



# *Operational Resilience and Technology Risk management*

*Helping functions build capability  
fit for the future*

Michael is a partner in PwC's Risk Assurance Practice based in Toronto. He specializes in Technology Risk Management and Operational Resilience.

Michael recently moved to Toronto from London, England where he has spent the last 16 years working with Financial Institutions to establish or improve their technology risk capabilities and embed Operational Resilience into the organization.

Although Michael has spent most of his career in audit and consulting, he has also worked in industry leading Technology Risk functions and building Operational and Technology Resilience capabilities across the three lines of defense.



*Michael Auret*

## **Session introduction**

Operational Resilience is a subject that has risen to increased prominence over recent years and this trajectory is unlikely to change in the foreseeable future. Technology advances allied to increased consumer demands create an increasingly challenging environment in which to deliver services. Meanwhile, instant and high-profile feedback through social media elevates resilience issues to a new level of scrutiny. Recent prominent and sustained incidents have made operational resilience topical, while global regulators continue to enhance their expectations on resilience capabilities, even though the rule books are still to change.





# Disaster Recovery Information Exchange

## Toronto Chapter

# *Third Party Risk Management*

## *Third Party Risk Management Framework*

Ken Stoneham is a Partner in PwC's Risk Assurance practice in Toronto. He specialises in providing risk management and information systems services to a variety of large public and private clients in the Financial Services industry. For the past 13 years Ken has assisted clients find the right balance of risk management and controls to enable nimble and effective operations while managing risk and building trust and transparency.

Ken leads PwC Canada's Third Party Risk Management and Governance practice. In this role Ken assists clients in developing and enhancing their third party risk management and oversight programs to enable effective oversight of third party and affiliate relationships in response to the recent and ongoing market and regulatory changes. In addition, Ken has also assisted clients navigate the sourcing journey relating to outsourcing core business and IT functions from assessing the feasibility of outsourcing to identifying and evaluating the market options for providers and supporting client transitions to new delivery models. Ken incorporates this sourcing advisory experience to help find an optimal balance between risk management and business imperatives when advising on the design, implementation and optimization of third party risk management programs.

In addition to his role assisting clients in enhancing their third party risk management programs Ken also provides Performance Assurance services. Ken leads a number of engagements to provide independent attestation opinions over the design, implementation and operation of controls under various attestation reporting standards including CSAE 3416, SSAE 18, ISAE 3402, ISAE 3000, CSAE 3000, and more. He also has extensive experience in providing risk management, process optimization, and controls design and optimization services through external audit services, internal controls certification services, internal audit services, and project assurance services.



*Kenneth Stoneham*

### ***Session introduction***

PwC's Third Party Risk Management (TPRM) Framework outlines their perspective on the effective management of Third Party risk across an organization. This framework has been developed based on their understanding of regulatory requirements and sound industry practices.



## *Supply Chain Risk*

### *Embracing Organizational Resilience to anticipate and thrive*

Gary Robinson, is an SVP and Director for BSI Americas Information Solutions practice and resides in Ottawa, Canada. Gary helps drive business value from adopting information technology to enhance operational, supply chain and information resilience. He has held multiple BSI leadership positions in Canada, North America and Europe and has over 20 years' experience helping organizations implement management system best practice through technology innovation.



*Gary Robinson*

#### **Session introduction**

Under the framework of embracing organizational resilience. Gary will discuss insights from the recently published BCI Horizon Scan Report covering key disruptions from 2018 and forward looking threats for 2019.

Examples will be highlighted based on analysis from BSI's Supply Chain Risk and Intelligence and EHS Information Solutions practices to provide additional context and stress the importance of taking a more holistic view of their business health and success, rather than just focusing on risk management.

This year's findings provide great insights to help organizations anticipate, prepare for and respond to change disruption and thrive in a changing business environment. Achieving mastery of organizational resilience provides a greater likelihood for organizations to spring forward, seize opportunities and pass the test of time.



# *Third Party Business Continuity and Disaster Recovery*

## *From a Financial Institution Perspective*



*Kevin Shea*

### ***Session introduction***

Third Party Business Continuity and Disaster Recovery from a Financial Institution Perspective

As a Risk Manager and representative of the second line of defense, Kevin is responsible for the design, implementation, maintenance of the Bank's Threat Assessments and Enterprise-wide Service Provider Business Continuity Program.

He provides leadership and strategic direction on the design, implementation and maintenance of the Bank's Service Provider Business Continuity Program by leveraging industry best practices, applying continuous process improvements and working with internal and external business partners. This includes regular review and enhancements of the Program's to ensure they are effective in mitigating supplier business disruption.

A key accountability of the role is supporting the Bank's preparedness to a broad range of business continuity threats by leading and overseeing EBCCM's threat assessment program. The Threat Assessment supports the Crisis Management and Exercise Testing programs with key scenarios.





# *Third Party Business Continuity and Disaster Recovery*

## *From a Financial Institution Perspective*



*Don Oliver*

### **Session introduction**

Third Party Business Continuity and Disaster Recovery from a Financial Institution Perspective

Don is a Senior Manager in TD Bank's Technology Risk Management and Information Security Disaster Recovery (TRMIS DR) business based in London, Ontario. He leads TD's Enterprise Disaster Recovery governance team.

The TD Bank Enterprise Disaster Recovery Program is responsible for DR Governance for all of TD Bank's Businesses globally and includes DR governance of TD Bank critical 3rd parties.

Don has 20 years' experience in Technology and Information Security.

His team is responsible for Enterprise Disaster Recovery Standards, governance of data management, and representing TD's technology businesses on several enterprise crisis, response and incident management teams.

Prior to his role in TRMIS DR, he managed the Enterprise Change and Problem Management Teams, the London Remote Operations Site and assisted in the management of the ITIL Program.

He graduated with a BSc from the Fisher School of Business, Ohio State University, and was a professional hockey player.

