Software Engineering Institute

CERT® Resilience Management Model, Version 1.2

Organizational Process Focus (OPF)

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ORGANIZATIONAL PROCESS FOCUS

Process

Purpose

The purpose of Organizational Process Focus is to plan, implement, and deploy organizational process improvements based on a thorough understanding of current strengths and weaknesses of the organization's operational resilience processes and process assets.

Introductory Notes

The organization's processes include all operational resilience processes used by the organization and its organizational units. Candidate improvements to the organization's processes and process assets are obtained from various sources, including the measurement of processes, lessons learned in implementing processes, results of process appraisals, results of post-event or incident handling, results of customer satisfaction evaluation, results of benchmarking against other organizations' processes, and recommendations from other improvement initiatives in the organization.

Process improvement occurs in the context of the organization's needs and is used to address the organization's objectives. The organization encourages participation in process improvement activities by those who perform the process. The responsibility for facilitating and managing the organization's process improvement activities, including coordinating the participation of others, is typically assigned to an operational resilience process group. The organization provides the long-term commitment and resources required to sponsor this group and to ensure the effective and timely deployment of improvements.

Careful planning is required to ensure that process improvement efforts across the organization are adequately managed and implemented. Results of the organization's process improvement planning are documented in a process improvement plan.

The "organization's process improvement plan" addresses appraisal planning, process action planning, pilot planning, and deployment planning. Appraisal plans describe the appraisal timeline and schedule, the scope of the appraisal, resources required to perform the appraisal, the reference model against which the appraisal will be performed, and logistics for the appraisal.

Process action plans usually result from appraisals and document how improvements targeting weaknesses uncovered by an appraisal will be implemented. Sometimes the improvement described in the process action plan should be tested on a small group before deploying it across the organization. In these cases, a pilot plan is generated.

When the improvement is to be deployed, a deployment plan is created. This plan describes when and how the improvement will be deployed across the organization.

Organizational process assets are used to describe, implement, and improve the organization's processes.

Related Process Areas

Refer to the Organizational Process Definition process area for more information about establishing organizational process assets, including standard processes.

Summary of Specific Goals and Practices

Goals	Practices
OPF:SG1 Determine Process Improvement Opportunities	OPF:SG1.SP1 Establish Organizational Process Needs
	OPF:SG1.SP2 Appraise the Organization's Processes
	OPF:SG1.SP3 Identify the Organization's Process Improvements
OPF:SG2 Plan and Implement Process Actions	OPF:SG2.SP1 Establish Process Action Plans
	OPF:SG2.SP2 Implement Process Action Plans
OPF:SG3 Deploy Organizational Process Assets and Incorporate Experiences	OPF:SG3.SP1 Deploy Organizational Process Assets
	OPF:SG3.SP2 Deploy Standard Processes
	OPF:SG3.SP3 Monitor the Implementation
	OPF:SG3.SP4 Incorporate Experiences into Organizational Process Assets

Specific Practices by Goal

OPF:SG1 Determine Process Improvement Opportunities

Strengths, weaknesses, and improvement opportunities for the organization's processes are identified periodically and as needed.

Strengths, weaknesses, and improvement opportunities may be determined relative to a process standard or model. Process improvements should be selected to address the organization's needs.

OPF:SG1.SP1 Establish Organizational Process Needs

The descriptions of process needs and objectives for the organization are established and maintained.

The organization's processes operate in a business context that must be understood. The organization's business objectives, needs, and constraints determine the needs and objectives of the organization's processes. Typically, issues related to customer satisfaction, finance, technology, quality, human resources, marketing, service continuity, and resilience are important process considerations.

Organizational process needs may be strongly influenced by the organization's strategic objectives, critical success factors, and other factors. *(Refer to the Enterprise Focus process area for information about establishing these factors as aligning principles for process management and improvement.)*

The organization's process needs and objectives cover aspects that include the following:

• characteristics of processes

- process performance objectives, such as impact avoidance and reduction of recovery time objectives
- process effectiveness

Typical work products

1. Organization's process needs and objectives

Subpractices

1. Identify policies, standards, and business objectives that are applicable to the organization's processes.

   Refer to the Enterprise Focus process area for more information about establishing these work products.

2. Examine relevant process standards and models for best practices.

3. Determine the organization's process performance objectives.

   Process performance objectives may be expressed in quantitative or qualitative terms.

   Refer to the Measurement and Analysis process area for more information about establishing measurement objectives.

   Examples of process performance objective topics include the following:
   - business case for resilience
   - customer satisfaction
   - vulnerability and incident rates
   - realized risk, impact, and risk reduction and mitigation
   - productivity
   - compliance with regulations

4. Define essential characteristics of the organization's processes.

   Essential characteristics of the organization's processes are determined based on the following:

   - processes currently being used in the organization
   - standards imposed by the organization
   - standards commonly imposed by the organization's market sector
   - standards commonly imposed by customers of the organization

   These are examples of process characteristics:
   - level of detail
   - process notation
   - granularity of process elements

5. Document the organization's process needs and objectives.

6. Revise the organization's process needs and objectives as needed.

OPF:SG1.SP2 Appraise the Organization's Processes

> *The organization's processes are appraised periodically and as needed to maintain an understanding of their strengths and weaknesses.*

Process appraisals may be performed for the following reasons:

- to identify processes to be improved
- to confirm progress and make the benefits of process improvement visible
- to satisfy the needs of a customer-supplier relationship
- to motivate and facilitate buy-in

The buy-in gained during a process appraisal can be eroded significantly if it is not followed by an appraisal-based action plan.

Typical work products

1. Organization's process appraisal plans

2. Appraisal findings that address strengths and weaknesses of the organization's processes

3. Improvement recommendations for the organization's processes

Subpractices

1. Obtain sponsorship of the process appraisal from higher level managers.

   Higher level managers' sponsorship includes the commitment to have the organization's managers and staff participate in the process appraisal and to provide resources and funding to analyze and communicate findings of the appraisal.

2. Define the scope of the process appraisal.

   Process appraisals may be performed on the entire organization or may be performed on a smaller part of an organization such as an organizational unit or line of business.

   Process appraisals may also be scoped to specific types of assets (such as information, software, systems, hardware, or facilities) or from the vantage point of a specific discipline (such as security, continuity, or IT operations).

   The scope of the process appraisal addresses the following:

   - definition of the organization (e.g., sites, organizational units) to be covered by the appraisal
   - definition of the assets and disciplines to be covered by the appraisal
   - identification of the support functions that will represent the organization in the appraisal
   - processes to be appraised

3. Determine the method and criteria to be used for the process appraisal.

   Process appraisals can occur in many forms. They should address the needs and objectives of the organization, which may change over time. For example, the

appraisal may be based on a process model, such as the CERT Resilience Management Model, or on a national or international standard, such as ISO 27001. Appraisals may also be based on a benchmark comparison with other organizations in which practices that may contribute to improved performance are identified. The characteristics of the appraisal method may vary, including time and effort, makeup of the appraisal team, and the method and depth of investigation.

4. Plan, schedule, and prepare for the process appraisal.

5. Conduct the process appraisal.

6. Document the appraisal's activities and deliver the findings.

OPF:SG1.SP3 Identify the Organization's Process Improvements

Improvements to the organization's processes and process assets are identified.

Typical work products

1. Analysis of candidate process improvements

2. Identification of improvements for the organization's processes

Subpractices

1. Determine candidate process improvements.

   Candidate process improvements are typically determined by doing the following:

   - measuring processes and analyzing measurement results

   - reviewing processes for effectiveness and suitability

   - assessing customer satisfaction

   - reviewing lessons learned from tailoring the organization's set of standard processes

   - reviewing lessons learned from implementing processes

   - reviewing process improvement proposals submitted by the organization's managers, staff, and other relevant stakeholders

   - soliciting inputs on process improvements from higher level managers and other leaders in the organization

   - examining results of process appraisals and other process-related reviews

   - reviewing results of other organizational improvement initiatives

2. Prioritize candidate process improvements.

   Criteria for prioritization may include

   - estimated cost and effort to implement the process improvements

   - expected improvement against the organization's improvement objectives and priorities

   - potential barriers to the process improvements, and strategies for overcoming these barriers

   These are examples of techniques to help determine and prioritize possible improvements to be implemented:

   - a cost-benefit analysis that compares the estimated cost and effort to implement the process improvements and their associated benefits

- a gap analysis that compares current conditions in the organization with optimal conditions
- force-field analysis of potential improvements to identify potential barriers and strategies for overcoming those barriers
- cause-and-effect analyses to provide information about the potential effects of different improvements, which can then be compared

3. Identify and document the process improvements to be implemented.

4. Revise the list of planned process improvements to keep it current.

OPF:SG2 Plan and Implement Process Actions

Process actions that address improvements to the organization's processes and process assets are planned and implemented.

The successful implementation of improvements requires participation in process action planning and implementation by process owners, those performing the process, and support organizations.

OPF:SG2.SP1 Establish Process Action Plans

Process action plans to address improvements to the organization's processes and process assets are established and maintained.

Establishing and maintaining process action plans typically involve the following roles:

- management steering committees that set strategies and oversee process improvement activities
- process groups that facilitate and manage process improvement activities
- process action teams that define and implement process actions
- process owners who manage deployment
- practitioners who perform the process

This stakeholder involvement helps to obtain buy-in on process improvements and increases the likelihood of effective deployment.

Process action plans are detailed implementation plans. These plans differ from the organization's process improvement plan by targeting improvements that are defined to address weaknesses and that are usually identified by appraisals.

Typical work products

1. Organization's approved process action plans

Subpractices

1. Identify strategies, approaches, and actions to address identified process improvements.

   New, unproven, and major changes are piloted before they are deployed.

2. Establish process action teams to implement actions.

The teams and staff performing the process improvement actions are called "process action teams." Process action teams typically include process owners and those who perform the process.

3. Document process action plans.

Elaboration:

Process action plans typically cover the following:

- the process improvement infrastructure
- process improvement objectives
- process improvements to be addressed
- procedures for planning and tracking process actions
- strategies for piloting and implementing process actions
- responsibility and authority for implementing process actions
- resources, schedules, and assignments for implementing process actions
- methods for determining the effectiveness of process actions
- risks associated with process action plans

4. Review and negotiate process action plans with relevant stakeholders.

5. Review process action plans as necessary.

OPF:SG2.SP2 Implement Process Action Plans

Process action plans are implemented.

Typical work products

1. Commitments among process action teams

2. Status and results of implementing process action plans

3. Plans for pilots

Subpractices

1. Make process action plans readily available to relevant stakeholders.

2. Negotiate and document commitments among process action teams and revise their process action plans as necessary.

3. Track progress and commitments against process action plans.

4. Conduct joint reviews with process action teams and relevant stakeholders to monitor the progress and results of process actions.

5. Plan pilots needed to test selected process improvements.

6. Review the activities and work products of process action teams.

7. Identify, document, and track to closure issues encountered when implementing process action plans.

8. Ensure that results of implementing process action plans satisfy the organization's process improvement objectives.

OPF:SG3 Deploy Organizational Process Assets and Incorporate Experiences

Organizational process assets are deployed across the organization, and process-related experiences are incorporated into organizational process assets.

The specific practices under this specific goal describe ongoing activities. New opportunities to benefit from organizational process assets and changes to them may arise. Deployment of standard processes and other organizational process assets must be continually supported in the organization.

OPF:SG3.SP1 Deploy Organizational Process Assets

Organizational process assets are deployed across the organization.

Deploying organizational process assets or changes to them should be performed in an orderly manner. Some organizational process assets or changes to them may not be appropriate for use in some parts of the organization (e.g., because of stakeholder requirements or the current life-cycle phase being implemented). It is therefore important that those who are or will be executing the process, as well as other supporting functions (e.g., training, quality assurance), be involved in deployment as necessary.

Refer to the Organizational Process Definition process area for more information about the deployment of organizational process assets, including the support of the organization's process asset library.

Typical work products

1. Plans for deploying organizational process assets and changes to them across the organization

2. Training materials for deploying organizational process assets and changes to them

3. Documentation of changes to organizational process assets

4. Support materials for deploying organizational process assets and changes to them

Subpractices

1. Deploy organizational process assets across the organization.

    Elaboration:

    These are typical activities performed as a part of the deployment of process assets:

    * identifying organizational process assets that should be adopted by those who perform the process

    * determining how organizational process assets are made available (e.g., via a website)

    * identifying how changes to organizational process assets are communicated

    * identifying resources (e.g., methods, tools) needed to support the use of organizational process assets

    * planning the deployment

    * assisting those who use organizational process assets

- ensuring that training is available for those who use organizational process assets

Refer to the Organizational Training and Awareness process area for more information about establishing an organizational training capability.

2. Document changes to organizational process assets.

Documenting changes to organizational process assets serves two main purposes:

- to enable the communication and review of changes
- to understand the relationship of changes in the organizational process assets to changes in process performance and results

3. Deploy changes that were made to organizational process assets across the organization.

Elaboration:

These are typical activities performed as a part of deploying changes:
- determining which changes are appropriate for those who perform the process
- planning the deployment
- arranging for the support needed for the successful deployment of changes

4. Provide guidance and consultation on the use of organizational process assets.

OPF:SG3.SP2 Deploy Standard Processes

The organization's set of standard processes are deployed to organizational units (including projects at their start-up) and changes are deployed to them as appropriate.

It is important that organizational units use proven and effective processes to perform critical activities (e.g., planning, identifying requirements, and obtaining resources).

Organizational units should also periodically update their defined processes to incorporate the latest changes made to the organization's set of standard processes when it benefits them. This periodic update helps to ensure that all organizational unit activities derive the full benefit of what other units have learned.

Refer to the Organizational Process Definition process area for more information about standard processes and tailoring guidelines.

Typical work products

1. The organization's list of organizational units and the status of process deployment for each (e.g., existing and planned projects and newly acquired organizational units)

2. Guidelines for deploying the organization's set of standard processes for new organizational units

3. Records of tailoring and implementing the organization's set of standard processes

Subpractices

1. Identify organizational units in the organization that are starting up or were recently acquired.

2. Identify existing organizational units that would benefit from implementing the organization's current set of standard processes.

3. Establish plans to implement the organization's current set of standard processes in the identified organizational units.

4. Assist organizational units in tailoring the organization's set of standard processes to meet their needs.

   Refer to each resilience management process area for more information about establishing an organizational unit's defined processes.

5. Maintain records of tailoring and implementing processes for the identified organizational units.

6. Ensure that the defined processes resulting from process tailoring are incorporated into plans for process-compliance audits.

   Process-compliance audits are objective evaluations of organizational unit activities against the unit's defined processes.

7. As the organization's set of standard processes is updated, identify which organizational units should implement the changes.

OPF:SG3.SP3 Monitor the Implementation

The organization's set of standard processes and use of process assets are monitored.

By monitoring implementation, the organization ensures that the organization's set of standard processes and other process assets are appropriately deployed to an organizational unit or line of business. Monitoring implementation helps the organization to develop an understanding of the organizational process assets being used and where they are used in the organization. Monitoring also helps to establish a broader context for interpreting and using process and product measures, lessons learned, and improvement information obtained from organizational units.

Refer to the Monitoring process area for more information about gathering and distributing process improvement information.

Typical work products

1. Results of monitoring process implementation

2. Status and results of process-compliance audits

3. Results of reviewing selected process work products created as part of process tailoring and implementation

Subpractices

1. Monitor use of the organization's process assets (including standard processes) and changes to them.

2. Review selected process assets.

   Reviewing selected process assets ensures that the organization and all organizational units are making appropriate use of the organization's set of standard processes.

3. Review results of process-compliance audits to determine how well the organization's set of standard processes has been deployed.

4. Identify, document, and track to closure issues related to implementing the organization's set of standard processes.

OPF:SG3.SP4 Incorporate Experiences into Organizational Process Assets

Process-related work products, measures, and improvement information derived from planning and performing the process are incorporated into organizational process assets.

Typical work products

1. Process improvement proposals

2. Process lessons learned

3. Measurements of organizational process assets

4. Improvement recommendations for organizational process assets

5. Records of the organization's process improvement activities

6. Information about the use of organizational process assets and improvements to them

Subpractices

1. Conduct periodic reviews of the effectiveness and suitability of the organization's set of standard processes and related organizational process assets relative to the organization's strategic objectives.

2. Obtain feedback about the use of organizational process assets.

3. Derive lessons learned from defining, piloting, implementing, and deploying organizational process assets.

4. Make lessons learned available to staff as appropriate.

   Actions may be necessary to ensure that lessons learned are used appropriately.

   These are examples of the inappropriate use of lessons learned:
   - evaluating the performance of staff
   - judging process performance or results

   These are examples of ways to prevent the inappropriate use of lessons learned:
   - controlling access to lessons learned
   - educating staff about the appropriate use of lessons learned

5. Analyze measurement data obtained from the use of the organization's common set of measures.

Refer to the Measurement and Analysis process area for more information about analyzing measurement data.

Refer to the Organizational Process Definition process area for more information about establishing the organization's measurement repository.

6. Appraise processes, methods, and tools in use in the organization and develop recommendations for improving organizational process assets.

    Elaboration:

    This appraisal typically includes the following:

    *   determining which processes, methods, and tools are of potential use to other parts of the organization
    *   appraising the quality and effectiveness of organizational process assets
    *   identifying candidate improvements to organizational process assets
    *   determining compliance with the organization's set of standard processes and tailoring guidelines

7. Make the best of the organization's processes, methods, and tools available to staff as appropriate.

8. Manage process improvement proposals.

    Process improvement proposals can address both process and technology improvements.

    The activities for managing process improvement proposals typically include the following:

    *   soliciting process improvement proposals
    *   collecting process improvement proposals
    *   reviewing process improvement proposals
    *   selecting the process improvement proposals to be implemented
    *   tracking the implementation of process improvement proposals

    Process improvement proposals are documented as process change requests or problem reports as appropriate.

    Some process improvement proposals may be incorporated into the organization's process action plans.

9. Establish and maintain records of the organization's process improvement activities.

Elaborated Generic Practices by Goal

Refer to the Generic Goals and Practices document in Appendix A for general guidance that applies to all process areas. This section provides elaborations relative to the application of the Generic Goals and Practices to the Organizational Process Focus process area.

OPF:GG1 Achieve Specific Goals

The operational resilience management system supports and enables achievement of the specific goals of the Organizational Process Focus process area by transforming identifiable input work products to produce identifiable output work products.

OPF:GG1.GP1 Perform Specific Practices

Perform the specific practices of the Organizational Process Focus process area to develop work products and provide services to achieve the specific goals of the process area.

Elaboration:

Specific practices OPF:SG1.SP1 through OPF:SG3.SP4 are performed to achieve the goals of the organizational process focus process.

OPF:GG2 Institutionalize a Managed Process

Organizational process focus is institutionalized as a managed process.

OPF:GG2.GP1 Establish Process Governance

Establish and maintain governance over the planning and performance of the organizational process focus process.

Refer to the Enterprise Focus process area for more information about providing sponsorship and oversight to the organizational process focus process.

Subpractices

1. Establish governance over process activities.

    Elaboration:

    Governance over the organizational process focus process may be exhibited by
    - establishing an operational resilience process group (ORPG) to facilitate the appraisal and improvement of standard processes and process assets
    - developing and publicizing higher level managers' objectives, requirements, and needs for processes and process improvement
    - sponsoring and funding process activities
    - sponsoring and providing oversight of policy, procedures, standards, and guidelines for process activities and for organizational use of these activities and work products
    - guiding and supporting the appraisal and enforcement of improved processes and process assets
    - sponsoring process appraisals
    - providing input on process improvements
    - making higher level managers aware of applicable compliance obligations related to operational resilience process improvement, and regularly reporting on the organization's satisfaction of these obligations to higher level managers

- verifying that the process supports strategic resilience objectives and is focused on the assets and services that are of the highest relative value in meeting strategic objectives
- regular reporting from organizational units to higher level managers on operational process focus activities and results, appraisal results, and the use of improved processes
- creating dedicated higher level management feedback loops on decisions about the process and recommendations for improving the process
- conducting regular internal and external audits and related reporting to audit committees on process effectiveness
- creating formal programs to measure the effectiveness of process activities, and reporting these measurements to higher level managers

2. Develop and publish organizational policy for the process.

Elaboration:

The organizational process focus policy should address

- responsibility, authority, and ownership for performing operational process focus activities, including process appraisal, improvement action planning, and process deployment
- the improvement and deployment of standard processes and supporting assets for managing operational resilience
- procedures, standards, and guidelines for
  - establishing process needs and objectives
  - process appraisal
  - identifying and prioritizing process improvements
  - process performance
  - developing process improvement action plans and tracking process actions
  - process deployment, including training and changes to process assets
- methods for measuring adherence to policy, exceptions granted, and policy violations

OPF:GG2.GP2 Plan the Process

Establish and maintain the plan for performing the organizational process focus process.

Elaboration:

The plan for performing the organizational process focus process, which is often called "the process improvement plan," differs from the process action plans described in OPF:SG2.SP1 and OPF:SG2.SP2. The plan called for in this generic practice addresses the comprehensive planning for all of the specific practices in this process area, from the establishment of organizational process needs all the way through to the incorporation of process-related experiences into the organizational process assets.

Subpractices

1. Define and document the plan for performing the process.

Elaboration:

Special consideration in the plan may have to be given to how the organization incorporates organizational process focus activities for staff who are not under direct control, including external entities such as contractors, service providers, suppliers, and other business partners.

2. Define and document the process description.

3. Review the plan with relevant stakeholders and get their agreement.

4. Revise the plan as necessary.

OPF:GG2.GP3 Provide Resources

Provide adequate resources for performing the organizational process focus process, developing the work products, and providing the services of the process.

Subpractices

1. Staff the process.

   Elaboration:

   A process group typically manages the organizational process focus activities. This group typically is staffed by a core of professionals whose primary responsibility is coordinating organizational process improvement.

   These are examples of staff required to perform the organizational process focus process:

   - operational resilience process group members

   - process owners

   - subject matter experts, including staff knowledgeable about each operational resilience management process area and how to interpret process needs and objectives

   - subject matter experts in project management, configuration management, quality assurance, and relevant engineering disciplines such as security and business continuity

   - process appraisal team members (potentially members of the ORPG)

   - process action planning team members (potentially members of the ORPG)

   - staff responsible for deploying standard processes and process assets and ensuring they are aligned with stakeholder requirements and needs

   - staff responsible for monitoring process performance to ensure effective implementation

   - external entities involved in using process assets and reporting experiences and improvements

   - staff responsible for managing external entities that have contractual obligations to use the work products of the process

   - internal and external auditors responsible for reporting to appropriate committees on process effectiveness

   Refer to the Human Resource Management process area for information about acquiring staff for resilience roles and responsibilities.

2. Fund the process.

Refer to the Financial Resource Management process area for information about budgeting for, funding, and accounting for organizational process focus activities.

3. Provide necessary tools, techniques, and methods to perform the process.

Elaboration:

These are examples of tools, techniques, and methods to support the organizational process focus process:

- techniques for determining and prioritizing process improvements, such as cost-benefit analyses (*Refer to OPF:SG1.SP3.*)
- process appraisal methods, techniques, and tools, such as checklists and data management systems
- methods for determining the effectiveness of process improvement actions
- methods for eliciting process needs and objectives
- action planning techniques and tools
- process improvement tools
- database management systems for capturing process use experiences, lessons learned, and suggested improvements
- web page builders and browsers
- process asset library (*Refer to the Organizational Process Definition process area.*)
- process measurement repository (*Refer to the Organizational Process Definition process area.*)

OPF:GG2.GP4 Assign Responsibility

Assign responsibility and authority for performing the organizational process focus process, developing the work products, and providing the services of the process.

Refer to the Human Resource Management process area for more information about establishing resilience as a job responsibility, developing resilience performance goals and objectives, and measuring and assessing performance against these goals and objectives.

Subpractices

1. Assign responsibility and authority for performing the process.

Elaboration:

Two groups are typically established and assigned responsibility for process improvement: (1) a management steering committee for process improvement to provide sponsorship by higher level managers and (2) a process group to facilitate and manage the process improvement activities.

Responsibility and authority may extend not only to staff inside the organization but to external entities with which the organization has a contractual agreement for improving and implementing standard processes and process assets.

2. Assign responsibility and authority for performing the specific tasks of the process.

Elaboration:

Responsibility and authority for performing organizational process focus tasks can be formalized by

- defining roles and responsibilities in the process plan

- including process tasks and responsibility for these tasks in specific job descriptions

- developing policy requiring organizational unit managers, line of business managers, project managers, and asset and service owners to participate in and derive benefit from the operational resilience management processes, services, and assets under their ownership or custodianship

- developing policy requiring the improvement and deployment of standard processes and process assets

- including organizational process definition focus tasks in staff performance management goals and objectives, with requisite measurement of progress against these goals

- developing and implementing contractual instruments (as well as service level agreements) with external entities to improve and implement standard processes and process assets, where applicable

- including process work products in measuring performance of external entities against service level agreements

Refer to the External Dependencies Management process area for additional details about managing relationships with external entities.

3. Confirm that people assigned with responsibility and authority understand it and are willing and able to accept it.

OPF:GG2.GP5 Train People

Train the people performing or supporting the organizational process focus process as needed.

Refer to the Human Resource Management process area for more information about inventorying skill sets, establishing a skill set baseline, identifying required skill sets, and measuring and addressing skill deficiencies.

Subpractices

1. Identify process skill needs.

Elaboration:

These are examples of skills required in the organizational process focus process:

- process appraisal
- process action planning
- database management
- process measurement for the purpose of process improvement
- knowledge unique to each operational resilience management process area, and assets and services that are the focus of these process areas

- expertise in relevant engineering disciplines such as security and business continuity
- communication
- team building
- action planning
- experience reporting and the development of case studies
- knowledge of the tools, techniques, and methods necessary to improve and deploy standard processes and process assets, including those necessary to perform the process using the selected methods, techniques, and tools identified in OPF:GG2.GP3 subpractice 3
- knowledge necessary to elicit and prioritize stakeholder requirements and needs and interpret them to identify process needs and objectives

2. Identify process skill gaps based on available resources and their current skill levels.

3. Identify training opportunities to address skill gaps.

Elaboration:

These are examples of training topics:
- process improvement reference models, such as the CERT Resilience Management Model
- improving, deploying, and monitoring processes
- process modeling
- planning and managing process improvement, including appraisal and action planning
- facilitation
- change management
- supporting resilience staff in understanding the process and their roles and responsibilities with respect to its activities
- working with external entities that have responsibility for using process work products
- using process methods, tools, and techniques, including those identified in OPD:GG2:GP3 subpractice 3

OPF:GG2.GP6 Control Work Products

Place designated work products of the organizational process focus process under appropriate levels of control.

Elaboration:

Specific practice OPF:SG1.SP1 calls for documenting process needs and objectives. OPF:SG1.SP2 requires that process appraisal plans, findings, and improvement recommendations be captured. OPF:SG2.SP1 requires the documentation of process improvement action plans; OPF:SG3.SP1 requires changes to process assets resulting from action plans. This generic practice covers all organizational process focus work products that are to be placed under control.

These are examples of organizational process focus work products placed under control:
- process needs and objectives

- appraisal plans, findings, and improvement recommendations
- process improvement proposals
- organization's approved process action plans and status, and the results of implementation, including lessons learned
- pilot plans
- training materials for deploying organizational process assets
- plans and guidelines for deploying the organization's set of standard processes for current, new, and acquired organizational units
- changes to process assets
- process-compliance audit results
- process asset measures

OPF:GG2.GP7 Identify and Involve Relevant Stakeholders

Identify and involve the relevant stakeholders of the organizational process focus process as planned.

Subpractices

1. Identify process stakeholders and their appropriate involvement.

    Elaboration:

    These are examples of stakeholders of the organizational process focus process:
    - business process and operational resilience process owners
    - asset owners and custodians
    - service owners
    - organizational unit, line of business, and project managers responsible for ensuring that standard process definitions and process assets are deployed and improved
    - external entities responsible for deploying standard process definitions and process assets
    - those responsible for reviewing and tracking progress and commitments against process action plans
    - internal and external auditors

    Stakeholders are involved in various tasks in the organizational process focus process, such as
    - coordinating and collaborating on process improvement activities with process owners, those who are or will be performing the process, and support organizations (e.g., training staff and external entities)
    - establishing process needs and objectives
    - appraising processes
    - implementing process action plans
    - coordinating and collaborating on the execution of pilots to test selected improvements
    - deploying process assets and changes to process assets
    - communicating the plans, status, activities, and results related to planning, implementing, and deploying process improvements

2. Communicate the list of stakeholders to planners and those responsible for process performance.

3. Involve relevant stakeholders in the process as planned.

OPF:GG2.GP8 Measure and Control the Process

Measure and control the organizational process focus process against the plan for performing the process, and take appropriate corrective action.

Refer to the Monitoring process area for more information about the collection, organization, and distribution of data that may be useful for measuring and controlling processes.

Refer to the Measurement and Analysis process area for more information about establishing process metrics and measurement.

Refer to the Enterprise Focus process area for more information about providing process information to managers, identifying issues, and determining appropriate corrective actions.

Subpractices

1. Measure actual performance against the plan for performing the process.

2. Review accomplishments and results of the process against the plan for performing the process.

    Elaboration:

    These are examples of metrics for the organizational process focus process:
    - percentage of process improvement proposals accepted
    - percentage of planned process improvements implemented
    - percentage of improvements resulting from appraisals
    - percentage of improvements resulting from experience reports and lessons learned
    - CERT Resilience Management Model capability levels
    - elapsed time for deployment of an organizational process asset
    - status against schedule for deployment of an organizational process asset (i.e., met or exceeded and by how much)
    - percentage of organizational units using the organization's current set of standard processes (or tailored versions of same)
    - issue trends associated with implementing the organization's set of standard processes (i.e., number of issues identified and number closed)
    - percentage of waivers approved/rejected by standard process
    - percentage of standard processes that have been tailored, by organizational unit
    - number of times a standard process has been tailored
    - progress toward achievement of process needs and objectives
    - percentage of processes that can be mapped directly to documented critical success factors or an enterprise strategy

3. Review activities, status, and results of the process with the immediate level of managers responsible for the process, and identify issues.

Elaboration:

Periodic reviews of the organizational process focus process are needed to ensure that

- standard processes and process assets are in active use by all organizational units
- process improvement proposals are reviewed and acted upon in a timely manner
- changes and improvements to standard processes and process assets are deployed in a timely manner by all organizational units
- skills necessary to conduct process appraisals, perform action planning, and deploy process assets are available or obtainable
- the effectiveness and suitability of process assets are regularly monitored, reported, evaluated, and improved
- the performance of process activities is being monitored and regularly reported, including the capture of lessons learned
- results from process-compliance audits are reviewed and acted upon in a timely manner
- process issues are referred to the risk management process when necessary
- actions requiring management involvement are elevated in a timely manner
- key measures are within acceptable ranges as demonstrated in governance dashboards or scorecards and financial reports
- actions resulting from internal and external audits are being closed in a timely manner

4. Identify and evaluate the effects of significant deviations from the plan for performing the process.

5. Identify problems in the plan for performing and executing the process.

6. Take corrective action when requirements and objectives are not being satisfied, when issues are identified, or when progress differs significantly from the plan for performing the process.

7. Track corrective action to closure.

OPF:GG2.GP9 Objectively Evaluate Adherence

Objectively evaluate adherence of the organizational process focus process against its process description, standards, and procedures, and address non-compliance.

Elaboration:

These are examples of activities to be reviewed:

- appraisal planning and conduct
- process improvement action planning
- determining and prioritizing process improvement opportunities
- planning and coordinating process improvement activities
- deploying the organization's set of standard processes and process assets
- process-compliance audits

These are examples of work products to be reviewed:

- process needs and objectives
- appraisal plans
- process improvement proposals and plans
- process action plans
- process deployment plans
- process-compliance audit results
- process asset measures
- experiences and lessons learned in using process assets

OPF:GG2.GP10 Review Status with Higher Level Managers

Review the activities, status, and results of the organizational process focus process with higher level managers and resolve issues.

Refer to the Enterprise Focus process area for more information about providing sponsorship and oversight to the operational resilience management system.

Elaboration:

These reviews are typically in the form of a briefing presented to the management steering committee by the process group and the process action teams.

These are examples of presentation topics:

- status of improvements being developed by process action teams
- results of pilots
- results of deployments
- schedule status for achieving significant milestones (e.g., readiness for an appraisal, or progress toward achieving a targeted organizational maturity level or capability level profile)

OPF:GG3 Institutionalize a Defined Process

Organizational process focus is institutionalized as a defined process.

OPF:GG3.GP1 Establish a Defined Process

Establish and maintain the description of a defined organizational process focus process.

Elaboration:

Organizational process focus is itself a defined process. The subpractices that normally appear here are not included due to their metalevel and recursive nature (appraising processes, improving and deploying processes, and monitoring process performance). *(Refer to the Generic Goals and Practices document in Appendix A for further guidance.)*

OPF:GG3.GP2 Collect Improvement Information

Collect organizational process focus work products, measures, measurement results, and improvement information derived from planning and performing the process to support the future use and improvement of the organization's processes and process assets.

Elaboration:

These are examples of improvement work products and information:

- criteria used for prioritizing candidate process improvements
- appraisal findings that address strengths and weaknesses of the organization's processes
- status of improvement activities against the schedule
- records of tailoring the organization's set of standard processes and their implementation in organizational units
- changes and trends in operating conditions, risk conditions, and the risk environment that affect process activities
- lessons learned in post-event review of incidents and disruptions in continuity that have to be reflected in process assets
- resilience requirements that are not being satisfied or are being exceeded

Subpractices

1. Store process and work product measures in the organization's measurement repository. (*Refer to OPD:SG1.SP3 for further details.*)

2. Submit documentation for inclusion in the organization's process asset library. (*Refer to OPD:SG1.SP4 for further details.*)

3. Document lessons learned from the process for inclusion in the organization's process asset library. *(Refer to OPF:SG3.SP4 for further details.)*

4. Propose improvements to the organizational process assets as described in the specific goals and practices of the Organizational Process Focus process area.