DRJ SPRING 2020
March 15-18, Orlando

What to Expect When Expecting . . . Your Auditor

10:45 AM – 11:45 AM, TUESDAY, MARCH 17, 2020

Your Speakers

Ava Wallace – Pioneer Natural Resources, Records Operations Supervisor, Dallas, TX
CBCP

- Ava Wallace is a Business Continuity Coordinator for Pioneer Natural Resources.
- She is responsible for the development and implementation of Business Continuity plans, BIAs and exercises.
- She partners with both IT and Management to discuss strategies and opportunities for enhancement of the program.

Robbie Atabaigi – KPMG LLP, Lead Specialist, Cyber Services, Atlanta, GA

MBCP, MBCI, CISA, ITIL Foundation, CERT

Over 30 years of experience in developing and evaluating many aspects of enterprise risk management including Emergency Preparedness and Response, Crisis Management, Disaster Recovery, and Business Continuity.

She has a breadth and depth of experience across industries with a focus in assisting organizations to maintain availability of critical business functions and resources.

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Pioneer Natural Resources

- Pioneer Natural Resources is a large independent exploration and production company focused on delivering competitive and sustainable results.

- Pioneer responsibly produces oil and gas resources to help meet the world's energy demands as it provides opportunities for growth and enrichment to 3191 employees, business partners and the communities in which the Company operates.

- Our success is based on our unique culture and the enthusiasm, commitment and talent of employees.

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Pioneer BC Program

- BC Program Reporting

- History of BC Program
  - Age of the Program
  - Tools
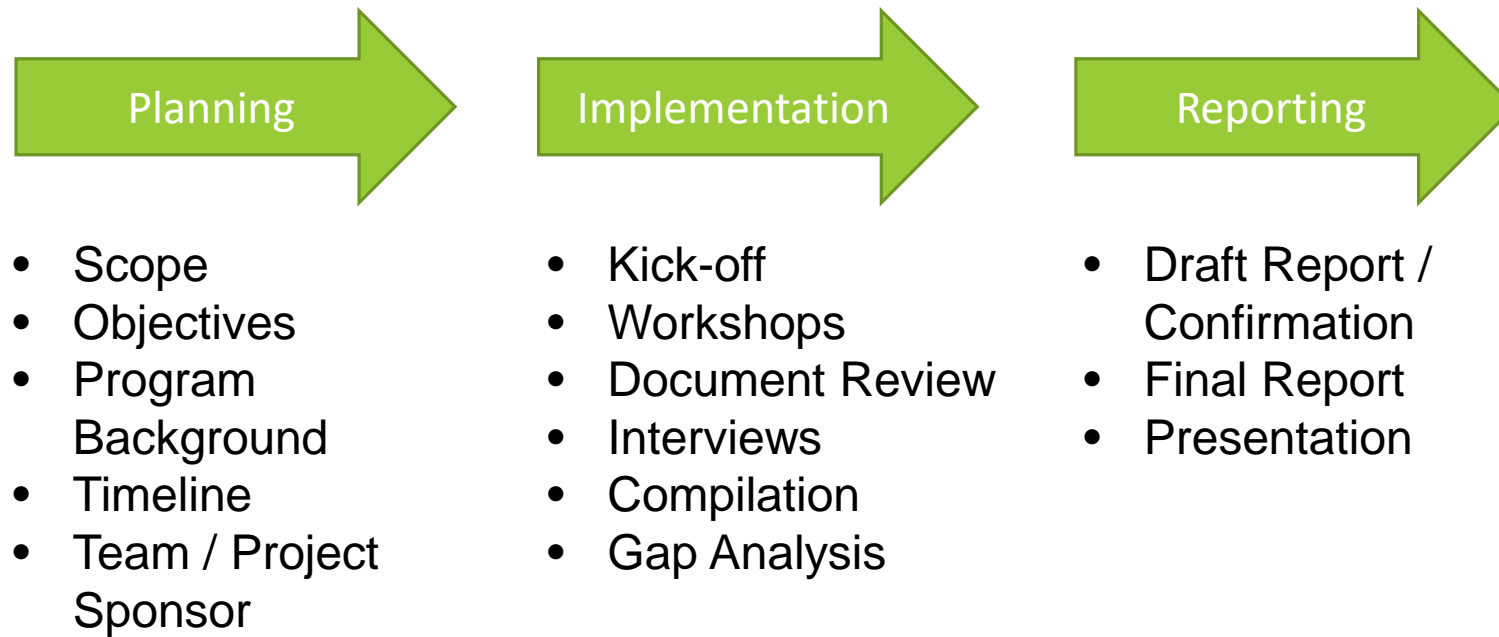 - # of Plans
  - Updating process, etc.

The Audit Process

A few clarifications:

- Self-Assessment

- Internal Audit
  - In-House
  - Business Partner / Auditor

- External Audit

- Audits are at specific point in time

Overview

Planning →

- Scope
- Objectives
- Program Background
- Timeline
- Team / Project Sponsor

Implementation →

- Kick-off
- Workshops
- Document Review
- Interviews
- Compilation
- Gap Analysis

Reporting →

- Draft Report / Confirmation
- Final Report
- Presentation

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Planning

The process starts with a discussion to obtain background on the program, determine objectives, as well as the in-scope portions of the program, and timing.

- Didn't know what to expect . . .
  - Who / What / Where / How / Why

- Reviews, comments and agrees to the audit approach

- Collaboration and Education

- Develop and confirm the in-scope process, control objectives, risk, test plan, and timelines

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Implementation

Once agreement is reached on scope, timing, etc. then the process and fieldwork formally begins . . .

- Attend and participate in kick-off meeting

- Provides / distributes documentation

- Schedule interviews

- Attends Interview and is the point person to obtain / distribution additional documentation

- Conduct kick-off meeting to confirm objectives, escalations, resources, timelines / milestones, and communication frequency

- Fieldwork begins - Request relevant documentation including previous audit reports

- Requests interviews with key stakeholders

- Review documentation received and note any gaps

- Conduct interviews to obtain clarification on documentation reviewed and obtain evidence

- Field work ends - Conduct analysis with information obtained during the interviews, record the evidence, and document the observations / gaps

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Reporting

The findings must be documented, confirmed, reported, and presented.

- Schedule a review session with the project sponsor and discuss the findings

- Draft Audit Report and submit for Management review

- Work through management comments and issue the final audit report

Audit Report

- Intro / Scope / Objectives
- Executive Summary
- Observations
- Risks
- Recommendations
- Ratings
- Management Response
- Appendices
  - Documents Reviewed
  - Interviewees
  - Maturity Rating
    - Target
    - Peers

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Audit Results

- Governance
  - Policy Framework

- Risk Assessment

- BIA Refresh

- Plan updates

- Training and Awareness

- Testing and Exercises

- Continuous Process Improvements

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Common BCM Program Focus Areas

Program Governance
- Oversight
- Regulation / Standard
- Actionable Policy
- Framework with Roles and Responsibilities / Accountability
- Frequency of Updates / Reviews
- Plan Distribution and Methods

Risk Assessment
- Methodology and Approach (Qualitative)
- Analysis of Threats / Vulnerabilities
  - Natural
  - Man-Made
  - Technical
- Existing Controls and BCM Capabilities
- Mitigation Strategies

Business Impact Analysis
- Methodology and Approach (Quantitative and Qualitative)
- Stakeholder Input
- Business vs. Technology Driven
- Interdependencies
- RTOs / RPOs
- Alternate Operating Procedures
- Resource Requirements

Strategy Evaluation & Implementation
- Linkage to Findings From Risk Assessment and BIA
- Partnership Between Business and Technology
- Cost Benefit Analysis
- Chosen Prior to Plans being Developed

Plan Structure and Documentation
- Plan Development Schedule
- Consistent format – Understandable, Task-Driven, Easy to Maintain
- Addresses Both Business and IT Resumption
- Identifies Resources and Timeline
- Return to "Normal / Business as Usual"

Training & Communications
- Existence and Evidence of Execution
- Training Schedule
- Types Offered
- Participants (New and Existing Employees)
- Training Content
- Training Results
- Linkage to Other Training Programs

BCP Testing & Results
- Exercise Schedule, Involvement and Frequency
- Exercise Type
- Involvement of Business Partners and Supply Chain
- Testing Content
- Testing Results
- Incorporation of Lessons Learned

Maintenance
- Change Management
- Maintenance Logs
- Frequency of Updates / Reviews
- Plan Distribution and Methods
- Storage / Security of Plans

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Benefits of the Audit

- Improved BC Program

- Involved others to resolve audit items

- Commitment from others

- Education at all levels

- Maturity
  - BC Program
  - Professional

Thank You!

Ava Wallace

Ava.Wallace@pxd.com

Office: 214-406-8259

Robbie Atabaigi

ratabaigi@kpmg.com

Cell: 404-375-8754

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