

Clause 9: Performance Evaluation

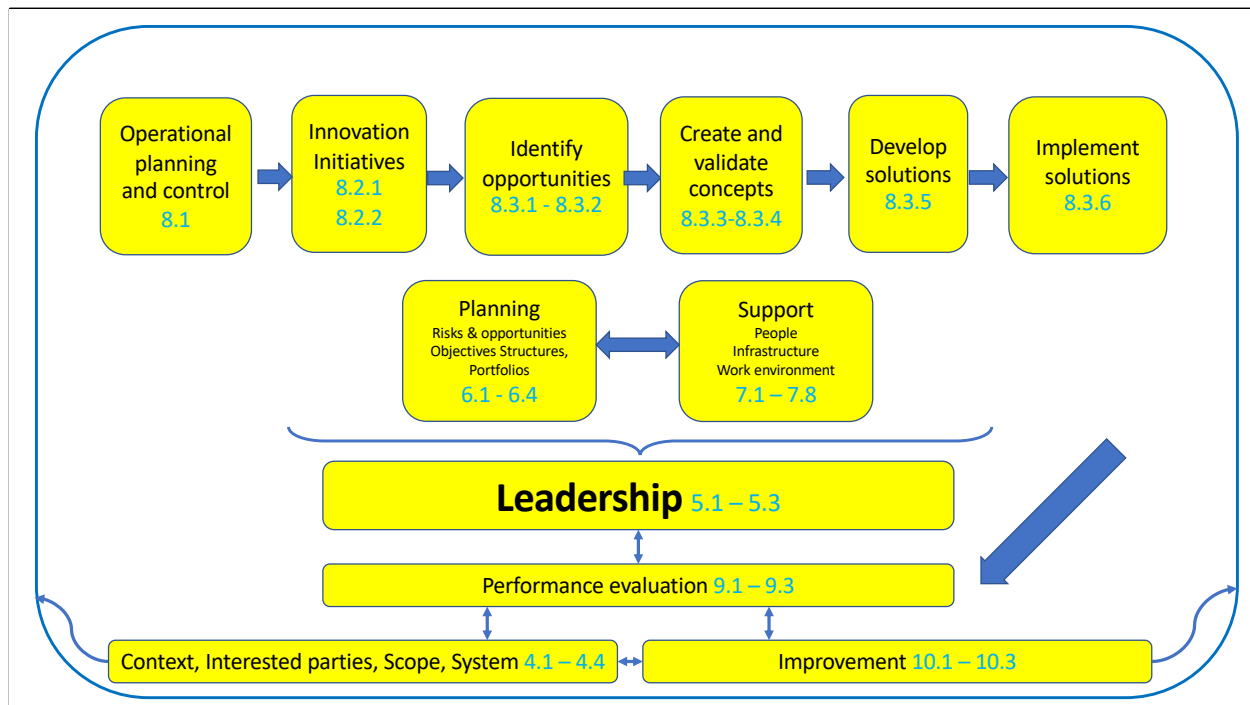
Clause 9.1 Monitoring, Measurement, Analysis
and Evaluation (General)

Clause 9.2 – Internal Audits

Clause 9.3 – Management Review

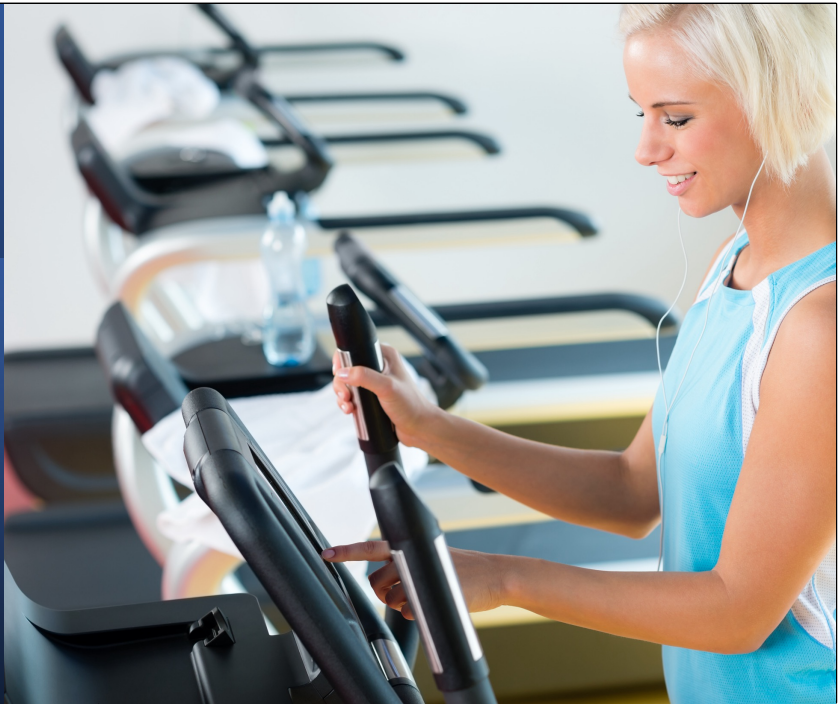


Simplify ISO 



Performance
monitoring has
to help us
determine or
progress toward
objectives

9.1



9.1 Monitoring, measurement, analysis and evaluation

The organization shall determine:

- a) what needs to be monitored and measured;
- b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- c) when and by whom the monitoring and measuring shall be performed;
- d) when and by whom the results from monitoring and measurement shall be analysed and evaluated.

The organization shall retain appropriate documented information as evidence of the results.

The organization shall evaluate the BCMS performance and the effectiveness of the BCMS.

We need **DATA** to demonstrate how successful any business continuity strategy or program is

9.1.1.2



9.1 Monitoring, measurement, analysis and evaluation

The organization shall determine:

- a) what needs to be monitored and measured;
- b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;

Review the
results for
clues on how
to increase
business
resilience

9.1



- c) when and by whom the monitoring and measuring shall be performed;
- d) when and by whom the results from monitoring and measurement shall be analysed and evaluated.

Are we using
DATA to
make BCMS
effectiveness
decisions?

9.1.1.2



The organization shall retain appropriate documented information as evidence of the results.

What can we
conclude about our
performance
relative to business
continuity activities?

9.1



The organization shall evaluate the BCMS performance and the effectiveness of the BCMS.

Audit on a
schedule to
see if your
resilience
projects are
effective

9.2



9.2 Internal audit

9.2.1 General

The organization shall conduct internal audits at planned intervals to provide information on whether the BCMS:

a) conforms to:

- 1) the organization's own requirements for its BCMS;
- 2) the requirements of this document;

b) is effectively implemented and maintained.

Assess how
successful your
people are at
building
resilience, not
just 'following
procedures'!

9.2.2



9.2.2 Audit programme(s)

The organization shall:

- a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;

Have we
followed up
on audit
results
effectively?

9.2.2



- b) define the audit criteria and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant managers;
- e) retain documented information as evidence of the implementation of the audit programme(s) and the audit results;
- f) ensure that any necessary corrective actions are taken without undue delay to eliminate detected nonconformities and their causes;
- g) ensure that follow-up audit actions include the verification of the actions taken and the reporting of verification results.



9.3 Management review

9.3.1 General

Top management shall review the organization's BCMS, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

Management Review starts with inputs

9.3.2

- Status of actions from previous meetings
- Changes in 'Context'
- The performance of business continuity plans and procedures

9.3.2 Management review input

The management review shall include consideration of:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the BCMS;
- c) information on the BCMS performance, including trends in:
 - 1) nonconformities and corrective actions;
 - 2) monitoring and measurement evaluation results;
 - 3) audit results;

...and more
inputs...

9.3.2

- Feedback from Interested Parties
- Resources that could be used to improve the BCMS
- Information from the business impact analysis and risk assessment

9.3.2 Management review input

- d) feedback from interested parties;
- e) the need for changes to the BCMS, including the policy and objectives;
- f) procedures and resources that could be used in the organization to improve the BCMS' performance and effectiveness;
- g) information from the business impact analysis and risk assessment;

...and still
more inputs...

9.3.2

- Results of the evaluation of business continuity documentation and capabilities
- Lessons learned from disruptions or exercises
- Opportunities for improvement

9.3.2 Management review input

- h) output from the evaluation of business continuity documentation and capabilities (see 8.6);
- i) risks or issues not adequately addressed in any previous risk assessment;
- j) lessons learned and actions arising from near-misses and disruptions;
- k) opportunities for continual improvement.

Authorized by:

MANAGEMENT REVIEW RECORD

Date

Attendees

Management Review Inputs

Follow up actions from earlier management review meetings

Financial Performance

...and creates
outputs in the
form of
decisions
related to...

9.3.3

- Variations to the scope of the BCMS
- Opportunities for improvement
- Any need for changes to the innovation management system, considering the organization's readiness for change

9.3.3 Management review outputs

9.3.3.1 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the BCMS to improve its efficiency and effectiveness, including the following:

- a) variations to the scope of the BCMS;
- b) update of the business impact analysis, risk assessment, business continuity strategies and solutions, and business continuity plans;
- c) modification of procedures and controls to respond to internal or external issues that may impact the BCMS;
- d) how the effectiveness of controls will be measured.

9.3.3.2 The organization shall retain documented information as evidence of the results of management reviews. It shall:

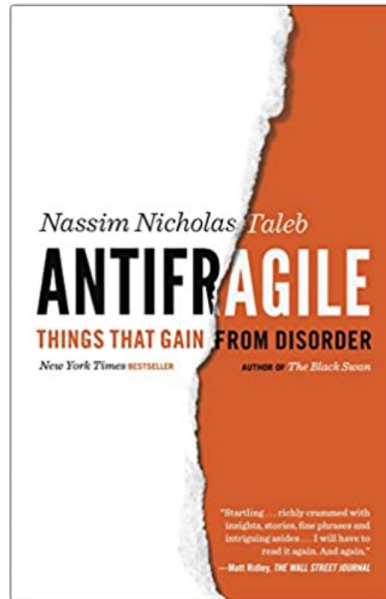
- a) communicate the results of the management review to relevant interested parties;
- b) take appropriate action relating to those results.

Audits and
reviews are
two excellent
ways to go
beyond
'resilience'

9.3.3

'Over-do' your
corrective actions to go
beyond 'resilience'
toward Nassim Taleb's
condition of 'Antifragile'

This will move
your business
continuity
activities in the
right direction



Three takeaways from 'Performance evaluation'

1. Measurements will show you how well your BCMS is working
2. You'll confirm the results and assess risk management during audits
3. Management Review will give you ideas for future improvements to your BCMS

Time for the quiz!

You'll need your copy
of ISO 22301 to answer
the quiz questions
after each Lesson

