

**DRAFT**  
**MEETING MINUTES**  
**ORMM WORKING GROUP**  
**AUGUST 11, 2011**  
**VIRTUAL MEETING 1:30 – 4:00 PM U.S. EDT**

**1. Welcome and Call to Order**

Chairman Dr. Marc Siegel called the meeting of the Organizational Resilience Maturity Model (ORMM) Working Group (WG) to order at 1:33 pm U.S. EDT and welcomed the participants.

**2. Roll Call**

Ms. Aivelis Opicka of ASIS staff took roll and the attendance list is appended as Attachment I.

**3. Approve Agenda**

Chairman Siegel asked for any proposed modifications to the agenda, and being none the agenda was approved.

**4. Approve Meeting Minutes of July 14, 2011**

Chairman Siegel asked for any proposed modifications to the minutes of July 14, 2011, and being none the minutes were approved.

**5. Discussion of Comments**

Chairman Siegel opened discussion noting that out of 119 comments received to the 6/9/11 working draft, 40 were addressed at the last meeting. Ms. Opicka presented the draft on-screen via WebEx for live review and edit. Chairman Siegel proceeded with the consideration of comments. The WG reviewed comments 41 through 119, accepting or modifying proposed recommendations as necessary. See Attachment II for details.

In addition to the completing the review of comments, the following terms were noted for draft inclusion under the *Terms and Definitions* section:

- “net-centric capacity” - to be provided by John Gargett and Scott Ream.
- “community” and “gap analysis” (to include the difference between “current state”, “desired state” and “baseline”) - to be provided by Chairman Siegel.

**Secretariat’s Note:** All draft edits are incorporated per the August 11, 2011 copy.

**6. Open Discussion**

Chairman Siegel opened discussion recommending that the revised draft ORMM Standard be elevated to the full Technical Committee (TC) for review and comment. Ms. Opicka informed that ASIS staff would perform the necessary editorial preparation of the draft prior to TC distribution. It was recognized that the *Terms and Definitions* section remained for completion. The WG agreed to proceed as recommended.

**7. Action Items**

Action items include:

- John Gargett and Scott Ream to provide a definition of “net-centric capacity”.
- Chairman Siegel to provide “gap analysis” and “community” definitions.
- ASIS staff to perform editorial preparation of the draft.
- ASIS Staff to provide updated draft to the TC for review and comment.

Contributions are due to [standards@asisonline.org](mailto:standards@asisonline.org) before COB Friday, August 19, 2011.

**8. Next Meeting**

The next meeting is scheduled for Monday, September 26, 2011 from 11:00 am to 2:00 pm U.S. EDT, and Tuesday September 27, 2011 from 11:00 am to 1:00 pm U.S. EDT, to review TC comments.

**9. Adjournment**

Chairman Siegel adjourned the meeting at 3:38 pm U.S. EDT with consensus.

Submitted by:

*[Original Signed By:]*

Jeanette Donovan  
ASIS International  
Standards & Guidelines Coordinator

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Antitrust Risk Notice: As a reminder, participation in standard and guideline committees involves the potential for antitrust concerns or risks. To avoid such concerns and risks, participants should carefully observe the "ASIS Standards Development Procedures". In addition, sensitive discussion topics such as price, specific contractual terms, etc., should be avoided. Any participant having concerns or questions regarding sensitive discussion topics should consult with their company's legal counsel, the Committee leadership or ASIS staff.

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**ORMM WORKING GROUP**  
**MEETING ATTENDEES**  
**AUGUST 11, 2011**

Dr. Marc Siegel, ASIS International, Chairman  
Pradeep Bajaj, PRISMA  
Dennis Blass, CPP, PSP, Children's of Alabama  
Lisa DuBrock, CPA, CBCP, Radian Compliance  
Johan du Plooy, CPP, Temi Group  
Michael Edgerton, Good Harbor Consulting  
John Gargett, TRUSYS  
Suzanne Hart, Delaware Dept. of Transportation  
Glen Kitteringham, CPP, Kitteringham Security Group Inc.  
Bill Lang, VCPI  
Lynnda Nelson, Business Continuity Services, Inc.  
Philip Oppenheim, International Continuity Oversight Board  
Ren Powers, City National Bank  
Scott Ream, Virtual Corporation  
Ed Schlichtenmyer, ImpactWeather  
Lisa Smallwood, CEMP, LLC  
J. Kelly Stewart, Intelsat  
Renee Wentworth, Renee Wentworth

**ASIS Staff Present**

Sue Carioti, Director, Standards & Guidelines  
Aivelis Opicka, Manager, Standards & Guidelines  
Jeanette Donovan, Standards & Guidelines Coordinator

| No. | Name; Organization                                        | Line No. From ... | Line No. ... to | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                                                                                                                                                                                                                              | Proposed Change                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Disposition           | Committee Resolution/Rationale                                                                                                            |
|-----|-----------------------------------------------------------|-------------------|-----------------|-----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| 41  | Paul H Aubé, Dessau                                       | 106               | 106             | Editorial       | "... organization-wide wide issues ..."                                                                                                                                                                                                                                                                                                                                                                                                                         | Remove one "wide".                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Accept                | 8/11/11.                                                                                                                                  |
| 42  | Russ Phillips, MMTS Group                                 | 107               | 107             | General         | Have we identified the core elements prior to this line                                                                                                                                                                                                                                                                                                                                                                                                         | provide a reference to the identifeid core elements                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Not Accept            | 8/11/11 - WG deemed the proposed change unnecessary and does not add clarity. Current text deemed best and clear.                         |
| 43  | Paul H Aubé, Dessau                                       | 109               | 109             | Editorial       | "... putting the pieces together ..."                                                                                                                                                                                                                                                                                                                                                                                                                           | It sounds like an expression which may be difficult to comprehend for the international audience. Since this is part of the "systems phase", how about we say something in the like of "this phase involves the implementation of most elements throughout the corporation"                                                                                                                                                                                                                                      | Accept w/modification | 8/11/11.                                                                                                                                  |
| 44  | Paul H Aubé, Dessau                                       | 112               | 319             | Technical       | feedback loops of the systems approach encourage learning from "... experience ..."                                                                                                                                                                                                                                                                                                                                                                             | The concept of "feedback loops" is used in crisis management, but not referenced or explained anywhere in the SPC.4 standard other than being repeated in line 319 and in the table. Not even mentioned in SPC.1.                                                                                                                                                                                                                                                                                                | Accept w/modification | 8/11/11.                                                                                                                                  |
| 45  | Paul H Aubé, Dessau                                       | 129               | Scope           | Editorial       | This Standard describes a maturity model...                                                                                                                                                                                                                                                                                                                                                                                                                     | Remove "maturity" as the concept will be presented later in the text and in detail. Actually, once the standard is fully titled in the initial paragraph (i.e., the standard on Organisational Resilience Maturity Model (ORMM SPC.4-201x), it can be reference as "the standard" elsewhere in the text. No need to repeat "maturity" as it is a different concept.                                                                                                                                              | Not Accept            | 8/11/11 - The standard is a maturity model as stated in the title.                                                                        |
| 46  | Paul H Aubé, Dessau                                       | 140               | 140             | Technical       | Normative references                                                                                                                                                                                                                                                                                                                                                                                                                                            | ISO 9001,ASIS SPC.1, ISO/PAS 22399, NFPA1600, CAN/CSA Z731                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Accept w/modification | 8/11/11.                                                                                                                                  |
| 47  | Paul H Aubé, Dessau                                       | 150               | 150             | Editorial       | "A Maturity Model is a series of structured steps designed to help an organization evaluate where they currently are with regard to risk and resilience management."                                                                                                                                                                                                                                                                                            | Change since it repeats lines 130-137 (scope of standard). A Maturity Model is a series of progressive phases involving defined resilience management elements designed to gradually assist an organization in preparing for, surviving significantly disruptive events and remain profitable. SPC.4 is a process for an end result.                                                                                                                                                                             | Accept w/modification | 8/11/11.                                                                                                                                  |
| 48  | Paul H Aubé, Dessau                                       | 161               | 161             | Editorial       | A place to start;                                                                                                                                                                                                                                                                                                                                                                                                                                               | Change to "a structure means to manage disruptive events"                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Accept w/modification | 8/11/11.                                                                                                                                  |
| 49  | Bill Lang, VCPi                                           | 165               | 165             | Technical       | "* Links between cost and value added;" There is always a cost to implement and the value added must offset the cost to implement.                                                                                                                                                                                                                                                                                                                              | * Value added to offset costs;"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Accept w/modification | 8/11/11.                                                                                                                                  |
| 50  | Philip Oppenheim, Continuity Information Support Services | 183               | 183             | Technical       | Organizations must have                                                                                                                                                                                                                                                                                                                                                                                                                                         | Change: must to need to                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 51  | Philip Oppenheim, Continuity Information Support Services | 185               | 185             | Technical       | Adopting a maturity model process for the phased implementation ("maturity model") of the organization resilience management systems helps the organization determine how much risk is acceptable and how to cost effectively manage the uncertainty in achieving the organization's strategic and operational objectives                                                                                                                                       | Delete - This not a true statement. The maturity model does not help determine level of risk acceptability etc.                                                                                                                                                                                                                                                                                                                                                                                                  | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 52  | Philip Oppenheim, Continuity Information Support Services | 189               | 189             | Technical       | Given the finite resources of organizations, it is imperative that they have business-friendly tools to address an array of threats, hazards and risks they may face.                                                                                                                                                                                                                                                                                           | Delete - Too philosophical adds no value                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 53  | Paul H Aubé, Dessau                                       | 190               | 190             | Editorial       | "... approach outlined in this paper assumes ..."                                                                                                                                                                                                                                                                                                                                                                                                               | Remove "paper" and change for "Standard".                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Accept                | 8/11/11.                                                                                                                                  |
| 54  | Philip Oppenheim, Continuity Information Support Services | 192               | 192             | Technical       | ...standard better manage the risks of disruptive events through anticipation, prevention, protection, mitigation, response and recovery.                                                                                                                                                                                                                                                                                                                       | ...standard to better manage the disruptions due to the implementation.                                                                                                                                                                                                                                                                                                                                                                                                                                          | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 55  | Philip Oppenheim, Continuity Information Support Services | 194               | 207             | Technical       | The Standard is a structure...                                                                                                                                                                                                                                                                                                                                                                                                                                  | The Maturity Model is a structure of six phases. The phases are applied as a tool to help organizations implement phase in Organizational Resiliency Management through a process of continuous improvement. The outputs are balanced strategies that allow the organization to minimize both impact and consequence of disruptive events in an adaptive, proactive, reactive, and preemptive approach; It enhances an organization's capacity to manage implementation using a plan, do, check, and act, model. | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 56  | Lynnda Nelson, Business Continuity Services, Inc.         | 202               | 202             | Editorial       | . All organizations                                                                                                                                                                                                                                                                                                                                                                                                                                             | decrease indent and remove "."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Accept                | 8/11/11.                                                                                                                                  |
| 57  | Paul H Aubé, Dessau                                       | 202               | 202             | Editorial       | ". All organizations ..."                                                                                                                                                                                                                                                                                                                                                                                                                                       | Remove period at beginning.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Accept                | 8/11/11.                                                                                                                                  |
| 58  | Paul H Aubé, Dessau                                       | 205               | 205             | Editorial       | "... reach ultimate goal ..."                                                                                                                                                                                                                                                                                                                                                                                                                                   | Change "ultimate" to "optimum" or "ideal". Ultimate is too precise an end-result that risk tends to prove otherwise.                                                                                                                                                                                                                                                                                                                                                                                             | Accept w/modification | 8/11/11.                                                                                                                                  |
| 59  | Paul H Aubé, Dessau                                       | 207               | 207             | Editorial       | "... must be achieved in balance with the business needs ..."                                                                                                                                                                                                                                                                                                                                                                                                   | ... must be achieved in <b>consideration to other business needs</b> ..                                                                                                                                                                                                                                                                                                                                                                                                                                          | Accept w/modification | 8/11/11.                                                                                                                                  |
| 60  | Paul H Aubé, Dessau                                       | 207               | 207             | Editorial       | "... business needs of the organizations and its time and financial constraints ..."                                                                                                                                                                                                                                                                                                                                                                            | ... business needs and other management or operational constraints ...                                                                                                                                                                                                                                                                                                                                                                                                                                           | Accept w/modification | 8/11/11.                                                                                                                                  |
| 61  | Philip Oppenheim, Continuity Information Support Services | 209               | 215             | Technical       | This model outlines six phases of implementation of the ANSI/ASIS SPC.1-2009 ranging from an Ad-hoc Phase (no process in place) for resilience management to Holistic Management (going beyond the requirements) of the ANSI/ASIS SPC.1-2009 including considering the organization's role in community and supply chain resilience. The goal is for any particular organization to achieve a level of resilience management appropriate for that organization. | Delete - Not needed not accurate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 62  | Paul H Aubé, Dessau                                       | 211               | 211             | Editorial       | "Phases are designed to benchmark the establishment of the Organizational Resilience Management System consistent with a phased approach that would be used for quality; environmental; information security; and/or occupational health and safety management systems."                                                                                                                                                                                        | Where is asset protection or security management?                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Accept w/modification | 8/11/11.                                                                                                                                  |

| No. | Name; Organization                                        | Line No. From ... | Line No. ... to | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Proposed Change                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Disposition           | Committee Resolution/Rationale                                                                                                            |
|-----|-----------------------------------------------------------|-------------------|-----------------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| 63  | Mike Edgerton, Good Harbor Consulting, LLC                | 215               | 215             | Technical       | Justification for a management systems approach could be strengthened by highlighting the economies of scale that can be realized by adopting an approach that is already embedded organizational culture and presumably has both advocates and dedicated resources that can be leveraged. This is similar to the point made in the para beginning in Line 50                                                                                                                                                                                                                            | Additional sentence beginning on line 214 after sentence ending with, "safety management systems." Proposed sentence, "Since a management systems approach is probably already in place in organizations adopting the Organizational Resilience Management System, it is likely that organizations will realize an economy of scale by using resources that are involved in existing management system implementation and oversight."                                                                                       | Not Accept            | 8/11/11 - WG deemed the proposed change unnecessary and does not add clarity. Current text deemed best and clear.                         |
| 64  | Paul H Aubé, Dessau                                       | 216               | (216 & 226)     | Editorial       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Both paragraphs have similar meanings as it concerns "everyone participating". Maybe merging into one paragraph.                                                                                                                                                                                                                                                                                                                                                                                                            | Not Accept            | 8/11/11 - Proposed change deemed to be redundant.                                                                                         |
| 65  | Paul H Aubé, Dessau                                       | 217               | 217             | Editorial       | "For this to occur a significant ..."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | For this to occur, (coma) a significant                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Accept                | 8/11/11.                                                                                                                                  |
| 66  | Lynnda Nelson, Business Continuity Services, Inc.         | 217               | 218             | Editorial       | For this to occur a significant culture paradigm shift is required", where managing "risks" is no longer seen as just the responsibility of management.                                                                                                                                                                                                                                                                                                                                                                                                                                  | Comma placement is awkward and plural risks - suggest, "For this to occur, a significant culture paradigm is required where managing risk is not longer seen as just the responsibility of management.                                                                                                                                                                                                                                                                                                                      | Accept                | 8/11/11.                                                                                                                                  |
| 67  | Russ Phillips, MMTS Group                                 | 218               | 221             | General         | some of this is repetitive and there is an opportunity to introduce ownership in the process at this time                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Delete the risk makes and the risk takers must also be the risk managers. Revise Everyone within the organization must become a risk manager by taking ownership etc etc.                                                                                                                                                                                                                                                                                                                                                   | Accept w/modification | 8/11/11.                                                                                                                                  |
| 68  | Philip Oppenheim, Continuity Information Support Services | 221               | 221             | Technical       | ...create a business case...                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | ...create a business case for phased implementation,...                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 69  | Philip Oppenheim, Continuity Information Support Services | 222               | 222             | Technical       | ...reasonable path..                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Delete - reasonable; Not needed and subjective                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 70  | Pradeep Bajaj, PRISMA                                     | 222               | 222             | Technical       | it is very well emphasised that the ORMM should be implemented by one and all, nevertheless that fact that all plans are driven/ directed by the management, also needs to be mentioned                                                                                                                                                                                                                                                                                                                                                                                                  | after implemented, add "directed/ driven by the management, and"                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Not Accept            | 8/11/11 - Proposed change deemed to be redundant. Already implied in current text.                                                        |
| 71  | Paul H Aubé, Dessau                                       | 223               | 223             | Editorial       | "... needs to generate excitement and garner support ..."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Change "generate excitement" to "motivate".                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Accept w/modification | 8/11/11.                                                                                                                                  |
| 72  | Philip Oppenheim, Continuity Information Support Services | 223               | 225             | Technical       | Standards are designed....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Delete- Not needed philosophical not specifically related or applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                    | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 73  | Paul H Aubé, Dessau                                       | 224               | 224             | Editorial       | "... through selling the vision ..."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | by infusing a positive vision                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 74  | Ann Pickren, Firestorm                                    | 227               | 227             | Editorial       | organisation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | change to consistent spelling throughout document                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Accept                | 8/11/11.                                                                                                                                  |
| 75  | Philip Oppenheim, Continuity Information Support Services | 227               | 227             | Technical       | This American...                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Change to An                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 76  | Philip Oppenheim, Continuity Information Support Services | 229               | 229             | Technical       | ...implementation can thus satisfy...                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | ...implementation may also satisfy...                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 77  | Paul H Aubé, Dessau                                       | 235               | 235 on-ward     | Technical       | The phases                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Each phases repeat the elements in the table. Wouldn't it be preferable to summarise the phases as per the table, but without repeating the phase descriptions on line 96 on-ward? Additionally, can the phases be presented the same: definition & explanation; link form previous and future; distinguishing features; breadth of implementation; key resources; goals & expected results. I'm not proposing to quantify or illustrate them, but help the reader in setting those criteria based on the phases and table. | Noted                 | 8/11/11.                                                                                                                                  |
| 78  | Bill Lang, VCPI                                           | 253               | 257             | Editorial       | While these negative comments may have a basis in truth they can be viewed as antagonistic towards management. They should be stricken or replaced with more constructive comments.<br>".Resilience management and preparedness are frequently seen as a financial burden on an organization without a clear benefit to proactive planning. Management is ambivalent or anxious that the recognition of problems is an admission of weakness. Comfort is sought in the assumption that by not identifying or recognizing problems the organization is not accountable for the problems." | Strike these comments.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Accept w/modification | 8/11/11.                                                                                                                                  |
| 79  | Philip Oppenheim, Continuity Information Support Services | 262               | 269             | Technical       | Change items a) – e) they are not applicable to this standard in this sentence.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | the importance of: a) Using a phased approach to implementing a management system, b) Clearly defining the processes and activities are part of the complete management system, c) Establishing the activities need to implement the system, d) Understanding scope and magnitude of each activity that is required, and e) Prioritizing the activities to integrate into on-going operations.                                                                                                                              | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 80  | Philip Oppenheim, Continuity Information Support Services | 271               | 272             | Technical       | ... Maturity Model outlines six phases of implementation briefly described below as:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | ... Maturity Model is divided into a number of phase to meet your operational scheduling requirements. The OR standard is best implemented by defining six levels briefly defined as follows:                                                                                                                                                                                                                                                                                                                               | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 81  | Philip Oppenheim, Continuity Information Support Services | 273               | 275             | Technical       | Change as indicated                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>Phase One:</b> Ad-hoc – no corporate process currently in place and resilience management is unstructured with no advanced preparation.                                                                                                                                                                                                                                                                                                                                                                                  | Accept                | 8/11/11.                                                                                                                                  |

| No. | Name; Organization                                        | Line No. From ... | Line No. ... to | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                                                       | Proposed Change                                                                                                                                                                                                                                                                                                                                   | Disposition           | Committee Resolution/Rationale                                                                                                            |
|-----|-----------------------------------------------------------|-------------------|-----------------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| 82  | Lynnda Nelson, Business Continuity Services, Inc.         | 276               | 278             | Editorial       | This is in order to recognize, demonstrate and "promote" success to generate momentum for a broader resilience management and preparedness program.                                                                                                                                      | Sentence unclear. Assume "a" is a typo and removal will read, "...and promote success to..."                                                                                                                                                                                                                                                      | Accept                | 8/11/11.                                                                                                                                  |
| 83  | Philip Oppenheim, Continuity Information Support Services | 276               | 280             | Technical       | Change as indicated                                                                                                                                                                                                                                                                      | Phase Two: Project Approach – commonly known as "the awakening phase," where management is willing to test the concept and establish a trial project to explore the benefits of resilience management and preparedness.                                                                                                                           | Accept                | 8/11/11.                                                                                                                                  |
| 84  | Glen Kitteringham, Kitteringham Security Group Inc.       | 277               | 277             | Editorial       | promotea                                                                                                                                                                                                                                                                                 | promote                                                                                                                                                                                                                                                                                                                                           | Accept                | 8/11/11.                                                                                                                                  |
| 85  | Mike Edgerton, Good Harbor Consulting, LLC                | 277               | 277             | Editorial       | "promotea"                                                                                                                                                                                                                                                                               | Should be, "promote a"                                                                                                                                                                                                                                                                                                                            | Accept                | 8/11/11.                                                                                                                                  |
| 86  | Philip Oppenheim, Continuity Information Support Services | 281               | 285             | Technical       | Change as indicated                                                                                                                                                                                                                                                                      | <b>Phase Three:</b> Program Approach - is an expansion of the project approach. The organizational view begins to shift from specific issues to addressing division or organization-wide wide issues implementing the core elements of the standard.                                                                                              | Accept                | 8/11/11.                                                                                                                                  |
| 87  | Russ Phillips, MMTS Group                                 | 284               | 284             | Editorial       | change needed to necessary and shorten sentence                                                                                                                                                                                                                                          | training and expertise is necessary to support etc.....                                                                                                                                                                                                                                                                                           | Accept                | 8/11/11.                                                                                                                                  |
| 88  | Philip Oppenheim, Continuity Information Support Services | 286               | 289             | Technical       | Change as indicated                                                                                                                                                                                                                                                                      | <b>Phase Four:</b> Systems Approach – this phase involves putting the pieces together. Resilience management and preparedness are viewed as part of an iterative continual improvement process using the Plan-Do-Check-Act (PDCA) model.                                                                                                          | Accept                | 8/11/11.                                                                                                                                  |
| 89  | Philip Oppenheim, Continuity Information Support Services | 290               | 293             | Technical       | Change as indicated                                                                                                                                                                                                                                                                      | <b>Phase Five:</b> Management System - all the core elements of the standard have been applied and tested.                                                                                                                                                                                                                                        | Accept                | 8/11/11.                                                                                                                                  |
| 90  | Philip Oppenheim, Continuity Information Support Services | 294               | 298             | Technical       | Change as indicated                                                                                                                                                                                                                                                                      | <b>Phase Six:</b> Holistic Management - resilience management culture is well developed and is considered an inseparable part of decision making.                                                                                                                                                                                                 | Accept                | 8/11/11.                                                                                                                                  |
| 91  | Philip Oppenheim, Continuity Information Support Services | 302               | 302             | Technical       | ...that seeks to address the risk of disruptive events.                                                                                                                                                                                                                                  | ...that seeks to proactively manage disruptive events.                                                                                                                                                                                                                                                                                            | Accept w/modification | 8/11/11.                                                                                                                                  |
| 92  | Russ Phillips, MMTS Group                                 | 308               | 308             | General         | are they external concerns or issues or factors , issues may fit better with line 309                                                                                                                                                                                                    | change"concerns to issues or factors>                                                                                                                                                                                                                                                                                                             | Accept w/modification | 8/11/11.                                                                                                                                  |
| 93  | Philip Oppenheim, Continuity Information Support Services | 308               | 309             | Technical       | ..with regard to...                                                                                                                                                                                                                                                                      | with regard to that implementation.                                                                                                                                                                                                                                                                                                               | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 94  | Ann Pickren, Firestorm                                    | 311               | 311             | Editorial       | endorse                                                                                                                                                                                                                                                                                  | should be "endorsed"                                                                                                                                                                                                                                                                                                                              | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 95  | Philip Oppenheim, Continuity Information Support Services | 311               | 312             | Technical       | The model outlines six phases ranging...                                                                                                                                                                                                                                                 | The model outlines phases from no corporate management system in place all components in place and management system has created a holistic environment.                                                                                                                                                                                          | Accept w/modification | 8/11/11.                                                                                                                                  |
| 96  | Philip Oppenheim, Continuity Information Support Services | 312               | 314             | Technical       | It can be used in conjunction with the ANSI/ASIS SPC.1-2009 Standard or as a tool for continually improving a generic resilience management and preparedness program.                                                                                                                    | Delete - Not needed not accurate                                                                                                                                                                                                                                                                                                                  | Accept w/modification | 8/11/11.                                                                                                                                  |
| 97  | Ann Pickren, Firestorm                                    | 321               | 321             | Editorial       | Sentence beginning with "Core elements..." is duplicated in Phase 3                                                                                                                                                                                                                      | remove from either Phase 3 or Phase 4                                                                                                                                                                                                                                                                                                             | Noted                 | 8/11/11.                                                                                                                                  |
| 98  | Lynnda Nelson, Business Continuity Services, Inc.         | 323               | 324             | Editorial       | Critical business functions and activities have been identified, risk criteria set, and "the" risks "are" prioritized                                                                                                                                                                    | alignment of verbs - "risk prioritized." and remove "the" so it reads, "and risk prioritized."                                                                                                                                                                                                                                                    | Accept                | 8/11/11.                                                                                                                                  |
| 99  | Pradeep Bajaj, PRISMA                                     | 327               | 327             | General         | Experience can add to the systems and also csply apply to the course corrections. There a need to multiply the knowledge by making a system of institutionalising experiences. These could be based on immediate experiences from an event, or long term learning and acquiring the same | After experiences, suggest add "A system of recording experiences on the ORMM gets created, this record has a system of systematic build up. This system should be done in phases such as synthesizing the subjects, collating and analyzing these. Bits of experiences are then used for updating the ORMM , BCM and SPC documents" or as edited | Not Accept            | 8/11/11 - Proposed change deeme to unnecessary; already built into the model.                                                             |
| 100 | Philip Oppenheim, Continuity Information Support Services | 328               | 328             | Technical       | with regard to risk and resilience management                                                                                                                                                                                                                                            | with regard to that implementation of ANSI Organizational Resiliency Standard....                                                                                                                                                                                                                                                                 | No longer relevant    | 8/11/11 - It is noted the commenter utilized an older version of the standard for review and comment. This comment is no longer relevant. |
| 101 | Lynnda Nelson, Business Continuity Services, Inc.         | 334               | 337             | Editorial       | A multi-year perspective recognizing the utility of the management system standard has been visibly endorsed by top management, and resilience and preparedness are fully integrated into the "organizations" functions and activities.                                                  | add apostrophe, "organization's"                                                                                                                                                                                                                                                                                                                  | Accept                | 8/11/11.                                                                                                                                  |
| 102 | Mike Edgerton, Good Harbor Consulting, LLC                | 342               | 342             | Technical       | The importance of identifying risk tolerance or appetite should be included in the discussion of the elements of risk management,                                                                                                                                                        | Sentence should read, "The management of risk uses balanced strategies to adaptively, proactively and reactively address the minimization of both the likelihood and consequences of disruptive events, <b>that exceed the identified risk tolerance of the organization.</b> "                                                                   | Not Accept            | 8/11/11 - The term "risk tolerance" not used in the standard.                                                                             |
| 103 | Lynnda Nelson, Business Continuity Services, Inc.         | 345               | 347             | Editorial       | Resilience, preparedness training, and awareness are routine parts of the human resource management of all persons providing services to the organization.                                                                                                                               | not sure what is meant by "awareness." Should be "awareness activities"?                                                                                                                                                                                                                                                                          | Accept w/modification | 8/11/11.                                                                                                                                  |
| 104 | Russ Phillips, MMTS Group                                 | 345               | 347             | General         | Is this sentence complete ? Something is missing.                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                   | Accept w/modification | 8/11/11.                                                                                                                                  |

| No. | Name; Organization                                | Line No. From ...    | Line No. ... to                              | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                                                                                     | Proposed Change                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Disposition | Committee Resolution/Rationale                                                                       |
|-----|---------------------------------------------------|----------------------|----------------------------------------------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|------------------------------------------------------------------------------------------------------|
| 105 | Russ Phillips, MMTS Group                         | 349                  | 349                                          | Editorial       | management reviews move beyond                                                                                                                                                                                                                                                                                         | Audits, evaluations and management reviews move beyond etc....                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Accept      | 8/11/11.                                                                                             |
| 106 | Lynnda Nelson, Business Continuity Services, Inc. | 359                  | 360                                          | Editorial       | Resilience management culture is well developed and is considered an inseparable part of decision making.                                                                                                                                                                                                              | "A" resilience management culture? "The" resilience management culture?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Accept      | 8/11/11.                                                                                             |
| 107 | Lynnda Nelson, Business Continuity Services, Inc. | 372                  | (on page 20)                                 | Technical       | the phases do not tie to the descriptions - only 5 phases                                                                                                                                                                                                                                                              | ad hoc should be level 1, etc.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Accept      | 8/11/11.                                                                                             |
| 108 | Ann Pickren, Firestorm                            | General              | General                                      | General         | With the model established in concept, I would recommend supplementing the matrix with a numerical scoring for each core element, moving upward across the maturity phases                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Not Accept  | 8/11/11 - Proposed changed deemed an organization-specific decision--not necessary for the standard. |
| 109 | Lynnda Nelson, Business Continuity Services, Inc. | General              | General                                      | General         | I was confused by the difference between levels 5 and 6. In level 5 it says that it meets the requirements for meeting the standard. However, some of the elements of level 6 are requirements of the standard so wouldn't an organization need to be compliant with level 6 in order to be compliant to the standard? |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Noted       | 8/11/11 - Phases are progressive.                                                                    |
| 110 | Lynnda Nelson, Business Continuity Services, Inc. | General              | General                                      | General         | When discussing external stakeholders, the term "community" is identified regularly. How broadly is "community" defined? It is not defined in the glossary.                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Noted       | 8/11/11 - Add "Community" to glossary.                                                               |
| 111 | Paul H Aubé, Dessau                               | General              | Introduction and general                     | General         |                                                                                                                                                                                                                                                                                                                        | Since SPC.1 is a formal document, its title should be underlined or have its first letters capitalised to distinguish it in a sentence [i.e., <u>Organisational Resilience Standard (SPC.1:2009)</u> ]                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Noted       | 8/11/11 - Deemed editorial in nature and for technical editor review.                                |
| 112 | Pradeep Bajaj, PRISMA                             | Matrix               | 4.1.1, at the end of Phase IV                | General         | Same as above - (Experience can add to the systems and also csply apply to the course corrections. There a need to multiply the knowledge by making a system of institutionalising experiences. These could be based on immediate experiences from an event, or long term learning and acquiring the same)             | After improvement., add "Utilisation of the experiences recorded and approved"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Not Accept  | 8/11/11 - Proposed changes already part of the SPC.1 Standard.                                       |
| 113 | Pradeep Bajaj, PRISMA                             | Matrix               | Generic Concepts, at the end of the Phase IV | General         | Same as above - (Experience can add to the systems and also csply apply to the course corrections. There a need to multiply the knowledge by making a system of institutionalising experiences. These could be based on immediate experiences from an event, or long term learning and acquiring the same)             | Add "Identifies and implements a system of recording experiences" at the end, after, "Processes"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Not Accept  | 8/11/11 - Proposed changes already part of the SPC.1 Standard.                                       |
| 114 | Paul H Aubé, Dessau                               | Matrix               | Matrix                                       | Technical       | SPC.1 references                                                                                                                                                                                                                                                                                                       | In the "core elements" and "issues Addressed" columns, the SPC.1 elements aren't all listed. Example, 4.1.1, 4.3.2. If the table is to become an implementation guide, I would expect that a link is made between SPC.4 and SPC.1 to provide continuity in resiliency management within the ASIS guidelines. If I understand correctly, SPC.1 is the resiliency reference with its elements whereas SPC.4 is its gradual implementation guide. As of now, I understand the purpose & functioning of SPC.4 in reference to SPC.1, but cannot properly verbalise/link it properly if someone would ask me or if I would help someone implement it. I would need to read all elements in the table and make sure they are linked to SPC.1 in a gradual way - unless it was done already. | Noted       | 8/11/11.                                                                                             |
| 115 | Mike Edgerton, Good Harbor Consulting, LLC        | Matrix Section 4.3.1 | Matrix Section 4.3.1                         | Technical       | Suggest making reference to the identification of risk tolerance in Phases 3, 4, and 5                                                                                                                                                                                                                                 | In Phase 3, risk tolerance could beintroduced as a concept to be included in assessment. In phase 4, a formal risk tolerance process is implemented, and in Phase 5 it is extended to the supply chain.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Noted       | 8/11/11.                                                                                             |
| 116 | Lynnda Nelson, Business Continuity Services, Inc. | Matrix Section 4.4.1 | 4.4.1 systems approach                       | Technical       | authorities,incluuuding first responders) are defined                                                                                                                                                                                                                                                                  | spelling for including                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Accept      | 8/11/11.                                                                                             |
| 117 | Lynnda Nelson, Business Continuity Services, Inc. | Matrix Section 4.4.3 | 4.4.3                                        | Editorial       | development of "net centric capacity"                                                                                                                                                                                                                                                                                  | not sure what is meant by "net centric capacity"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Noted       | 8/11/11 - John and Scott to provide definition for glossary.                                         |
| 118 | Lynnda Nelson, Business Continuity Services, Inc. | Matrix Section 4.4.7 | 4.4.7                                        | Technical       | Incident prevention, preparedness response and recovery is integrated with external external stakeholders (supply chain and community)                                                                                                                                                                                 | double "external"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Accept      | 8/11/11.                                                                                             |
| 119 | Paul H Aubé, Dessau                               |                      |                                              | Technical       |                                                                                                                                                                                                                                                                                                                        | Are we sure that SPC.4 has working value? That is, a user understands what to do?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Noted       | 8/11/11.                                                                                             |