BIA** pre-work requirement sheet prior to the BIA interview.

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Business Impact Analysis
Pre-Work Questionnaire

Refer to the link for an example of a completed BIA Pre-Work Questionnaire

Section I

Complete all sections specific to your department.

Department Name:	Ambulatory
Department Description:	
Number of Staff/Employees:	
Location(s) & Hours of Operation:	

Section II

1. **Critical Business Processes:** Identify business processes that are critical to your department's day-to-day operation that if off-line would significantly impact revenue generation, customer service and/or employees. For purposes of this exercise, it is suggested that no more than 5 critical processes be identified.
2. **Technology:** Include the associated systems/applications required to support each critical process. IT infrastructure (e.g., Internet, Email, servers, etc.) does not need to be listed.
3. **Equipment/Supplies:** Identify special equipment/supplies (e.g., bank tokens/fobs, check stock) required to support each critical process. Laptops and/or desktops, desk/cell phones and work stations do not need to be listed.
4. **Dependencies:** Identify internal/external dependences for each critical process. IT is an assumed dependency and does not need to be listed.

** When entering more than one component in each field (e.g., technology, etc.) separate using a (comma).

Name of Critical Process #1:	
Brief Description:	
Systems/Applications:	
Special Equipment:	
Internal Dependencies:	
External Dependencies:	

Maximum of 5 to 7 critical business functions.

EXAMPLE OF COMPLETED PRE-WORK SHEET

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Business Impact Analysis
Pre-Work Questionnaire

Refer to the link for an example of a completed BIA Pre-Work Questionnaire

Section I

Complete all sections specific to your department.

Department Name:	Finance & Accounting
Department Description:	Manage and prepare payroll files for submission to Paylocity Payroll Services for processing. Other critical activities include Financial Reporting and Accounting activities
Number of Staff/Employees:	Total of (4) Full-Time and (2) Part-Time
Location(s) & Hours of Operation:	Austin, TX (HQ), 9:00 AM - 5:00 PM (CST)

Section II

1. **Critical Business Processes:** Identify business processes that are critical to your department's day-to-day operation that if off-line would significantly impact revenue generation, customer service and/or employees. For purposes of this exercise, it is suggested that no more than 5 critical processes be identified.
2. **Technology:** Include the associated systems/applications required to support each critical process. IT infrastructure (e.g., Internet, Email, servers, etc.) does not need to be listed.
3. **Equipment/Supplies:** Identify special equipment/supplies (e.g., bank tokens/fobs, check stock) required to support each critical process. Laptops and/or desktops, desk/cell phones and work stations do not need to be listed.
4. **Dependencies:** Identify internal/external dependences for each critical process. IT is an assumed dependency and does not need to be listed.

** When entering more than one component in each field (e.g., technology, etc.) separate using a (comma).

Name of Critical Process #1:	Payroll Management
Brief Description:	Gather data files bi-weekly, prepare, approve and upload to Paylocity processing.
Systems/Applications:	Dynamics, Box Enterprise, Paylocity (website)
Special Equipment:	Bank Tokens/Fobs, Dual Authentication Tokens
Internal Dependencies:	Treasury Department, Human Resources
External Dependencies:	Paylocity, Wells Fargo Bank

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THE UPLOAD

Upload the completed pre-work to your tool

For each business unit, upload the completed pre-work to your tool after you have reviewed and validated the data and information:

01 Key **BUSINESS PROCESSES**

02 **DEPENDENCY** requirements

03 Supporting **SYSTEMS, APPLICATIONS AND EQUIPMENT**

04 **SPECIALIZED EQUIPMENT**

Takes less than 30 minutes to complete.

Upload the data to your tool

You are now ready for the interview.

CONDUCTING THE INTERVIEW

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PREPARATION

01 Schedule conference room/video conferencing for participants and your team (facilitator, scribe, technology liaison).

02 Make sure you will have a screen and /or ready to display the questionnaire.

03 Schedule 1.5 to 2.0 hours per interview; give yourself at least 15 minutes between each interview.

04 Confirm attendance one week before the interview with all participants.

05 Provide copies of BIA reference materials (Overview, Financial Impacts, etc.) at all interviews.

STEPS IN THE INTERVIEW

01

BIA overview

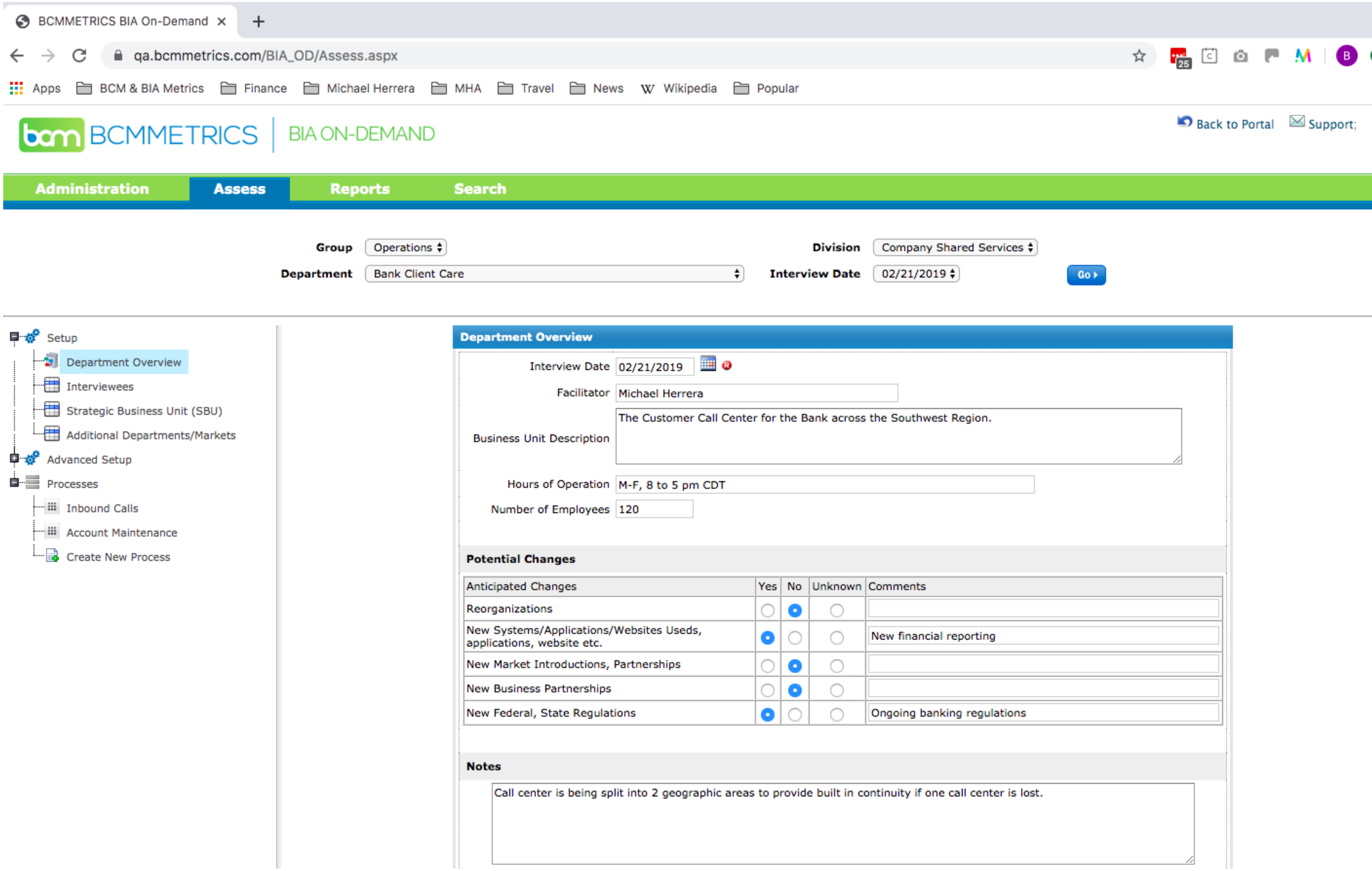
02

Review and confirm department information

03

For each process:

- Confirm process name
- Identify dollar and non-dollar impacts
- Determine computer systems/applications
- Define RPOs for core systems/applications
- Define manual workarounds
- Determine dependencies (internal/external)
- Identify vital records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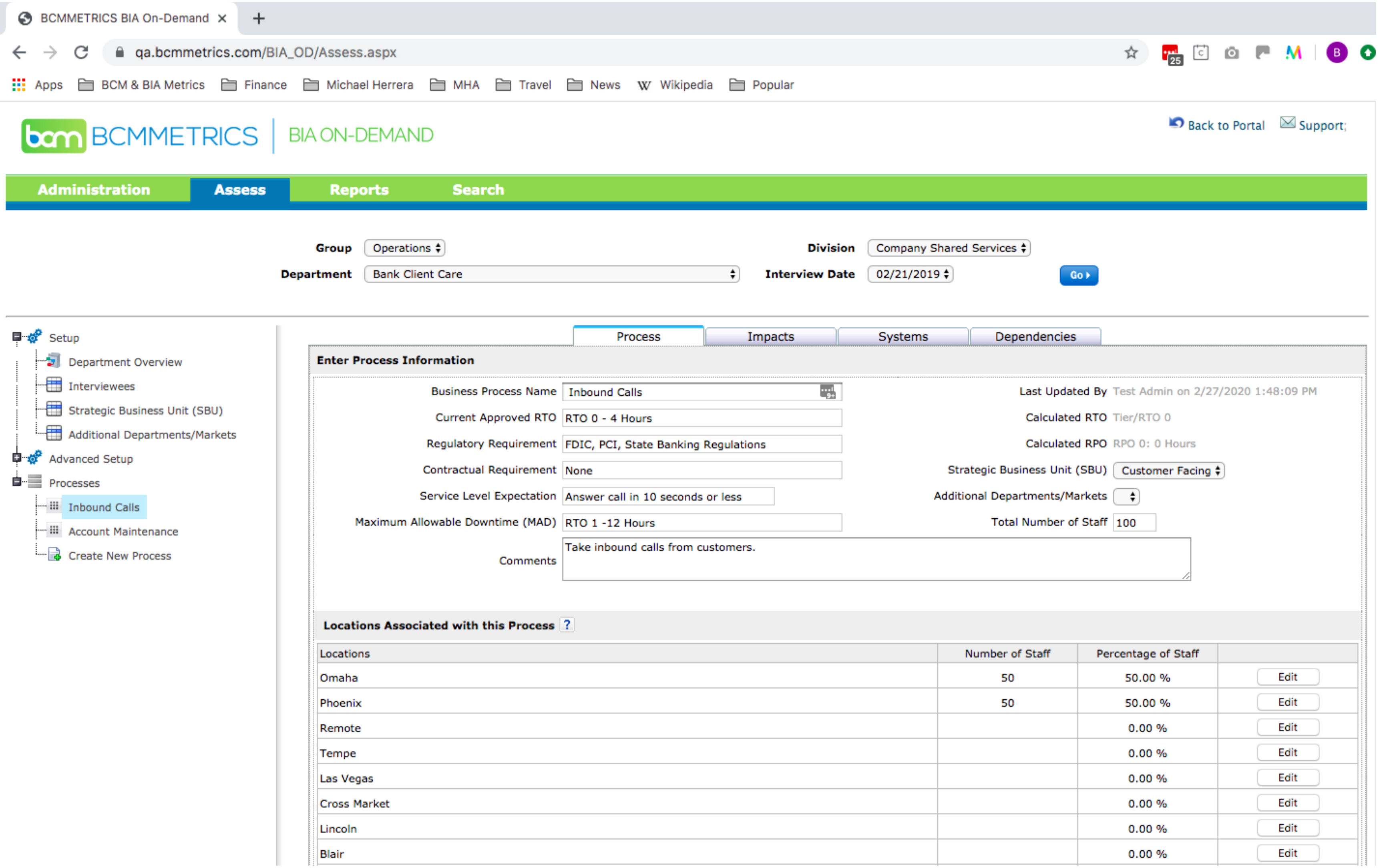
Search
Group
Operations
Division
Company Shared Services
Department
Bank Client Care
Interview Date
02/21/2019
Go
Setup
Department Overview
Interviewees
Strategic Business Unit (SBU)
Additional Departments/Markets
Advanced Setup
Processes
Inbound Calls
Account Maintenance
Create New Process
Department Overview
Interview Date
02/21/2019
Facilitator
Michael Herrera
Business Unit Description
The Customer Call Center for the Bank across the Southwest Region.
Hours of Operation
M-F, 8 to 5 pm CDT
Number of Employees
120
Potential Changes
Anticipated Changes
Yes
No
Unknown
Comments
Reorganizations
New Systems/Applications/Websites Useds, applications, website etc.
New financial reporting
New Market Introductions, Partnerships
New Business Partnerships
New Federal, State Regulations
Ongoing banking regulations
Notes
Call center is being split into 2 geographic areas to provide built in continuity if one call center is lost.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Additional Departments/Markets
Advanced Setup
Processes
Inbound Calls
Account Maintenance
Create New Process
Process
Impacts
Systems
Dependencies
Enter Process Information
Business Process Name
Inbound Calls
Current Approved RTO
RTO 0 - 4 Hours
Regulatory Requirement
FDIC, PCI, State Banking Regulations
Contractual Requirement
None
Service Level Expectation
Answer call in 10 seconds or less
Maximum Allowable Downtime (MAD)
RTO 1 -12 Hours
Comments
Take inbound calls from customers.
Last Updated By
Test Admin on 2/27/2020 1:48:09 PM
Calculated RTO
Tier/RTO 0
Calculated RPO
RPO 0: 0 Hours
Strategic Business Unit (SBU)
Customer Facing
Additional Departments/Markets
Total Number of Staff
100
Locations Associated with this Process
Locations
Number of Staff
Percentage of Staff
Omaha
50
50.00 %
Edit
Phoenix
50
50.00 %
Edit
Remote
0.00 %
Edit
Tempe
0.00 %
Edit
Las Vegas
0.00 %
Edit
Cross Market
0.00 %
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Lincoln
0.00 %
Edit
Blair
0.00 %
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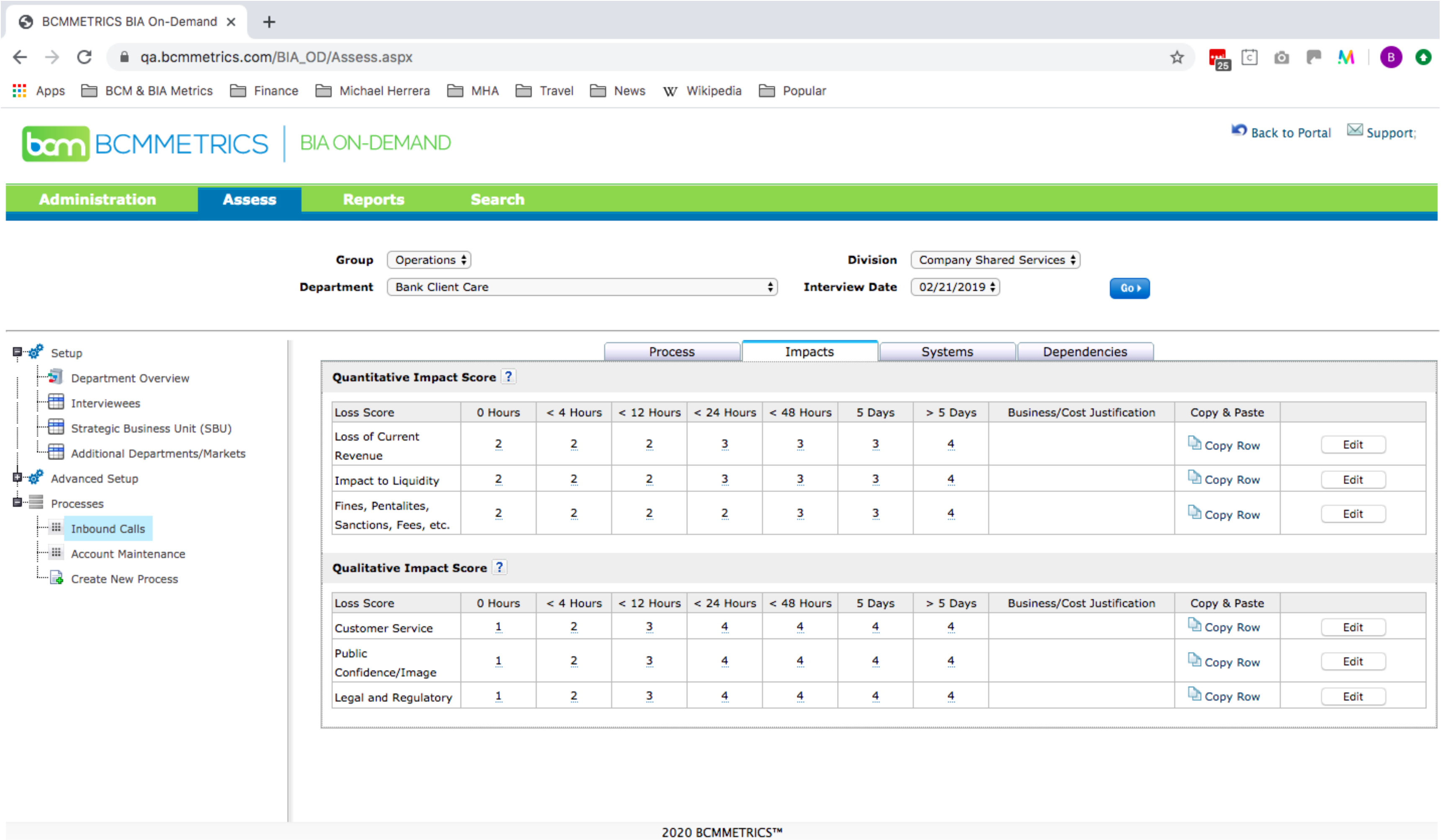
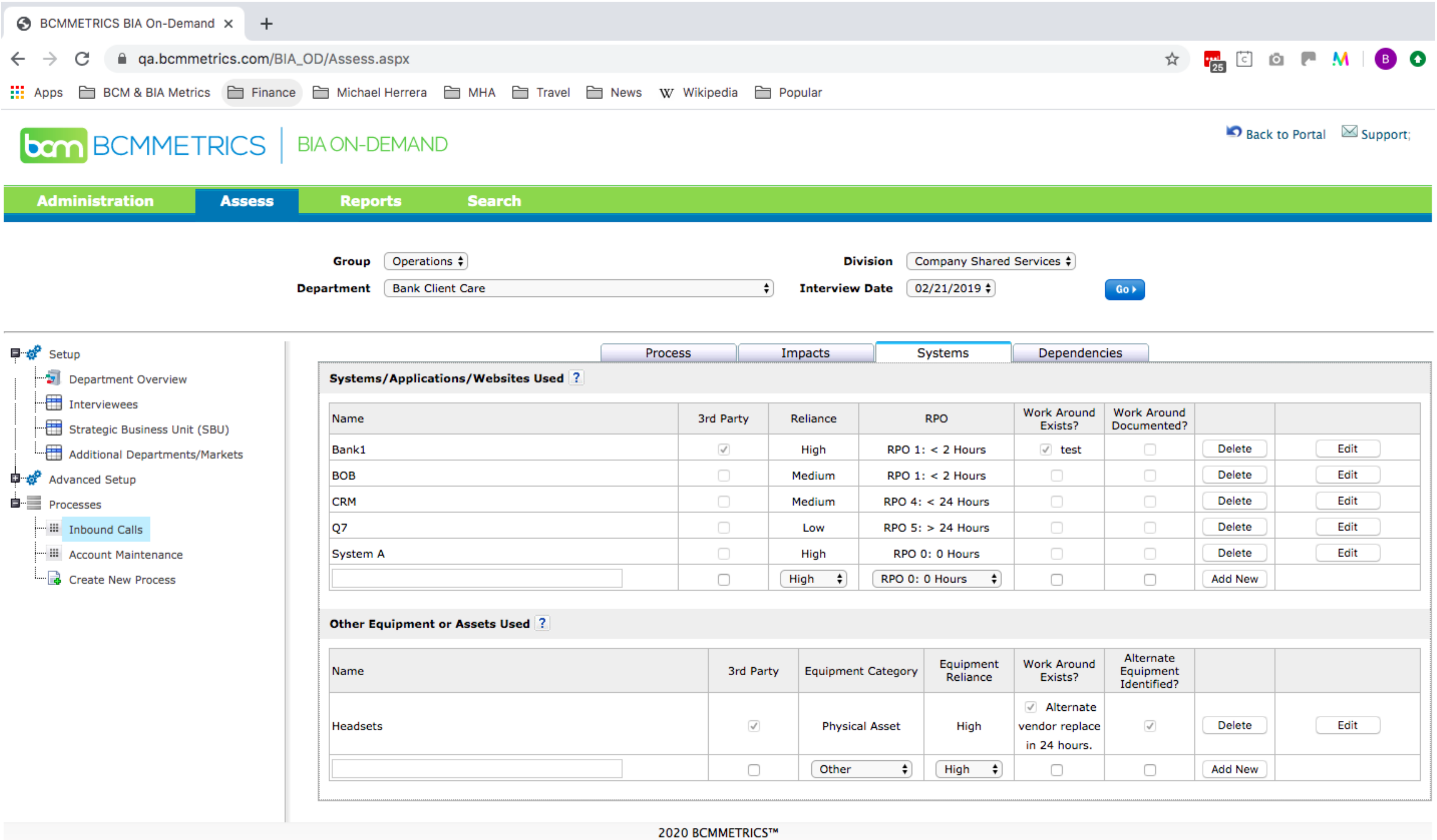


Loss Score	0 Hours	< 4 Hours	< 12 Hours	< 24 Hours	< 48 Hours	5 Days	> 5 Days	Business/Cost Justification	Copy & Paste	
Loss of Current Revenue	2	2	2	3	3	3	4		Copy Row	Edit
Impact to Liquidity	2	2	2	3	3	3	4		Copy Row	Edit
Fines, Pentalites, Sanctions, Fees, etc.	2	2	2	2	3	3	4		Copy Row	Edit

Loss Score	0 Hours	< 4 Hours	< 12 Hours	< 24 Hours	< 48 Hours	5 Days	> 5 Days	Business/Cost Justification	Copy & Paste	
Customer Service	1	2	3	4	4	4	4		Copy Row	Edit
Public Confidence/Image	1	2	3	4	4	4	4		Copy Row	Edit
Legal and Regulatory	1	2	3	4	4	4	4		Copy Row	Edit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Strategic Business Unit (SBU)
Additional Departments/Markets
Advanced Setup
Processes
Inbound Calls
Account Maintenance
Create New Process
Process Impacts Systems Dependencies
Systems/Applications/Websites Used ?
Name | 3rd Party | Reliance | RPO | Work Around Exists? | Work Around Documented?
Bank1 | High | RPO 1: < 2 Hours | test | Delete | Edit
BOB | Medium | RPO 1: < 2 Hours | Delete | Edit
CRM | Medium | RPO 4: < 24 Hours | Delete | Edit
Q7 | Low | RPO 5: > 24 Hours | Delete | Edit
System A | High | RPO 0: 0 Hours | Delete | Edit
High | RPO 0: 0 Hours | Add New
Other Equipment or Assets Used ?
Name | 3rd Party | Equipment Category | Equipment Reliance | Work Around Exists? | Alternate Equipment Identified?
Headsets | Physical Asset | High | Alternate vendor replace in 24 hours. | Delete | Edit
Other | High | Add New
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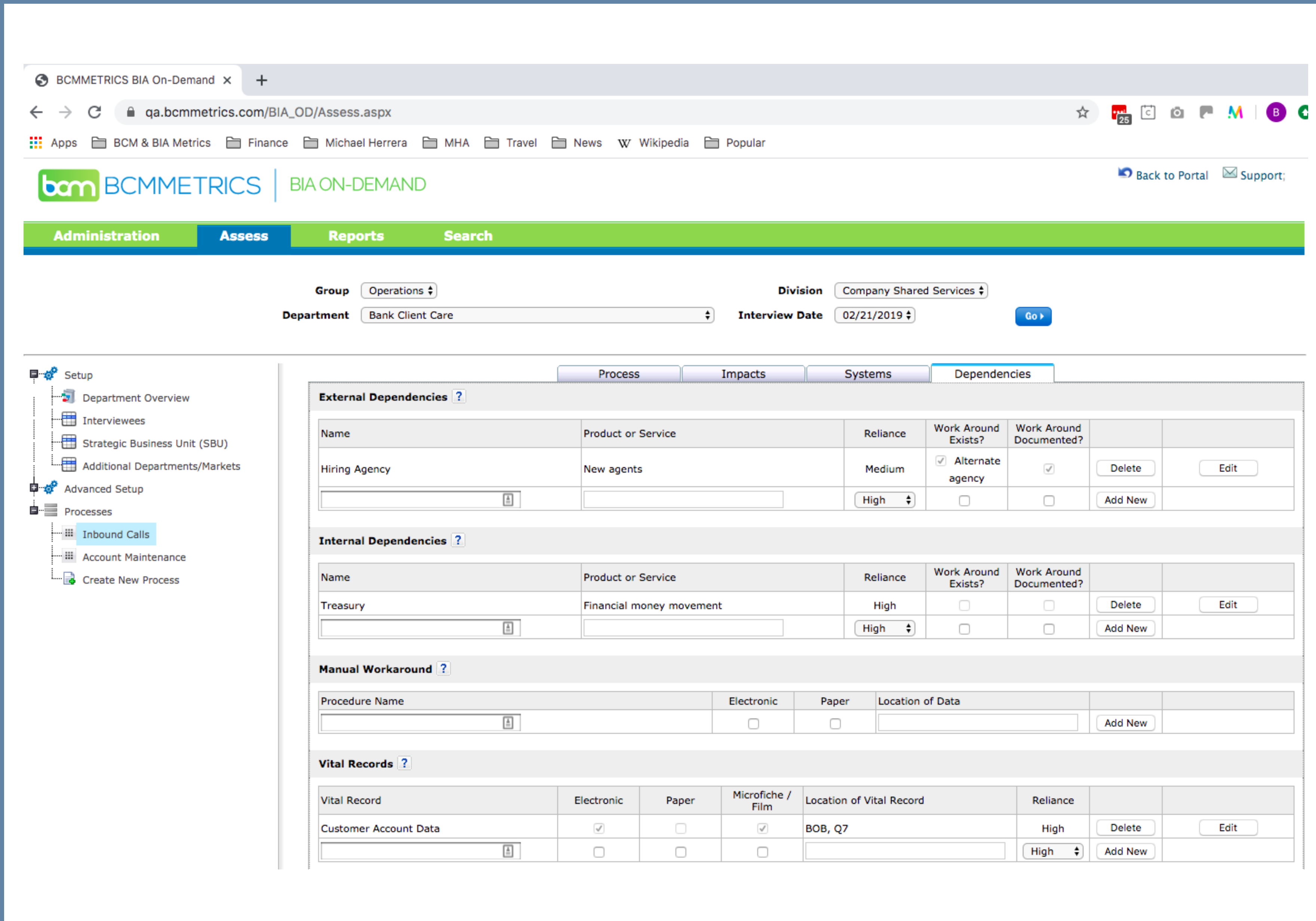
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Process
Impacts
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Dependencies
External Dependencies ?
Name
Product or Service
Reliance
Work Around Exists?
Work Around Documented?
Hiring Agency
New agents
Medium
Alternate agency
Delete
Edit
High
Add New
Internal Dependencies ?
Name
Product or Service
Reliance
Work Around Exists?
Work Around Documented?
Treasury
Financial money movement
High
Delete
Edit
High
Add New
Manual Workaround ?
Procedure Name
Electronic
Paper
Location of Data
Add New
Vital Records ?
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Delete
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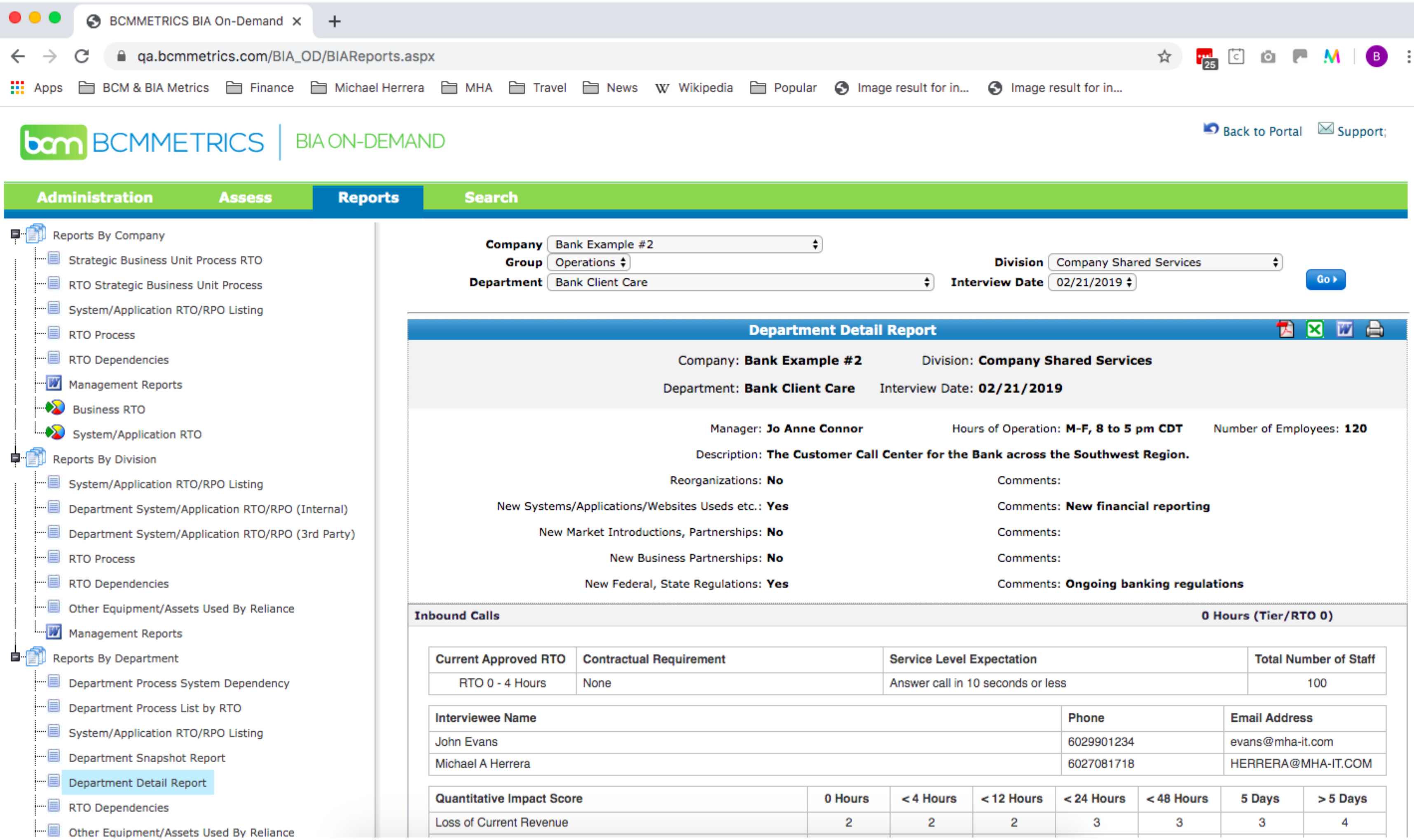
High
Add New



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- Reports By Company
  - Strategic Business Unit Process RTO
  - RTO Strategic Business Unit Process
  - System/Application RTO/RPO Listing
  - RTO Process
  - RTO Dependencies
  - Management Reports
  - Business RTO
  - System/Application RTO
- Reports By Division
  - System/Application RTO/RPO Listing
  - Department System/Application RTO/RPO (Internal)
  - Department System/Application RTO/RPO (3rd Party)
  - RTO Process
  - RTO Dependencies
  - Other Equipment/Assets Used By Reliance
  - Management Reports
- Reports By Department
  - Department Process System Dependency
  - Department Process List by RTO
  - System/Application RTO/RPO Listing
  - Department Snapshot Report
  - Department Detail Report
  - RTO Dependencies
  - Other Equipment/Assets Used By Reliance

Company Bank Example #2
Group Operations
Division Company Shared Services
Department Bank Client Care
Interview Date 02/21/2019
Go

Department Detail Report

Company: **Bank Example #2** Division: **Company Shared Services**

Department: **Bank Client Care** Interview Date: **02/21/2019**

Manager: **Jo Anne Connor** Hours of Operation: **M-F, 8 to 5 pm CDT** Number of Employees: **120**

Description: **The Customer Call Center for the Bank across the Southwest Region.**

Reorganizations: **No** Comments:

New Systems/Applications/Websites Useds etc.: **Yes** Comments: **New financial reporting**

New Market Introductions, Partnerships: **No** Comments:

New Business Partnerships: **No** Comments:

New Federal, State Regulations: **Yes** Comments: **Ongoing banking regulations**

Inbound Calls **0 Hours (Tier/RTO 0)**

Current Approved RTO	Contractual Requirement	Service Level Expectation	Total Number of Staff
RTO 0 - 4 Hours	None	Answer call in 10 seconds or less	100

Interviewee Name	Phone	Email Address
John Evans	6029901234	evans@mha-it.com
Michael A Herrera	6027081718	HERRERA@MHA-IT.COM

Quantitative Impact Score	0 Hours	< 4 Hours	< 12 Hours	< 24 Hours	< 48 Hours	5 Days	> 5 Days
Loss of Current Revenue	2	2	2	3	3	3	4

STEPS IN THE INTERVIEW

01

Get **agreement** on process RTOs and RPOs.

02

Confirm all data has been gathered.

03

Complete the BIA interview.

04

Identify any **related exposures** as part of the interview process.

05

Capture notes and observations from the interview for the management report.

06

Advise participants that you will send the completed BIA to them for **final review and approval.**

THE FINAL RESULTS

RTO 0 Recovered within 10 Minutes	RTO 1 Recovered within 4 Hours	RT0 2 Recovered within 24 Hours	RTO 3 Recovered within 72 Hours	RTO 4 Recovered within 14 Days
Facilities Operations Plant Operations **Physical Security** Badging and Access Control Security Communications Center	**Ambulatory** Laboratory Pharmacy Radiology Scheduling **Behavior Health** InPatient Services Staff Scheduling **Clinical Imaging** Exam Orders Image Acquisition & Procedure Prior Authorization & Scheduling **Clinical Laboratory** Diagnostic Laboratory Testing **Emergency Department** Documentation Patient Care & Treatment Patient Flow Physical Asset Management Staff Scheduling	**Behavior Health** OutPatient Services **Clinical Imaging** Distribution, Dictation & Reporting **Environmental Services** Hospital Bed Management Waste Management **Finance & Accounting** Payroll Processing **Health Information Management** Chart Completion Coding Release of Information (ROI) **Human Resources** Human Resources Data Management Total Rewards - Compensation **Internal Transport** Non-Patient Transport	**Finance & Accounting** Accounts Payable **Human Resources** Organizational Compliance & Development Total Rewards - Benefits Text **Internal Transport** Text Equipment Roundup **Patient Access Services** Revenue Cycle/Business Intelligence Analytics **Patient Financial Services** Cash Posting	**Facilities Operations** Engineering and Construction **Finance & Accounting** Accounting **Human Resources** Talent Acquisition **Patient Financial Services** Billing Collections Refunds **Procurement and Purchasing** Contract Management Cooperative Procurement Solicitation Management

THANK YOU

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