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The Value Of Planning



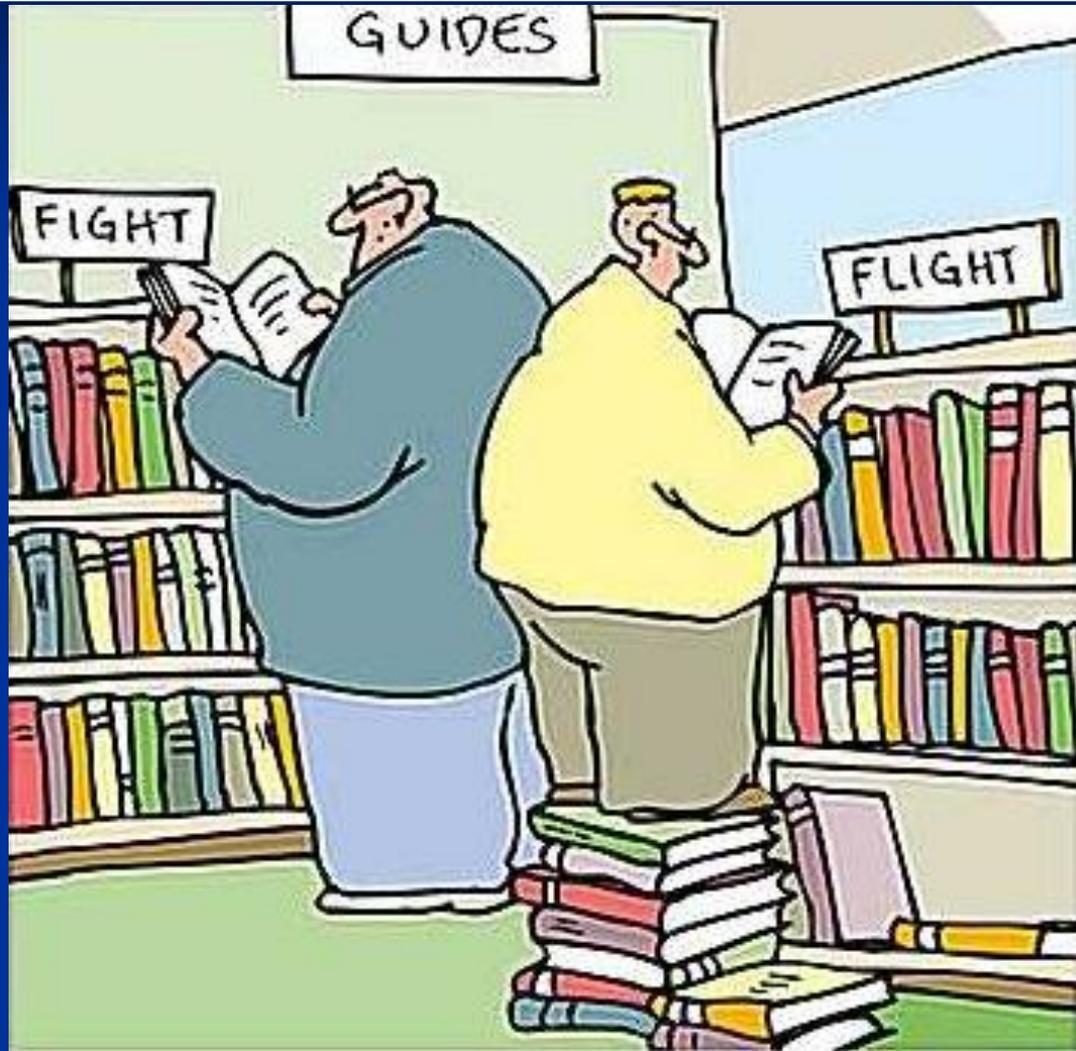
A practical perspective!

“Plans are nothing!

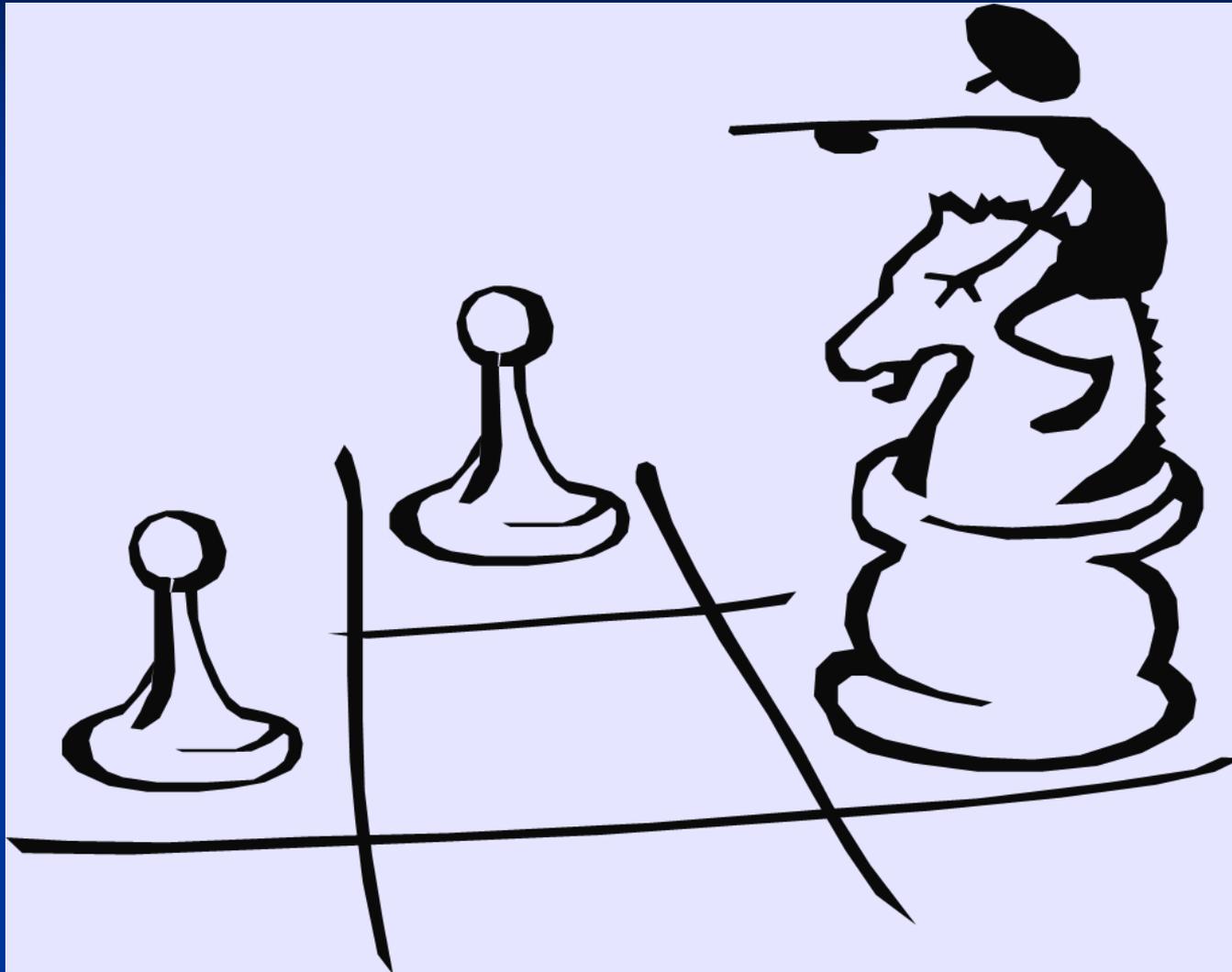
But *planning* is
everything!”

Gen. Dwight D. Eisenhower

Historical Perspective



A Strategic Perspective



Clear Up Some Confusion



How Prepared is the U.S.?



The Role Of Preparedness

According to the *Brookings Institute*, 15% of the value of an enterprise resides in tangible assets, while 85% rests in intangible assets - the largest part of those intangibles being information.



Signed Aug. 3, 2007

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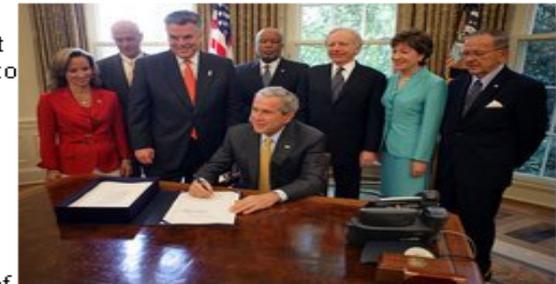
For Immediate Release
Office of the Press Secretary
August 3, 2007

President Bush Signs "Implementing Recommendations of the 9/11" into Law

Today, I signed into law the "Implementing Recommendations of the 9/11 Commission Act of 2007." This legislation builds upon the considerable progress we have made in strengthening our defenses and protecting Americans since the attacks of September 11, 2001. In the largest restructuring of our government since World War II, we created the Department of Homeland Security to better coordinate the protection and response capabilities of our government. The Director of National Intelligence leads a restructured intelligence community that is better able to uncover, understand, and counter threats from terrorists. To implement the recommendations of the 9/11 Commission, I have issued numerous Executive Orders, Presidential Directives, and National Strategies. I have also signed into law the Intelligence Reform and Terrorism Prevention Act of 2004, the PATRIOT Act, and other important pieces of legislation.

I am pleased that the legislation I signed today protects Americans from being unduly prosecuted for reporting activity that could lead to acts of terrorism. I also appreciate the steps taken to modernize the Visa Waiver Program, particularly the additional security measures, but I will continue to work with Congress to advance our security and foreign policy objectives by allowing greater flexibility to bring some of our closest allies into the program. I will also continue to work with Congress to ensure the workability of the cargo screening provisions in a way that increases our vigilance on homeland security while ensuring the continuance of vital commerce. And I appreciate the willingness of Congress to remove several provisions that had previously generated concern.

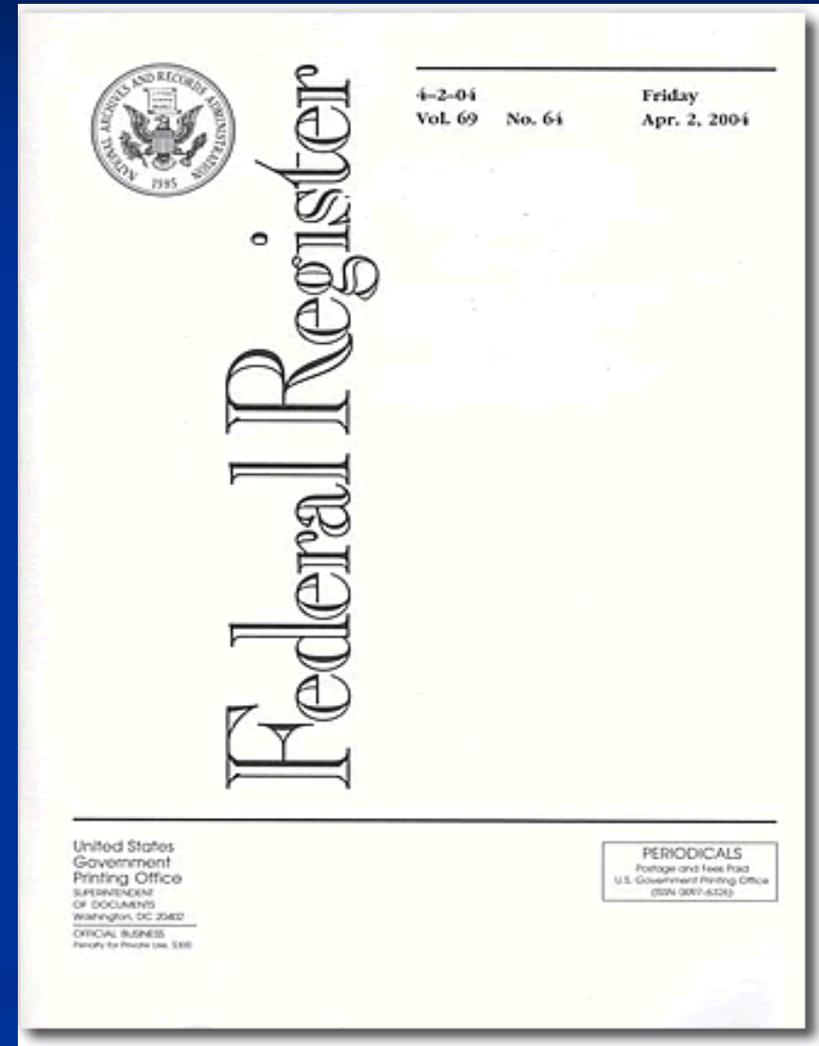
There is still other work to be done. I continue to believe that Congress should act on the outstanding 9/11 Commission recommendations to reform the legislative branch's oversight of intelligence and counterterrorism



Two Federal Register Announcements

Noteworthy Dates

- Dec 24, 2008
- Oct 16, 2009
- Jun 5, 2010
 - Letter from Congress
- June 15, 2010



PS Prep Timeline

2002

2004

Q3 2001	Q4 2001	Q1 2002	Q2 2002	Q3 2002	Q4 2002	Q1 2003	Q2 2003	Q3 2003	Q4 2003	Q1 2004	Q2 2004	Q3 2004	Q4 2004	Q1 2005	Q2 2005	Q3 2005	Q4 2005	Q1 2006	Q2 2006
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9/11
Attack

9/11
Commission
Report

2006

2008

2010

Q3 2006	Q4 2006	Q1 2007	Q2 2007	Q3 2007	Q4 2007	Q1 2008	Q2 2008	Q3 2008	Q4 2008	Q1 2009	Q2 2009	Q3 2009	Q4 2009	Q1 2010	Q2 2010	Q3 2010	Q4 2010	Q1 2011	Q2 2011
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PL 110-53
Proposed

PL 110-53
Signed In
Law

Sloan
Report

S & P
Comment

ANAB
Selected

Fed Reg
Notice
Initial
Standard
Comment

Fed Reg
Notice
3 Proposed
Standards

Letter
from
Congress

Final
Standards
Announced

ANAB
Opens
Registration

Auditor
Training
& 1st Audits

PS-Prep
Program
Implemented

PS-Prep: Twenty Four Titles

TITLE I—HOMELAND SECURITY GRANTS ←

TITLE II—EMERGENCY MANAGEMENT PERFORMANCE GRANTS ←

TITLE III—ENSURING COMMUNICATIONS INTEROPERABILITY FOR FIRST RESPONDERS ←

TITLE IV—STRENGTHENING USE OF THE INCIDENT COMMAND SYSTEM ←

TITLE V—IMPROVING INTELLIGENCE AND INFORMATION SHARING WITHIN THE FEDERAL GOVERNMENT AND WITH STATE, LOCAL, AND TRIBAL GOVERNMENTS ←

TITLE VI—CONGRESSIONAL OVERSIGHT OF INTELLIGENCE

TITLE VII—STRENGTHENING EFFORTS TO PREVENT TERRORIST TRAVEL ←

TITLE IX—PRIVATE SECTOR PREPAREDNESS

TITLE XI—ENHANCED DEFENSES AGAINST WEAPONS OF MASS DESTRUCTION

TITLE XII—TRANSPORTATION SECURITY PLANNING AND INFORMATION SHARING ←

TITLE XIII—TRANSPORTATION SECURITY ENHANCEMENTS ←

TITLE XIV—PUBLIC TRANSPORTATION SECURITY ←

TITLE XV—SURFACE TRANSPORTATION SECURITY ←

TITLE XVI—AVIATION ←

TITLE XVII—MARITIME CARGO ←

TITLE XVIII—PREVENTING WEAPONS OF MASS DESTRUCTION PROLIFERATION AND TERRORISM

TITLE XIX—INTERNATIONAL COOPERATION ON ANTITERRORISM TECHNOLOGIES

TITLE XX—9/11 COMMISSION INTERNATIONAL IMPLEMENTATION

TITLE XXI—ADVANCING DEMOCRATIC VALUES

TITLE XXII—INTEROPERABLE EMERGENCY COMMUNICATIONS

TITLE XXIII—EMERGENCY COMMUNICATIONS MODERNIZATION

TITLE XXIV—MISCELLANEOUS PROVISIONS

What Title IX Calls For

-  Selection of one *or more* Business Resiliency Standards
 - NFPA 1600 is specifically cited
 - Flexibility for industry-specific standards
 - Mention is made that consideration should be given to the needs of SMBs

-  A credentialing agency will be named
 - 210 Day guideline (2008)

-  This agency in turn, will credential *Service Providers (CB/Rs)*
 - Conflict of Interest guidelines mentioned

-  Business passing the audit will be posted on a special ANAB site

What Title IX *Does Not* Call For

- Mandatory audits – No! They are voluntary, but there is market pressure!
- Audit by “Certified” Service Provider. Watch out - anyone can offer to do them, but ANAB will not recognize them
- Imply that a business will receive a benefit for this action
 - Insurers are being asked to factor the audit into risk determinations
 - Rating agencies are planning to sell a new form of “credit” information
 - Executives are being told that an audit might be an “affirmative defense”
 - Lawyers are mixed in their reaction and warn that it might increase exposure
 - Internal auditor are concerned about the cost and increased complexity
 - Business resiliency professionals are hopeful this will lend them support
- There is Federal funding for these efforts. No! An unfunded mandate

Gaining Momentum (Finally)

- ANAB holds meeting with interested Certification Bodies
(American National Standards Institute/American Society for Quality - ANSI/ASQ)
ANSI National Accreditation Board => ANAB
- ANAB solicits information on training program
- ANAB begins accepting applications - Oct. 2010??
- Training and audits begin - CY - Q4/ 2010
- Will gain market attention and acceptance - FY – Q1/ 2011

Who Sets Standards?



- Industry Groups
 - 18 CIKR
- Standard Development Organization (SDOs)
- Various Government Agencies
- Many, many others

International Standards



International
Organization for
Standardization

International Standards for Business, Government and Society

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Standards development

print

In this section you can find out more about the standards [development processes](#) and [procedures](#) to be followed by ISO committees for the development and drafting (and subsequent maintenance) of International Standards and other [ISO deliverables](#).

You can also find the list of all ISO technical committees with links to their respective working areas on the ISOTC server. Detailed information about the structure, scope of work, participation, etc., of each committee is accessible from this list.

[Governance of the technical work](#) explains the principles and rules applicable to the standards development process and gives details about [intellectual property rights](#) in standards.

The section also gives access to the various [tools](#) and related [supporting services](#) available to facilitate the work of standards developers.

Related information

- [List of ISO technical committees](#)
- [ISO/IEC directives](#)
- [ISO catalogue](#)
- [My ISO job](#) (PDF, 1500 kB)
- [Joining in Participating in International Standardization](#) (PDF, 680 kB)
- [How ISO/IEC Guides add value to international standards](#) (PDF, 515 kB)
- [ISO/IEC guides](#) (PDF, 142 kB)

IT applications

- [ISOTC server](#)
- [Global directory](#)
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- [Balloting portal](#)
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- [NMC server](#)
- [Training in IT applications](#)
- [Event notifications](#)
- [Guides to ISO's IT applications](#)
- [ISO eServices Update](#)

How It Works

International Group of Accreditation Bodies

Peer Review

Accreditation Bodies

Usually a *national organization* that administers the certification process including appointment of Certifying Bodies/Registrars (CBR)

International Accreditation Forum (IAF)
Multilateral Recognition Agreement (MRA)

End Clients

Certified Body/Registrar

An *independent, commercial firm* that hires qualified auditors, markets to clients, and conducts the audit, then ongoing surveillance and issues the certification documents



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- ★ Appeals
- ★ Applications
- ★ EQM Database
- ★ Preparedness
- ★ Certification Totals

The **ANSI-ASQ National Accreditation Board** provides accreditation services under the **ACLASS** and **ANAB** brands.

Under the [ACLASS](#) brand, the organization accredits ISO/IEC 17025 testing and calibration laboratories, ISO/IEC 17020 inspection bodies, and ISO Guide 34 reference material producers.

Under the ANAB brand, the organization is the U.S. accreditation body for management systems and accredits certification bodies for:

- ISO 9001 quality management systems (QMS)
- ISO 14001 environmental management systems (EMS)
- ISO/IEC 27001 information security management systems (ISMS)
- ISO 22000 food safety management systems (FSMS)
- ANSI/AIHA Z10, CSA Z1000, and BS OHSAS 18001 occupational health and safety management systems (OHSMS)
- ISO 28000 supply chain security management systems (SCSMS)
- ISO/IEC 20000-1 information technology service management systems (ITSMS)
- Recycling Industry Operating Standard (RIOS)
- e-Stewards Standard
- Responsible Recycling
- Numerous industry-specific requirements

The ANSI-ASQ National Accreditation Board is a member of the International Laboratory Accreditation Cooperation (ILAC) and the International Accreditation Forum (IAF), and is a signatory of the ILAC and IAF multilateral recognition arrangements. Through these arrangements, the ANSI-ASQ National Accreditation Board cooperates with other accreditation bodies around the world to provide value to the organization it has accredited and their clients, ensuring that accredited certificates are recognized nationally and internationally. The global conformity assessment system ensures confidence and reduces risk for customers engaging in trade worldwide.

Notice: QSI Accreditation Withdrawn

QSI Auditing and Certification Services, LLC, is no longer accredited by ANAB. Any ANAB-accredited certificates issued by QSI are no longer valid. For more information, please send e-mail to anab@anab.org or call 414-347-9858, ext. 7827.

Court Rules in Favor of ANAB

The U. S. District Court of Massachusetts has ruled in ANAB's favor in a summary judgment against American Global Standards (AGS). The court found that AGS had used the accreditation mark of the ANSI-RAB National Accreditation Program (ANSI-RAB NAP, the predecessor of ANAB) without permission to deceive customers into believing that AGS was still accredited by ANAB (the ANSI-RAB NAP).



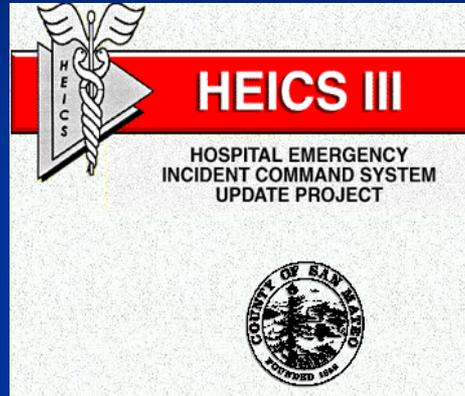
Scope Of Expertise

Company

Area of Certification

Accredited Certification Body	Reg No	QMS	BCM	H&SMS	FSMS	PROD	EMS	EMAS	PERS	ISMS
ACM Limited	0246									
ACS Registrars Ltd	0229									
Action Renewables Ltd	4359									
AFAQ-EAQA Ltd	0022									
AGR Certification Ltd	0223									
AIB International Ltd	0200									
AJA Registrars Europe srl	0273									
AJA Registrars Limited	0059									
AMTAC Certification Services Ltd	0061									
Amtri Veritas Ltd	0042									
Arrowhead Industrial Services Ltd	0249									
Asisco Limited	0282									
BABT	0172									
BASEEFA (2001) Limited	0191									
Beijing United Intelligence Certification Co Ltd	0277									
Biodynamic Agricultural Association - Demeter Certification	4328									
Blue Flame Certification Limited	0240									
BM TRADA Certification Limited Incorporating CQA	0012									

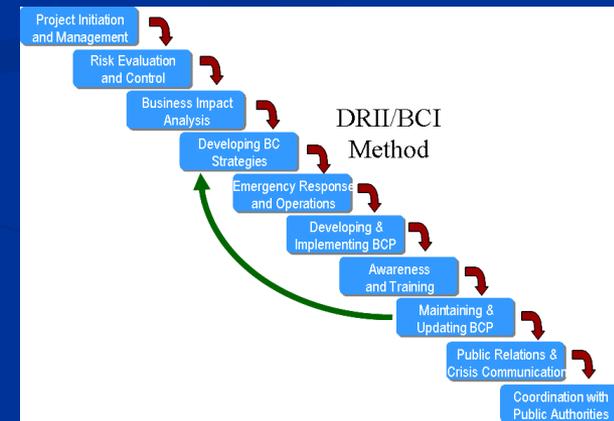
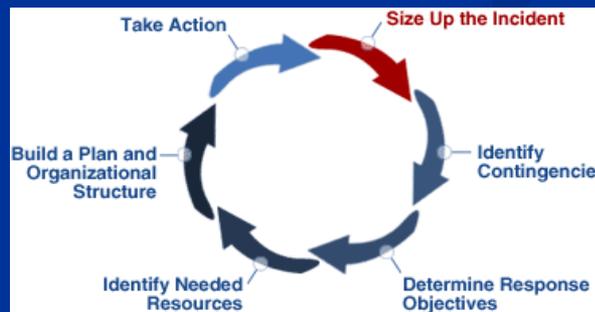
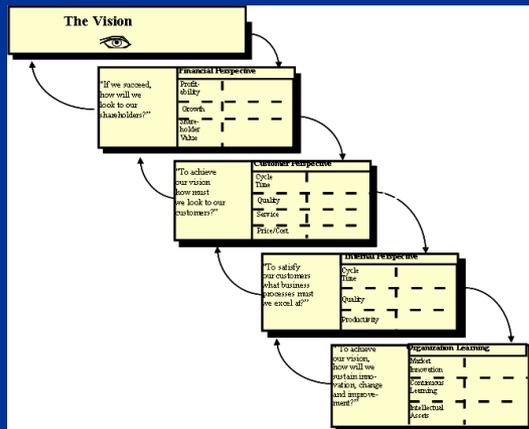
Don't confuse Standards with Methodologies



BCM Maturity Level	Program Basics			Program Development		
	Sr. Mgmt Commitment	Professional Support	Governance	All Units Participating	Integrated Planning	Cross-Functional
Level 1 Self-Governed	No	No	No	No	No	No
Level 2 Supported Self-Governed	Marginal	Partial	No	No	No	No
Level 3 Centrally Governed	Partial	Yes	Partial	No	No	No
Level 4 Enterprise Awakening	Yes	Yes	Yes	Yes	No	No
Level 5 Planned Growth	Yes	Yes	Yes	Yes	Yes	No
Level 6 Synergistic	Yes	Yes	Yes	Yes	Yes	Yes

Increasing Business Continuity Management Maturity →

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All are valid and have value

DHS Selected Standards

BS 25999: 2007

SPC1:2009

NFPA 1600: 2007 (2010)



Crosswalks

Report Prepared For
Paula J. Olsiewski, Ph.D., Program Director
Alfred P. Sloan Foundation

Framework for Voluntary Preparedness

January 18, 2008

Briefing Regarding Private Sector
Approaches to Title IX of H.R. 1 And Public
Law 110-53
"Implementing Recommendations of the
9/11 Commission Act of 2007"

By representatives of
ASIS International (ASIS)
Disaster Recovery Institute International (DRII)
National Fire Protection Association (NFPA)
Risk and Insurance Management Society, Inc.
(RIMS)

Framework For Voluntary Preparedness

Appendix C

CROSSWALK OF STANDARDS, GUIDELINES AND BEST PRACTICES

COMMON ELEMENTS		STANDARDS, GUIDELINES AND BEST PRACTICES FOR MANAGEMENT OF INCIDENT PREVENTION, PREPAREDNESS, RESPONSE, CONTINUITY AND RECOVERY						
Common Elements	Issues Addressed by Common Elements	NFPA 1600:2007	ISO/PAS 22309:2007	ASIS International	BS 25999-2: 2007	CSA Z1000	TR19:2008	DR/RC
		Standard on Disaster/Emergency Management and Business Continuity Programs	Societal Security Guidelines for Incident Preparedness and Operational Continuity Management	Organizational Excellence, Preparedness and Continuity Management Best Practices Standard	Business Continuity Management – Part 3: Specifications	Standard on Emergency Management and Business Continuity Programs	Technical Reference for Business Continuity Management (BCM)	Professional Practices for Business Continuity Planners
Project Initiation, Scope, Policy, Principles and Management Commitment	<ul style="list-style-type: none"> Establish the project to address preparedness management including provision of appropriate resources and authorities for conduct project. Define the scope and/or boundaries for development and implementation of the preparedness management program. Establish a policy to provide a framework for setting objectives and provide the direction and principle for action. Decomstrate top management and the organization's commitment to meeting the requirements of preparedness management. 	<ul style="list-style-type: none"> 4.1 Program administration 4.2 Program coordinator 4.3 Advisory committee 4.4 Program evaluation 	<ul style="list-style-type: none"> 5 Policy 5.1 Establishing the program 5.2 Defining program scope 5.3 Management leadership and commitment 5.4 Policy development 5.5 Policy review 5.6 Organizational structure for implementation 	<ul style="list-style-type: none"> 4.1.1 Scope of all hazards management system 4.2 All hazards risk management policy 4.2.1 Policy statement 4.2.2 Management commitment 4.1 General requirements 4.2 All hazards risk management policy 	<ul style="list-style-type: none"> 3 Planning the business continuity management system 3.1 General requirements 3.2 Establishing and managing the BCM 3.2.1 Scope and objectives of BCM 3.2.2 BCM policy 3.2.3 Provision of resources 	<ul style="list-style-type: none"> 4 Program management 4.1 Leadership and commitment 4.2 Program coordinator 4.3 Advisory committee 4.4 Program administration 4.4.1 Policy 4.4.1 Leadership and commitment 4.4.2 Program coordinator 4.4.3 Advisory committee 	<ul style="list-style-type: none"> 8 Program management 5.1 Scope 5.2 Policies 	<ul style="list-style-type: none"> 1 Project initiation and management
Legal, Statutory, Regulatory and Other Requirements to which the Organization Subscribes	<ul style="list-style-type: none"> Identify legal and other requirements to which the organization subscribes. Establish a procedure or process for identifying, registering and evaluating legislative, regulatory and policy requirements pertinent to the organization's functions, activities and operations. 	<ul style="list-style-type: none"> 5.2 Laws and authorities A.5.2 Laws, authorities, and industry codes of practice and guidelines 	<ul style="list-style-type: none"> 6.2 Legal and other requirements 	<ul style="list-style-type: none"> 4.3.2 Legal and other requirements 4.3.2 Legal and other requirements 	<ul style="list-style-type: none"> 1 Scope 	<ul style="list-style-type: none"> 4.5 Laws and authorities A.4.5 Laws and authorities 	<ul style="list-style-type: none"> 4.3.3 Regulatory requirements 	<ul style="list-style-type: none"> 10 Coordination with external agencies
Risk Assessment and Impact Analysis	<ul style="list-style-type: none"> Identify assets, needs, requirements and analysis of critical issues related to business disruption risks that are relevant to the organization and stakeholders. Identify of hazards and threats. 	<ul style="list-style-type: none"> 5.3 Risk Assessment A.3.3.6 Impact Analysis A.5.3 Comprehensive risk assessment 	<ul style="list-style-type: none"> 6 Planning 6.1 General 6.3 Risk assessment and impact analysis 6.4 Hazard, risk, and threat 	<ul style="list-style-type: none"> 4.3 Planning 4.3.1 Risk assessment and impact analysis 4.3 Planning 4.3.1 Risk 	<ul style="list-style-type: none"> 4 Implementation and operation of the BCM 4.1 Understanding the organization 4.1.1 Business 	<ul style="list-style-type: none"> 5 Planning 5.1 Hazard identification, risk assessment and business impact analysis 	<ul style="list-style-type: none"> 3 Risk assessment and review 4 Business impact analysis 5 Strategy 5.3 Processes 	<ul style="list-style-type: none"> 2 Risk evaluation and control 3 Business impact analysis

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Reference Material

The Sloan Report:

<http://www.sloan.org/assets/files/olsiewski/frameworkforvoluntarypreparednessfinalreport.pdf>

Audit Procedures (ISO 19011):

http://staratel.com/iso/ISO19011/Doc/ISO190112002/ISO19011_eng.pdf

NFPA 1600:

<http://www.nfpa.org/assets/files/pdf/nfpa1600.pdf>

SPC.1:

<http://www.asisonline.org/>

BS 25999:

<http://www.bsiamerica.com/en-us/Assessment-and-Certification-services/Management-systems/Standards-and-schemes/BS-25999/>

A Simple Comparison

Key Issue	NFPA 1600: 2007	BS 25999 Pt 2	SPC 1: 2009
Major Focus	Emergency Management and Tactical Activities	Business Continuity and Operations	Organizational Resiliency and Operations
National Standard	Yes – ANSI Standard (U.S.) Viewed as an American Standard	Yes – BSI Standard (U.K.), viewed as an International Standard	Yes – ANSI Standard (U.S.) Unknown. Too new for Opinions
International Perspective	Popular, primarily in North America	Popular outside the US. Good penetration in Asia/Pacific	Very new standard. Little market penetration
ISO Alignment Supporting Methodology	No – Element-based Model. Does not use a Management System	Yes – Process Model. Uses a Management System (PDCA).	Yes – Process Model Uses a Management System (PDCA).
Unique Elements	DRI International: 10 Professional Practices Safety Act Approved Addresses NIMS and ICS Models for Emergency Planning	Business Continuity Institute Professional Practices Introduces concept of MTPOD and drops RPO metric	No specific methodology alignment Safety Act Approved Contemplates 1 st and 2 nd party reviews. Some Chain of Custody issues
Certification Available	No	Yes, through UKAS accredited CBRs	No

Short Hand Version

- NFPA 1600: 20XX – Focus is on emergency management and crisis control
- BS 25999 – Focus is on business continuity
- SPC.1 – Focus is on Operational Preparedness

And there are more coming!

Missing Elements

- No single standard addresses all the issues in a unified, holistic way
 - Security Issues (Physical and Cyber)
 - Emergency Management and ICS
 - Facility Security
 - Human Resources
 - Business Continuity Planning
 - Environmental Issues
 - Logistics Management
 - Governance (well some at least)
 - Spoliation and Chain of Custody

DHS/FEMA even put out their own “wish list.”

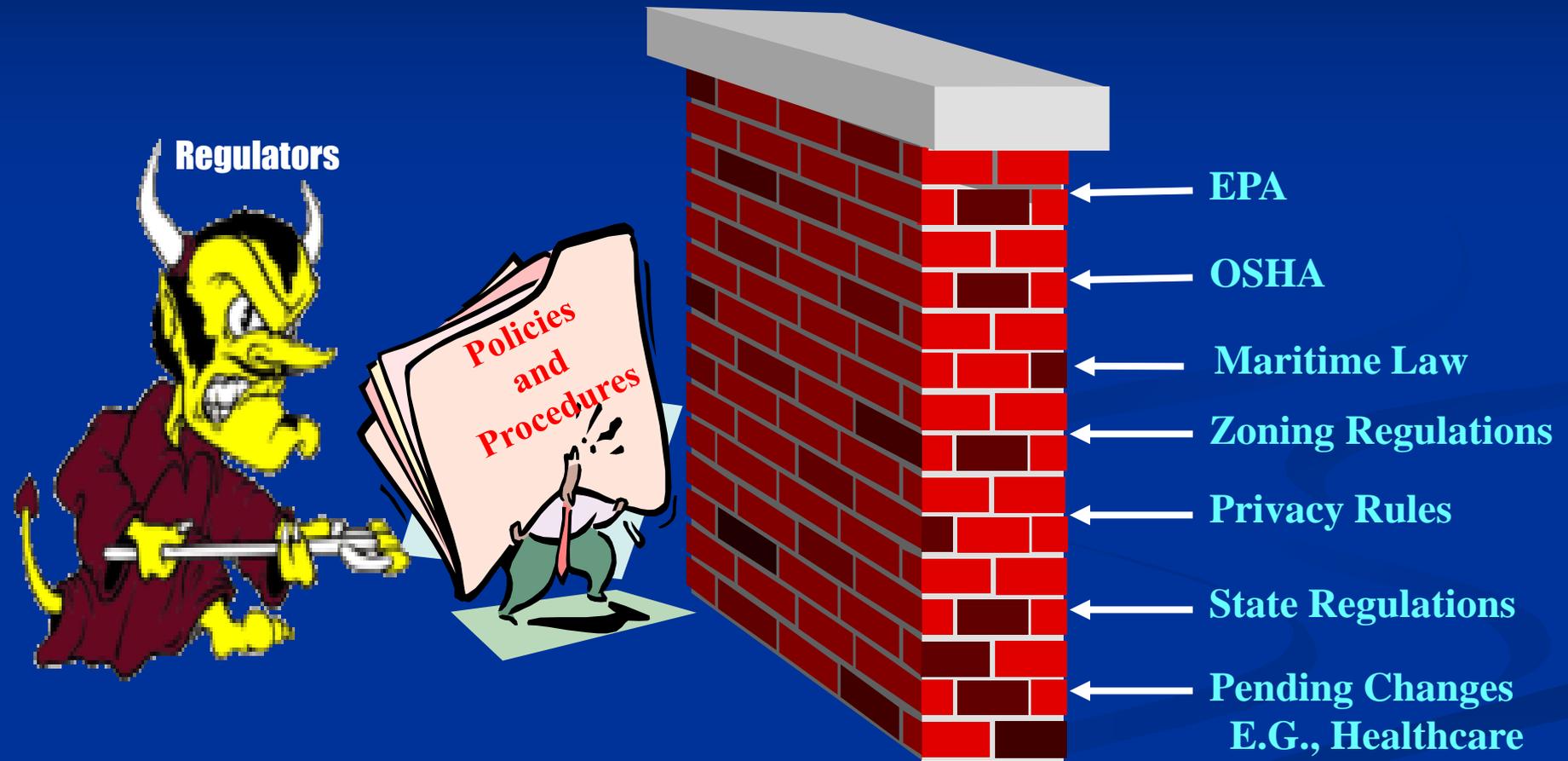
What About Smaller Firms?

- Special consideration are under discussion for smaller firms
- Concept of 1st, 2nd, and 3rd Party Certifications
 - 1st Party is a self-assessment
 - 2nd Party is a review by someone with a vested interest in the firm under review. Example, a business partner
 - 3rd Party goes back to the CB/R. An accredited organization by ANAB or another national body (example: UKAS or JAB)

6 Executive Topics

- Governance
- Risk Management
- Compliance
- Liability
- Valuation
- Supply/Demand Chains

Compliance



“Pop Quiz”

Who will decide if...

- ... you have a quality business continuity plan?
- ... you trained your fellow employees adequately?
- ... you met the “standard of care?”
- ... you have any **liability**?

A. The Shareholders?

B. The Board of Directors?

C. The Regulators?

Answer “D”



Are your procedures adequate?

- Legally, we don't know!
- When there is doubt, courts may turn to acknowledged standards and best practices
- This is one reason why you should be aware on current and emerging standards
- The courts can make some *strange* determinations!



6th Issue - Business Chains



Don's Definition



It's the shock absorber in your business plan!

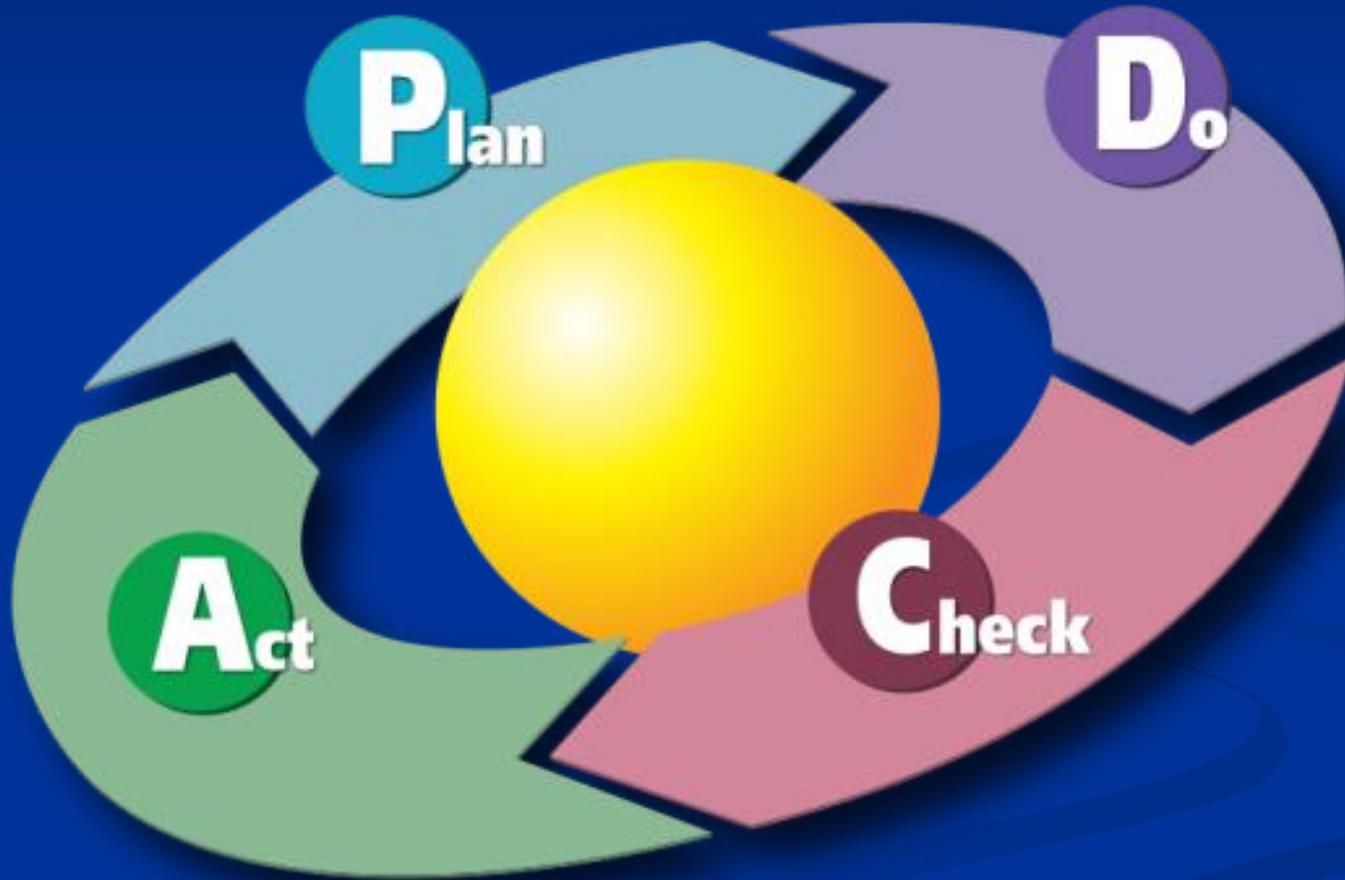
Resiliency: Said Another Definition

If a disruptions occurs and it is transparent to your clients and other stakeholders!



NYCaddict.com

Basis Of Management Systems



8 Elements Of Management Systems

- Management Support and Responsibilities
- A Clear Organizational Structure
- Assigned Roles and Responsibilities
- Documented Procedures
- Structured Processes
- Allocated Resources
- Focus on Customer Satisfaction
- Continuous Improvement

SUMMARIZE

SUMMARIZE means to retell the major ideas or events in a text in your own words. It is much shorter than the original.



PS-Prep: An Executive Briefing

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