



Business Continuity Maturity Model® (BCMM)

Overview & Standards Compliance Assessment

v2.5

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Business Continuity Maturity Model® (BCMM)

Purpose of this document

How often has your leadership asked the questions: “How far along are we in creating the BC program?” or “Where do we need to be to meet requirements and expectations?” Far too often the BC practitioner faces the difficulty of qualifying what the investment into business continuity really means to a business and how much further they must proceed to meet their risk tolerance.

The purpose of this open access BCMM® document is to provide you with a fundamental understanding of the BCMM. It is also intended to give you the capability to quickly compare (at a high level) the current state of your program through use of the definitions of each of the maturity levels and competencies recommended by the model. Finally, we have included a mini-assessment tool to allow you to see if you are on track to be a “Standards Compliant” program.

We believe that when an organization begins to realize the importance of their coordinated resiliency efforts, it must first establish its maturity level. This is the key to aligning all organizational leadership around the efforts and resources necessary to meet its resiliency-based goals.

The full BCMM Self-Assessment tool-kit is now available for purchase. This kit includes an in-depth outline of each criteria and 300+ questions to aid in your personal program assessment.

Virtual Corporation can also independently assess your program with our BCMM assessors.

History of the BCMM®

The Business Continuity Maturity Model® (BCMM®) was originally published in 2003 to address the need of organizations to be able to assess and improve their business continuity *program*. Virtual Corporation led the efforts to create a mechanism that could answer the following key questions for BC practitioners and senior management-

- *Where are we now?*
 - What level of BC program maturity do we currently possess?
- *What is the target we are shooting for?*
 - What level of BC program maturity is our goal?
- *What evolutionary path do we follow to get there?*
 - How should we progress most effectively to the next Level? e.g., *Let's crawl, then walk, then run.*

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Various standards have been created to evaluate if an organization meets prescribed requirements in process and documents. This version of the BCMM® has incorporated the requirements of ISO22301, NFPA1600, and ASIS SPC1.2009-1. The BCMM remains the only tool that quantifies how well you have implemented your BC program and provides a roadmap for continuing improvement.

Model Organization and Terminology

On the following pages, you will find the full content of the Business Continuity Maturity Model®. Figure 1 is a graphical depiction of the BCMM with each of the 7 corporate competencies and an eighth section that focuses on BC Program content. The maturity levels assigned are those of a typical organization. A further explanation each of the maturity levels and the first 7 corporate competencies is provided in subsequent sections.

Figure 1: BCMM Summary Chart

Increasing Business Continuity Competency Maturity →

Business Continuity Maturity Model Levels	Level 1 Self-Governed	Level 2 Departmental	Level 3 Cooperative	Level 4 Standards Compliance	Level 5 Integrated	Level 6 Synergistic
Athlete Analogy	able to crawl	able to walk	able to run	"fit" runner	competitive runner	olympic runner
Comparative Model	organization "at risk"		"competent" performer		"best of breed"	
Corporate Competencies	Attributes of an Organization at Each Maturity Level					
Leadership	VL	L	M	H	H	H
Employee Awareness	VL	L	L	M	H	H
Business Continuity Program Structure	VL	L	L	M	H	H
Program Pervasiveness	VL	VL	L	L	M	H
Metrics	VL	L	M	M	H	H
Resource Commitment	VL	L	M	H	H	H
External Coordination	VL	L	L	M	H	H
Business Continuity Program Content	Attributes of Each Business Continuity Discipline at Each Maturity Level					
Incident Management	VL	L	M	H	H	H
Technology Recovery	VL	L	M	H	H	H
Business Recovery	VL	L	M	H	H	H
Security Management	VL	L	M	H	H	H
			Very Low	Low	Medium	High

BCMM® Maturity Levels Defined

Each section begins with defining the general attributes of an organization at this Level of the Model. Following the General Description is a broad characterization of the overall state-of-preparedness of an organization that has fully achieved that Level of the Model.

Levels One through Three represent organizations that have not yet completed the necessary program basics needed to launch a sustainable enterprise BCM program. Levels Four through Six represent the evolutionary path of the maturing enterprise BCM program. Because of the way the BCMM was written, companies that have achieved level 4 are compliant with most standards. Content has been added that specifically address the following standards; NFPA1600, ASIS and BS25999. If you desire to use a different standard or if you have specific requirements because of your industry, review that standard for any attributes that are not already considered in the BCMM.

Level 1 - Self-Governed

Individual business units and departments are "on their own" to organize, implement, and self-govern their own business continuity efforts. The state-of-preparedness is low across the Enterprise. The organization reacts to disruptive events when they occur.

Level 2 – Departmental

At least one business unit or corporate function has initiated efforts to establish management awareness of the importance of Business Continuity. A few functions or services have developed and maintain BC plans within one or more of the BC disciplines (see Program Content). At least one internal or external resource has been assigned responsibility to support the business continuity efforts of the participating business units and departments. The state-of-preparedness may be moderate for participants, but remains relatively low across the majority of the company. Management may see the value of a BCM Program but they are unwilling to make it a priority at this time.

Level 3 – Cooperative

Participating business units and departments have instituted a rudimentary governance program, mandating at least limited compliance to standardized BCM policy, practices, and processes to which they have commonly agreed. (Note: this is not necessarily an Enterprise BCM Policy.) A BCM Program Office or Department has been established, which centrally delivers BCM governance and support services to the participating departments and/or business units. Audit findings from these participants are being used to reinforce competitive and strategic advantage for their groups. Interest in leveraging the work already done is being promoted as a business driver for launching a BCM Program. Several business units and departments have achieved a high state-of-preparedness. However, as a whole, the Enterprise is at best moderately prepared. Senior management has not committed the Enterprise to a BCM Program.

Level 4 - Standards Compliant

Senior management understands and is committed to the strategic importance of an effective BCM Program. An enforceable, practical BCM

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Policy and associated standards have been adopted, including methods and tools for addressing all 4 BC disciplines (see Program Content). A BCM Program Office or Department has been created to govern the program and support all Enterprise participants. Each group has acquired its own and/or utilizes the central BCM professional resources. BCM policy, practices, and processes are being standardized across the Enterprise. A BCM competency baseline was developed and a competency development program is underway. All critical business functions have been identified and continuity plans for their protection have been developed across the Enterprise. Departments conduct "unit tests" of critical business continuity plan elements. All business continuity plans are updated routinely.

Level 5 – Integrated

All business units and departments have completed tests on all elements of their business continuity plan including their internal and external dependencies. Plan update methods have proven to be effective. Senior management has participated in crisis management exercises. A multi-year plan has been adopted to continuously "raise the bar" for planning sophistication and Enterprise-wide state-of-preparedness. A communications and training program exists to sustain the high level of business continuity awareness following a structured BCM competency maturity program. Audit reports no longer highlight business continuity shortcomings. Strategic and competitive advantage achieved from the BCM Program are highlighted in periodic internal and external communications.

Level 6 – Synergistic

Sophisticated business protection strategies are formulated and tested successfully. Cross-functional business continuity capabilities are measured. Change control methods and continuous process improvement keeps this organization at an appropriately high state-of-preparedness even though the business environment continues to change radically and rapidly. Innovative policy, practices, processes, and technologies are piloted and incorporated into the BCM Program.

(Note: at each Level, companies may progress to the next Level or, if they lose momentum, fall back one or more Levels. As with any business process, if the supporting infrastructure is removed or significantly diminished, the effectiveness of the BCM Program will deteriorate and with it the company's state-of-preparedness.)

Corporate Competencies Defined

Within each Level, each of the Corporate Competencies is addressed. A definition for each of the Corporate Competencies can be found earlier in the Overview Section. For each Corporate Competency at each Model Level, *Criteria Categories and Descriptors* as well as *Performance Requirements* are described.

There is a total of seven Corporate Competencies. For each competency, we have outlined in table form, the key concepts and characteristics that are demonstrated at each level of maturity.

Leadership

The commitment and understanding demonstrated by executive management about the implementation of an appropriately scaled, enterprise-wide business continuity program. As well, the degree to which the “business case” for implementing sustainable business continuity has been articulated and understood by executive management.

LEADERSHIP	<i>How committed is your organization to achieving organizational resiliency?</i>					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> Non-directed 	<ul style="list-style-type: none"> Dept/BU management commitment and coordination 	<ul style="list-style-type: none"> Common BCM governance 	<ul style="list-style-type: none"> Executive sponsorship 	<ul style="list-style-type: none"> Executive participation 	<ul style="list-style-type: none"> Active executive engagement
Breadth and Depth of Program	<ul style="list-style-type: none"> Ad-hoc leadership 	<ul style="list-style-type: none"> At least one Dept./Business Unit's management recognizes strategic value of BCM and have begun efforts to educate their peers Champion's voice in at least one Dept./Business Unit heard at higher level 	<ul style="list-style-type: none"> Participating Dept./Business unit's management is now aware of BCM concepts & principles and is implementing a common BCM program. BCM process included in managers' performance evaluation Recovery expectations are clearly communicated to the participating Dept./BUs 	<ul style="list-style-type: none"> The business case for an Enterprise BCM program has been clearly articulated and well understood by executive mgmt. Executive mgmt. committed to appropriately scaled implementation 1st Sr. Mgmt. EOC exercise completed – largely unit-test based 	<ul style="list-style-type: none"> Executive mgmt. commits to enhanced BCM program based on previously established baseline and evolving business case Required EOC and coordinated exercises involving more thorough and realistic scenarios 	<ul style="list-style-type: none"> Executive management committed to active involvement in relevant professional, community, industry, and national activities Management Committee champions rigorous drills and regular tests

Employee Awareness

The breadth and depth of business continuity conceptual awareness throughout all staff levels of the organization including consideration for the quality and sustainability of the BC training and awareness program.

EMPLOYEE AWARENESS	<i>How well is BCM known across the enterprise?</i>					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> Limited, if any, BCM awareness 	<ul style="list-style-type: none"> Participation 	<ul style="list-style-type: none"> Awareness tied to participating Dept./Business Unit BCM program 	<ul style="list-style-type: none"> Awareness actively promoted at Enterprise level 	<ul style="list-style-type: none"> Preparedness actively promoted at Enterprise level 	<ul style="list-style-type: none"> Enterprise BCM awareness integral component of business culture
Breadth and Depth of Program	<ul style="list-style-type: none"> Employees across the Enterprise remain largely unaware of need to protect Enterprise assets and mitigate risk Even within those Dept./Business Unit that have implemented rudimentary BCM capabilities, few employees other than those directly involved in BCM activity have achieved significant level of awareness 	<ul style="list-style-type: none"> Employees in Dept./Business Unit that have implemented rudimentary BCM have some fundamental BC awareness Employees outside these few enlightened groups remain "in the dark" 	<ul style="list-style-type: none"> Employees are aware of BCM policies, standards, and practices that have been published and implemented A Business Continuity Charter has been established and communicated 	<ul style="list-style-type: none"> Enterprise communications vehicle(s) initiated Employees across Enterprise achieve baseline competency in BCM concepts and principles Selected groups across Enterprise have participated in drills and exercises at least once 	<ul style="list-style-type: none"> An energetic communications and training program exists to sustain the high level of BCM awareness 	<ul style="list-style-type: none"> Employee competency continuously matched to changing business case BCM activities are clearly reported on Enterprise web-site

BC Program Structure

The scale and appropriateness of the business continuity program implemented across the Enterprise. The degree to which the BCM Program matches the articulated “business case”.

BC PROGRAM STRUCTURE	<i>Do you have program policies and governance in place?</i>					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> Unstructured, potentially counter-productive 	<ul style="list-style-type: none"> Increasing understanding of BCM, common terminology in use 	<ul style="list-style-type: none"> Awareness & adoption 	<ul style="list-style-type: none"> Compliant with BC Standards 	<ul style="list-style-type: none"> Explicit vertical and horizontal integration 	<ul style="list-style-type: none"> Prominence
Breadth and Depth of Program	<ul style="list-style-type: none"> No definition 	<ul style="list-style-type: none"> Dept./Business Unit BCM activities in sync with relevant portions of Enterprise strategy, culture, and goals 	<ul style="list-style-type: none"> A business case is established for BCM 	<ul style="list-style-type: none"> Mandatory BCM strategy review requirement in place and integrated into budget cycle Change management procedures with BCM coordinators in place at Dept./Business Unit level Audit findings across Enterprise begin to reflect more positive BCM response BC Program improvements are recognized and rewarded 	<ul style="list-style-type: none"> BCM considered in development of Enterprise business strategies 	<ul style="list-style-type: none"> BCM and its relationship to available products and services has become a quantifiable and marketable competitive advantage BCM is one of the drivers contributing to Enterprise business strategy development Management explores new technologies and innovative BCM solutions

Program Pervasiveness

The level of business continuity coordination between departments, functions, and business units across the Enterprise. The degree to which business continuity considerations have been incorporated in other appropriate business initiatives, programs, and processes.

PROGRAM PERVASIVENESS	Is the program incorporated across the enterprise and its activities?					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> • Self-contained 	<ul style="list-style-type: none"> • Limited departmental participation 	<ul style="list-style-type: none"> • Participation by more Dept./Business Units 	<ul style="list-style-type: none"> • Integration 	<ul style="list-style-type: none"> • BCM engrained in Enterprise business culture 	<ul style="list-style-type: none"> • BCM engrained in Enterprise business culture
Program Governance	<ul style="list-style-type: none"> • No program governance 	<ul style="list-style-type: none"> • Ad hoc governance of participating units 	<ul style="list-style-type: none"> • Governance program mandates at least limited compliance to standardized BC policy, standards, and practices 	<ul style="list-style-type: none"> • Enterprise governance program implemented • All targeted Dept./Business Unit must adhere to agreed upon policy, standards, and practices 	<ul style="list-style-type: none"> • Governance at Enterprise level with representation from all Dept./Business Units • BCM process metrics integral to management performance evaluation 	<ul style="list-style-type: none"> • Pro-active executive management participation
Breadth and Depth of Program	<ul style="list-style-type: none"> • BCM activity initiated on a Dept./Business Unit basis with no integration • Limited consideration of upstream and downstream functions and applications 	<ul style="list-style-type: none"> • Isolated centers of activity with little integration into Enterprise business planning process • Limited consideration of upstream and downstream functions and application 	<ul style="list-style-type: none"> • Increased inter-departmental activity and integration of BCM activity 	<ul style="list-style-type: none"> • Coordinated Enterprise planning • Internal and external departmental and functional dependencies considered in planning process 	<ul style="list-style-type: none"> • Centralized corporate oversight and coordination – part of overall Enterprise business planning processes • Internal and external departmental and functional dependencies considered in planning process 	<ul style="list-style-type: none"> • Centralized Enterprise oversight and coordination – part of overall Enterprise business planning process • Community interdependencies considered in planning process

Metrics

The development and monitoring of appropriate measures of BCM Program performance. The establishment and tracking of a business continuity competency baseline.

METRICS	Is the program have regularly measured?					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> Unmeasured 	<ul style="list-style-type: none"> Limited departmental level measurement 	<ul style="list-style-type: none"> Development of business case metrics 	<ul style="list-style-type: none"> Performance consistently measured against goals 	<ul style="list-style-type: none"> Multi-year planning 	<ul style="list-style-type: none"> On-going evaluation and linkage to Enterprise strategic plans
Breadth and Depth of Program	<ul style="list-style-type: none"> BCM not measured in any significant way Planning and record keeping are informal 	<ul style="list-style-type: none"> Rudimentary metrics for participating depts/functions Accumulated BCM metrics used sporadically by dept. mgmt. for strategic purposes 	<ul style="list-style-type: none"> Performance, preparedness assessment, and business case Recovery capability validation Audit findings from participants are being used to reinforce competitive and strategic advantage for their groups 	<ul style="list-style-type: none"> BCM baseline metrics for all targeted Dept./Business Unit Tools to manage, analyze, and audit BCM data implemented across Enterprise 	<ul style="list-style-type: none"> BCM metrics for all Dept./Business Unit Tools to manage, analyze, and audit integrated BCM data implemented across Enterprise 	<ul style="list-style-type: none"> Methods and tools in place for on-going evaluation of BCM program effectiveness and appropriateness as well as measuring state-of-preparedness

Resource Commitment

The application of sufficient, properly trained and supported personnel, financial, and other resources to ensure the sustainability of the BCM Program.

RESOURCE COMMITMENT	How are resources allocated to the completion of program activities?					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
	Self-Governed	Departmental	Cooperative	Standards Compliant	Integrated	Synergistic
Key Concepts	<ul style="list-style-type: none"> Few, if any 	<ul style="list-style-type: none"> Limited committed resources at Dept/BU level 	<ul style="list-style-type: none"> Departmental resource commitment 	<ul style="list-style-type: none"> Tied to Enterprise strategic plan 	<ul style="list-style-type: none"> Qualified staff resources 	<ul style="list-style-type: none"> Assimilation
Breadth and Depth of Program	<ul style="list-style-type: none"> No formal consideration of BCM resources, generally, part-time duties No dedicated BCM personnel 	<ul style="list-style-type: none"> At least one internal or external BCM knowledge source is available to support the BCM efforts of participating Dept./Business Units 	<ul style="list-style-type: none"> Appropriate staff count and budget for the task at hand Commitment to internal resource development stated in BCM budget 	<ul style="list-style-type: none"> Executive commitment to resources for appropriately scaled Enterprise implementation Executive management appoints empowered enterprise business continuity program leader Executive Management establishes Emergency funding procedures for utilization during crisis and incident management 	<ul style="list-style-type: none"> BCM certification and/or other professional development initiatives implemented 	<ul style="list-style-type: none"> BCM staff demonstrates high degree of knowledge and assimilation with Dept./Business Unit which they support

External Coordination

Coordination of business continuity issues and requirements with external community including customers, vendors, government, unions, banks, creditors, insurance carriers, etc., ensuring that critical supply chain partners have adequate BCM Programs of their own in place.

EXTERNAL COORDINATION	How well do you coordinate with external stakeholders to ensure reduction in risk?					
	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
Key Concepts	<ul style="list-style-type: none"> Externally driven 	<ul style="list-style-type: none"> Minimum consideration 	<ul style="list-style-type: none"> Collaboration 	<ul style="list-style-type: none"> Participation 	<ul style="list-style-type: none"> Active coordination 	<ul style="list-style-type: none"> Leadership and partnership
Breadth and Depth of Program	<ul style="list-style-type: none"> Any external coordination is being driven from the external source 	<ul style="list-style-type: none"> External coordination incorporated into participating depts.' BCM development plan process Many, if not most, external exposures/risks remain unaddressed even for the participating units 	<ul style="list-style-type: none"> An appreciation of the participating Dept./Business Unit cost of not addressing external risks and exposures is included in the business case Participating depts./functions can point to tangible returns on their external coordination efforts 	<ul style="list-style-type: none"> Risk Management links evaluation of external risks and exposures across Enterprise to BCM activities BCM process identifies 1st view of external risks and exposures across Enterprise Mitigation recommendations include means to reduce external risks and exposures External partner BCM compliance language developed and utilized in some contract negotiations 	<ul style="list-style-type: none"> BCM compliance becomes criteria in contract negotiations with all critical suppliers Enterprise BCM Program touted in company literature and other sales/marketing venues 	<ul style="list-style-type: none"> External partners invited to participate in joint drills and exercises

Program Content Defined

The previous seven Corporate Competencies address the key behaviors of the BC program. This eighth Corporate Competency addresses how the organization implements the four central disciplines of business continuity:

Incident Management

Ensuring that all aspects of emergency response, crisis management, and any other activities involved in command, control, and communications during a organizational crisis and/or disastrous event are appropriately addressed.

Technology Recovery

Ensuring that critical information systems hardware, software, networks, and applications are adequately recoverable within defined recovery time objectives.

Business Recovery

Ensuring that critical business functions and resources are adequately recoverable within defined recovery time objectives

Security Management

Ensuring that physical security, information security, and any other activities associated with protecting the integrity of targeted information and resources are appropriately addressed.

Performing a Self-Assessment

If you were to self-assess your program, where would you rank in each of the competencies and BC program content? At - minimum, most should achieve the creation of a standards compliant BCM program.

In addition to this overview, we have created a “mini-assessment” tool that provides you with an understanding of the types of questions used to conduct a full BCMM assessment. Please open and complete the spreadsheet provided. This process will take you and your team through a portion of the full assessment tool to help you determine if your program meet the minimum standards.