


VALIDATING THE RESILIENCY OF YOUR RECORDS MANAGEMENT SOFTWARE

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Agenda

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 - Scope
 - Partnering With Business Continuity
 - Partnering With IT
 - Gap Assessments
 - Exercising Your Processes
 - Q&A
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Introduction

Reid Consulting specializes in helping organizations protect their people, property, products and services.

We do this by assisting those organizations to author, administer, and audit their in-house business continuity and disaster recovery programs.



Scope

- Records Management, Document Management, Enterprise Content Management, etc. etc. etc.
 - Critical Information is captured, managed, stored, preserved, & delivered using software.
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Scope


- ECM software tools are either:
- Software vendor's cloud-based service (SaaS)
- Corporate IT supported
 - On premises (corporate data center)
 - Off premises (collocation provider)
 - Private Cloud (Amazon, Microsoft)
 - Hybrid

Scope

- How do you ensure the information and your access to it is available after a disruption?



Partnering with Business Continuity

- Responsible for organizational resiliency
 - Primary Objectives:
 - **Risk Assessment:**
 - Identify risks that can adversely affect an entity's resources or image.
 - Assess risks to determine the potential impacts to the entity.
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Partnering with Business Continuity

- **Business Impact Analysis:**
Identify and prioritize an organization's processes in order to ascertain which ones will have the greatest impact should they not be available.
 - Performed at a department level
 - Be sure your SMEs are involved!
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Partnering with Business Continuity

- **Business Impact Analysis Output:**
 - What resources are required?
 - How long of an outage can you tolerate? (Recovery Time Objective)
 - How much data loss can you afford? (Recovery Point Objective)
 - What is the financial impact of an outage/data loss to the company?

Partnering with Business Continuity

- Mitigation Strategies
 - Prioritize processes using BIA output
 - Financial impact is usually the most significant factor
 - Address risk
 - Develop strategies to meet RTO & RPO
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Partnering with IT

- IT is essential to the resiliency of your records management tool
 - IT must be a part of the team for the Risk Assessment, BIA, and Mitigation Strategies.
 - IT must have a clear understanding of your requirements and the impact of not having your software available.
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Gap Assessments

- Gaps are the differences between the performance of process recovery and business requirements.
(achievable vs. objective)
- Assessment team should consist of process owners, business continuity, and IT
- Financial impact of outage will carry significant weight on meeting the RTO/RPO


Gap Assessments

- Specific to your records management software:
 - Software vendor's cloud service(SaaS):
 - Review:
 - Vendor's BC plan and exercise results
 - Service level agreements
 - Data protection policies
 - Information security policies
 - Physical security policies
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Gap Assessments

- Corporate IT supported:
 - If using private cloud or collocation:
 - Review:
 - Vendor's BC plan
 - Service level agreements
 - Data protection policies
 - Information security policies
 - Physical security policies
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Gap Assessments

- Finalize action plan to mitigate gaps and exposures (risks)
 - Make sure you understand and are aligned with the resolutions for your processes.
 - Collaborate with your management and business continuity to determine appropriate reassessment intervals
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Exercising Your Processes

- Be sure to participate in any event that will simulate the interruption of your processes.
 - Work with business continuity to perform tabletop exercises for your processes
 - Review exercise results
 - Be sure your department has up to date business continuity plans
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QUESTIONS?

