

# BC3: BC Plan Profiling

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# Agenda

- Wells Fargo BCP Overview
- Why Profile Plans?
- Plan Types
- Profile Process Overview
- Potential Profile Findings/Results
- LOB Role in Plan Profiling
- Management Reporting
- Question and Answer

# Wells Fargo Overview

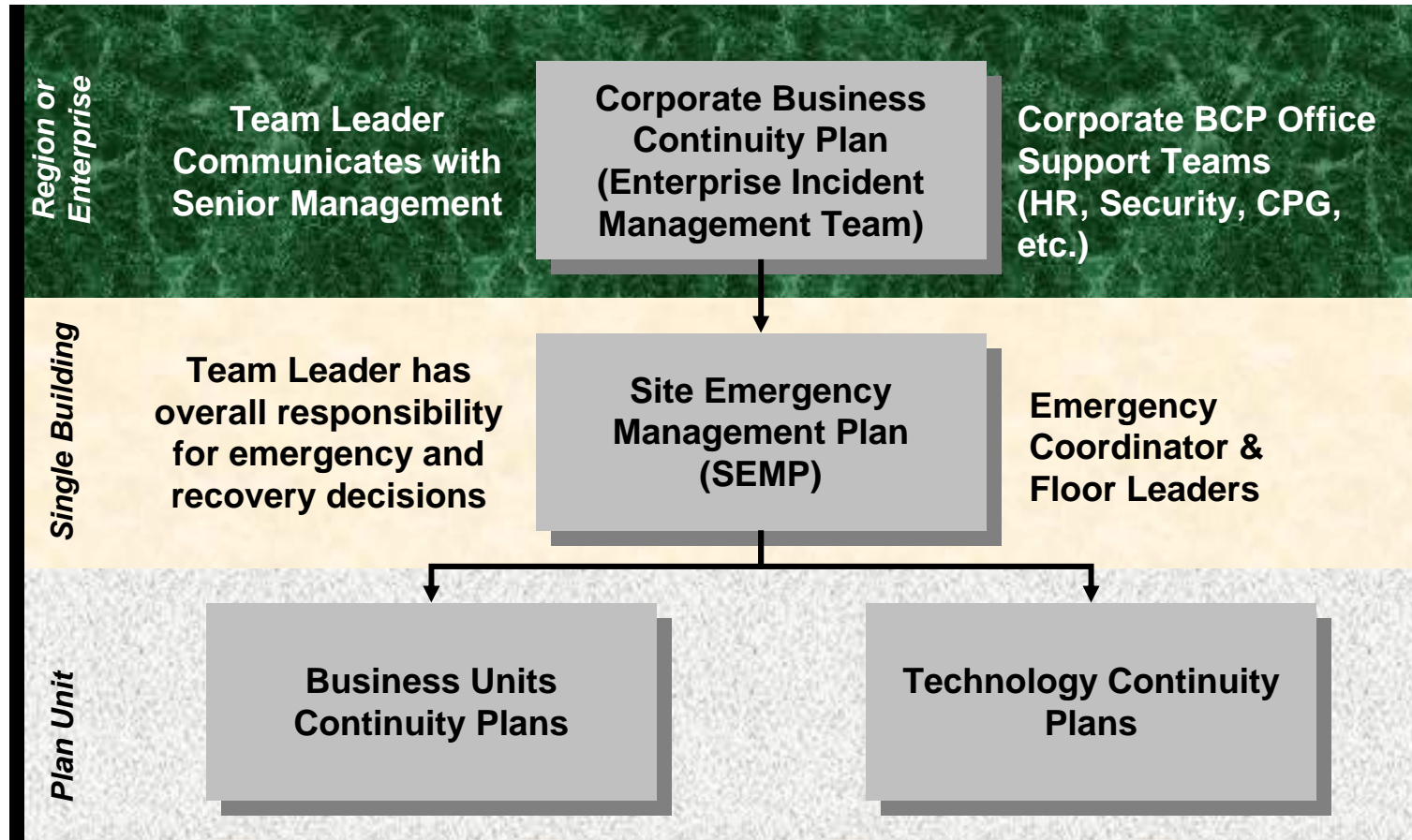
- Diversified Financial Services Company
- Headquartered in San Francisco
- Providing banking, insurance, investments, mortgage and consumer financing
- Distribution Channels:
  - 6250 retail stores
  - 6550 ATMs
  - 11 Call Centers with 4000 Phone Bankers
  - The internet “[www.wellsfargo.com](http://www.wellsfargo.com)”

# Wells Fargo Overview

- 500 Billion in Assets
- 105 + Billion Market Cap
- Over 163,000 Team members

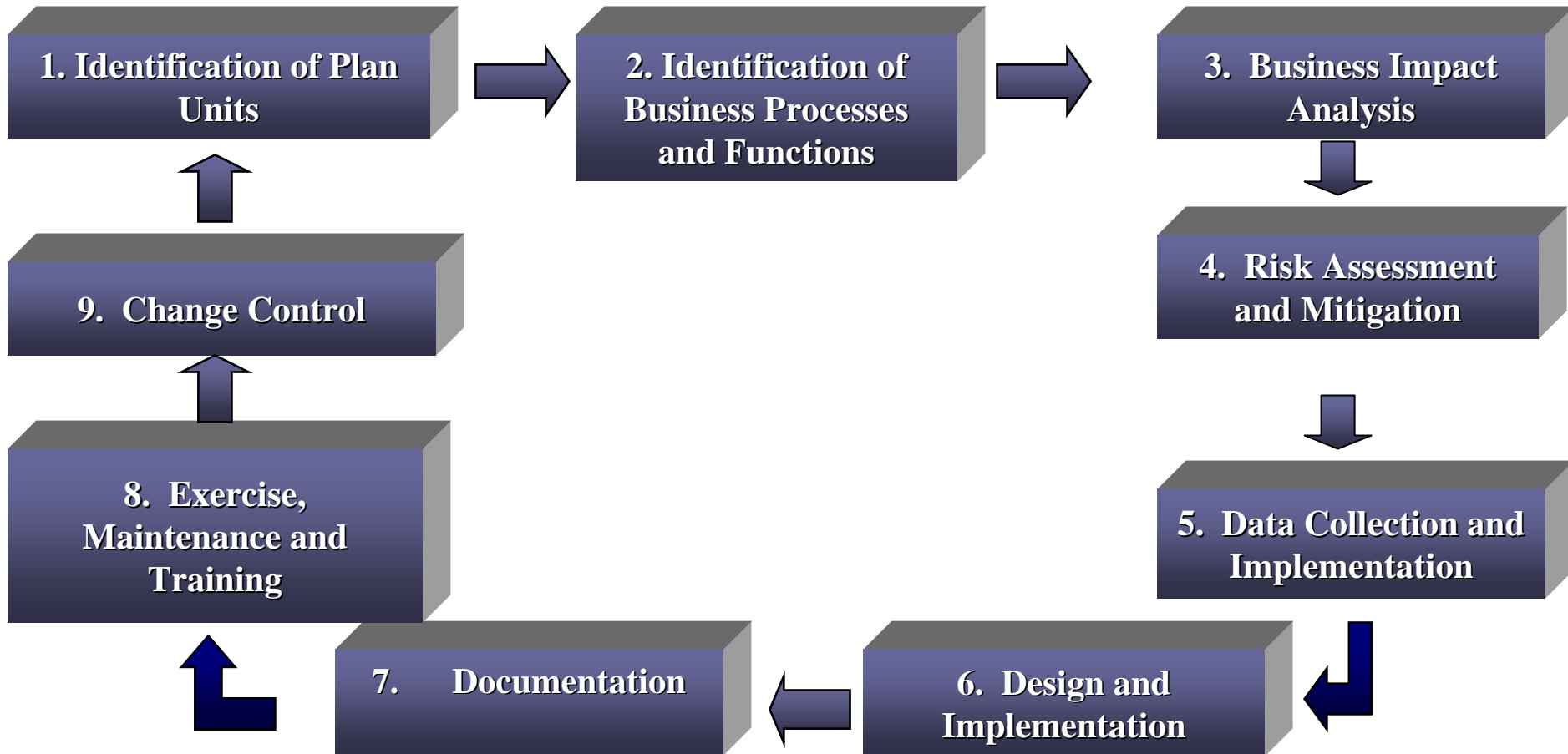
# Wells Fargo Overview

## Plan Structure



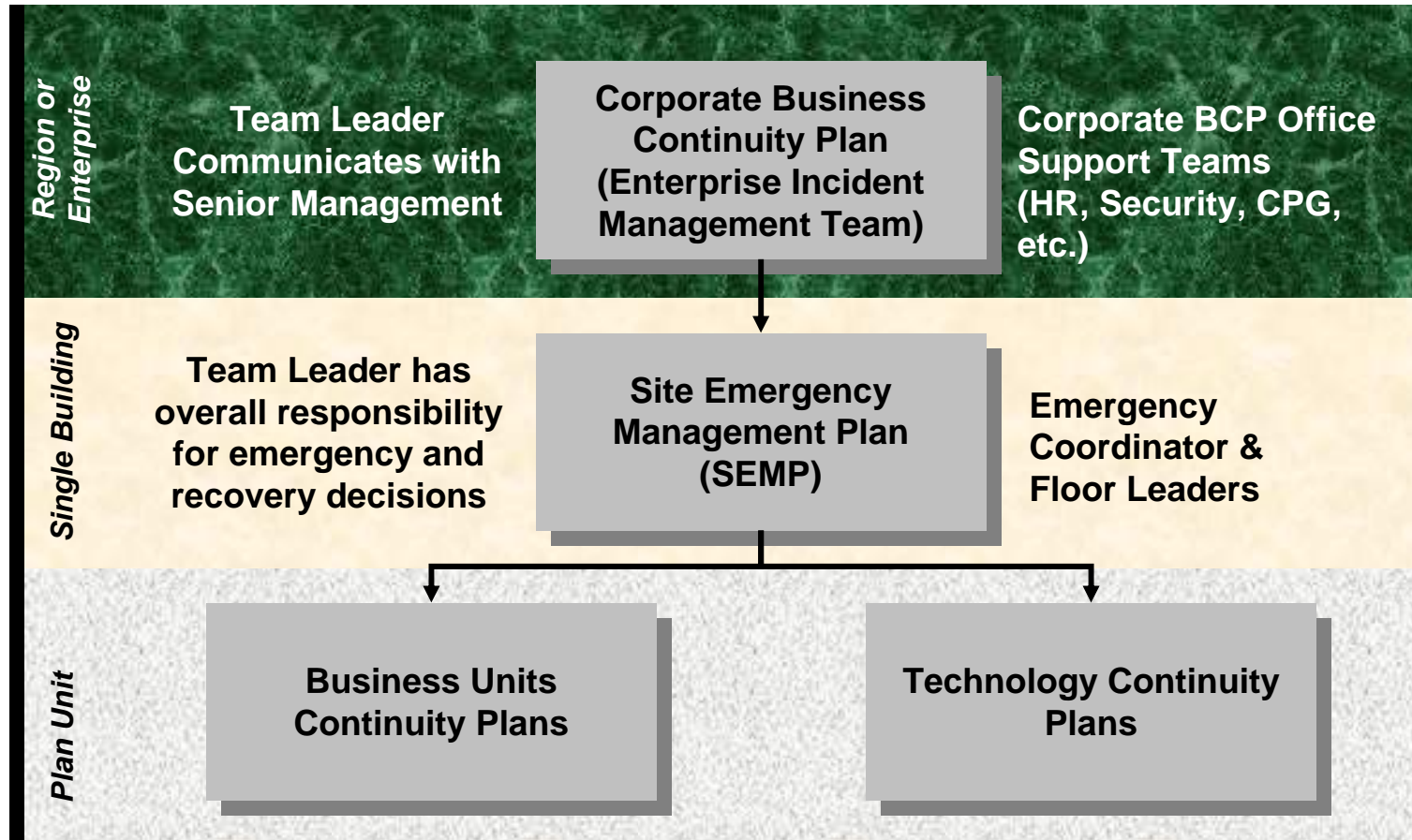
# Wells Fargo Overview

## Integrated Multi Step Business Continuity Planning



# Wells Fargo Overview

## Plan Structure



# Why Profile Plans?

- Direct response to a request from the Office of Comptroller of the Currency (OCC)
- Independent review and reconciliation of a plan and its supporting components
- Provides another tool whereby the viability and soundness of a plan can be measured at a point in time



# Plan Types

- Business Unit Plans (Those functions and processes that generate revenue and serve customers)
- Mainframe Application and System Technology Plans (Those large applications and systems that provide support and technology to the business units)
- Client/Server Technology Plans (Those smaller to mid-range applications and systems that provide support and technology to the business units)

# Process Overview – Business Unit Plan

- Review Current Business Impact Analysis (BIA) data
- Review Current Quality Assurance data
- Review Current Risk Assessment data
- Review Most Recent Simulation data
- Review all of the above components against each other and against the completed BC plan

# Process Overview – Mainframe Technology Plan

- Review current Recovery Members report
- Review current Recovery Procedures data/document
- Review current Risk Assessment data
- Review current Quality Assurance data
- Review Most Recent Simulation data
- Review all of the above components against each other and against the completed BC plan

# Process Overview – Client Server/Technology Plan

- Review current Risk Assessment data
- Review current Quality Assurance data
- Review Most Recent Simulation data
- Review all of the above components against each other and against the completed BC plan

# Sample Profile Findings for Business Unit Plans

- BIA time interval for recovery not supported by Application RTO
- Inappropriate or inadequate recovery solutions
- QA Findings not addressed
- No or inadequate Action Plan detail for identified risks
- Inappropriate scenario utilized to simulate recovery
- No Significant Issues

# Sample Profile Findings for Mainframe Plans

- Workplace location not listed in associated business plan
- Recovery Solution document does not contain adequate recovery information
- QA Findings not addressed
- Risk statements answered incorrectly/inappropriately/incompletely
- Simulation documentation inadequate
- No Significant Issues

# Sample Profile Findings for Client/Server Plans

- Simulation not performed
- M=QA completed by Plan Owner/Administrator
- H=Incomplete/Inadequate QA review
- M=Risk Assessment not approved by management
- M=Other (see comments)
- No Significant Issues

# LOB Role in Plan Profiling

- Assist the person conducting the plan profile in securing current copies and approval of supporting documents
- Attending a post plan profile meeting with the Profiler to discuss the findings
- Resolve findings or set target date for resolution of within 30 days of meeting
- Track issues to resolution



# Profile Reporting

- Findings report provided to BC plan owner
- Ad-Hoc reporting capabilities to track progress against completed profiles including open findings, closed findings, past due findings and most common findings
- Monthly reporting provided LOB's for summary information on their profiles
- Quarterly reports that go to management in a package with other BCP Key Risk Indicators.