

DRAFT
MEETING MINUTES
ORMM WORKING GROUP
SEPTEMBER 26, 2011
VIRTUAL MEETING 11:00 AM - 2:00 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 11:05 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 August 11, 2011

Chairman Siegel asked for any proposed modifications to the minutes of August 11, 2011, and being none the minutes were approved.

5. Discussion of Comments

Chairman Siegel opened discussion noting that the Technical Committee (TC) submitted 103 comments to the 8/24/11 PAP working draft. Ms. Opicka presented the draft on-screen via WebEx for live review and edit. Discussion of comments ensued.

During comments discussion the following modifications were noted:

- The term pre-awakening was globally changed to pre-awareness with the term "Ad hoc" added to the description phase for clarity.
- The glossary of terms was removed from Annex B, and inserted into Section 3.0, *Terms and Definitions*.

It was observed that there were a number of comments relative to "should" and "shall" language to establish requirements. The WG noted that the Standard is intended to provide guidance only for the phased implementation of a management systems standard, and not requirements.

The WG completed review of all 103 comments. See Attachment II for details.

Secretariat's Note: All draft edits are incorporated per the September 26, 2011 copy.

6. Open Discussion

Chairman Siegel moved to elevate the revised draft Standard and recommended comment resolutions to the full TC for approval and submission for a 30-day letter ballot, concurrent with a 45-day ANSI public review period. Ms. Opicka provided a tentative timeline for the issuance of a letter ballot and ANSI public review. Consensus was found to proceed with the recommended next steps.

Ms. Opicka noted that a clean copy of the draft, a tracked changes copy, and comment resolutions compilation will be disseminated to the TC in preparation for the October 18th meeting. It was also noted the draft will likely undergo an editorial review in advance of the TC meeting.

Due to the completion of the comment consideration process, tomorrow's meeting (September 27, 2011) was canceled. ASIS Staff to notify the WG of the cancelation.

7. Action Items

Action items include:

- ASIS Staff to disseminate September 27th (meeting day two) cancellation notice to the WG.
- ASIS staff to perform editorial preparation of the draft and distribute a clean copy, a tracked changes copy, and a comment resolutions compilation to the TC in advance of the October 18, 2011 meeting.

8. Next Meeting

The next meeting of the WG is to be determined.

9. Adjournment

Chairman Siegel adjourned the meeting at 1:05 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.

Early Patent Disclosure Notice: ASIS follows ANSI's patent policy where disclosure of relevant patented inventions at the earliest possible time in the standards development process is encouraged. Neither ASIS, the Committee, nor its Chair ensure the accuracy or completeness of any disclosure or whether any disclosure is of a patent that in fact may be essential for the use of standards under development.

**ORMM WORKING GROUP**  
**MEETING ATTENDEES**  
**SEPTEMBER 26, 2011**

Dr. Marc Siegel, ASIS International, Chairman  
Dennis Blass, CPP, PSP, Children's of Alabama  
Johan du Plooy, CPP, Temi Group  
Michael Edgerton, Good Harbor Consulting  
Bill Lang, Independent Consultant  
Philip Oppenheim, International Continuity Oversight Board  
Ed Schlichtenmyer, ImpactWeather  
Jose Miguel Sobron, United Nations

**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                                                                                                |
|-----|-------------------------------------------------------------------|-------------------|-----------------|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------------------------------------------------------------|
| 1   | Kurt Sohn; Capgemini                                              | 4                 |                 | General         | should include government as well?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | used by private, public, not-for-profit, government                                                                                                                                                                                                                                                      | Not Accept            | 9/26/11 - Proposed change already identified as "public" and would be redundant.                                              |
| 2   | Philip Oppenheim; International Continuity Oversight Board        | 4                 |                 | Editorial       | add text                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | ... ANSI/ASIS SPC.1-2009 (referred to as base management standard) - use throughout standard for clarity                                                                                                                                                                                                 | Accept w/modification | 9/26/11.                                                                                                                      |
| 3   | Sharon L. Caudle; Texas A&M University                            | 12                |                 | Editorial       | The use of "business-friendly" might imply this is focused at the private sector and not all organizations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Change to "they have tools"                                                                                                                                                                                                                                                                              | Accept                | 9/26/11.                                                                                                                      |
| 4   | Cal Jaeger, PhD; Sandia National Laboratories                     | 16                |                 | General         | ... anticipation, prevention, protection, mitigation, response and recovery. I am not sure of the source of these terms but if there is a reference it should be included. It does not appear that they are used specifically within the standard.                                                                                                                                                                                                                                                                                                                                                                                                     | include a reference if one exists                                                                                                                                                                                                                                                                        | Not Accept            | 9/26/11 - Directly relates and taken from ANSI/ASIS SPC.1-2009 OR Standard.                                                   |
| 5   | Kurt Sohn; Capgemini                                              | 18                | 25              | Editorial       | reference standard (line 18), tool (line 19) and maturity model (line 21)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | consistent use of the standard, tool or maturity model - this sounds like three separate items...                                                                                                                                                                                                        | Accept w/modification | 9/26/11.                                                                                                                      |
| 6   | Cal Jaeger, PhD; Sandia National Laboratories                     | 22                |                 | Technical       | The sentence should be rewritten to make more clear also the meaning of the word "source" is unclear - source of what?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | ... resilience by avoiding the source, accepting the source ... likelihood of occurrence, ...                                                                                                                                                                                                            | Not Accept            | 9/26/11 - Current phrase deemed to be clear as is in the english context.                                                     |
| 7   | Sharon L. Caudle; Texas A&M University                            | 24                |                 | Editorial       | The use of "generic" in this sentence is confusing; does it mean all the same or what; does not add to the sentence meaning.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Change to "provides auditable criteria"                                                                                                                                                                                                                                                                  | Accept                | 9/26/11.                                                                                                                      |
| 8   | Craig Rydalch; American Imaging Management                        | 24                |                 | Editorial       | Unclear statement: "... sharing and/or retaining the risk."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | "... sharing and/or retaining organizational risks."                                                                                                                                                                                                                                                     | Not Accept            | 9/26/11 - Current phrase deemed to be clear as is.                                                                            |
| 9   | Cal Jaeger, PhD; Sandia National Laboratories                     | 25                |                 | General         | insert acronym                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | ... and act (PDCA), ...                                                                                                                                                                                                                                                                                  | Not Accept            | 9/26/11 - Acronym referenced later in the document.                                                                           |
| 10  | Sharon L. Caudle; Texas A&M University                            | 30                |                 | Editorial       | The emphasis on external stakeholders is puzzling. The model should also promote resilience with internal stakeholders as well.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Remove "external" from the sentence                                                                                                                                                                                                                                                                      | Accept                | 9/26/11.                                                                                                                      |
| 11  | Sharon L. Caudle; Texas A&M University                            | 35                |                 | Editorial       | Use of the word "business" still might focus attention on private sector organizations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Change to "business or mission case"                                                                                                                                                                                                                                                                     | Accept                | 9/26/11.                                                                                                                      |
| 12  | Sharon L. Caudle; Texas A&M University                            | 38                |                 | Editorial       | The sentence might explicitly imply that failure to reach the sixth phase is an organizational failure, when the intent is to reach the level appropriate for the organization's current environment and capability.                                                                                                                                                                                                                                                                                                                                                                                                                                   | Restate the sentence to say "Managed and repeatable performance will be achieved by moving to a level appropriate for the organization, with the goal being to achieve the sixth step where possible."                                                                                                   | Accept                | 9/26/11.                                                                                                                      |
| 13  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 43                | 44              | Technical       | It is undescribed which phase of the maturity model can satisfy all requirements of ISO's management standards such as ISO 9001 or ISO 14001 and so on.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Delete the line "A suitably designed maturity model for phased implementation can thus satisfy the requirements of all these standards.". Or specify the phase that can satisfy all the requirements of ISO 9001, ISO 14001 and other management system standard. (may be Phase 5 - Management System ?) | Accept w/modification | 9/26/11.                                                                                                                      |
| 14  | Cal Jaeger, PhD; Sandia National Laboratories                     | 44                |                 | General         | not sure that "standards" is the right word                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | ... of these areas.                                                                                                                                                                                                                                                                                      | Accept w/modification | 9/26/11.                                                                                                                      |
| 15  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 48                | 103             | Technical       | There is no explanation on the relation between "process (approach)", "project (approach)", "program (approach)" and "(management) system (approach)". The description regarding "management systems approach" (line 50 to 55), "process approach" (line 63 to 70) seem to be referred from the definitions in ISO 9000. The term "project" also looks like the same meaning of the definition of ISO 9000, however, the term "program" looks like the meaning of OPM 3. The above causes confusing. At least, the terms used in each phase's title (this shows conditions of each phase) of the maturity model should be well defined and harmonized. | Define the terms used in the title and condition of each phase. Or if terms and definition of the other documents should be used in this document, specify them in "2. normative references" and "3. terms and definition".                                                                              | Accept w/modification | 9/26/11.                                                                                                                      |
| 16  | Cal Jaeger, PhD; Sandia National Laboratories                     | 74                |                 | General         | switch the sequence of a) and b)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | move Establishing a policy ... to the first bullet                                                                                                                                                                                                                                                       | Not Accept            | 9/26/11 - Order deemed appropriate and correct as one needs to understand the importance of "managing" before "establishing". |
| 17  | Kurt Sohn; Capgemini                                              | 81                |                 | Editorial       | not necessarily previously described - on line                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                          | Accept                | 9/26/11.                                                                                                                      |
| 18  | Craig Rydalch; American Imaging Management                        | 83                |                 | Editorial       | "Pre-awakening"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | "Ad-hoc"                                                                                                                                                                                                                                                                                                 | Accept w/modification | 9/26/11.                                                                                                                      |
| 19  | Cal Jaeger, PhD; Sandia National Laboratories                     | 84                |                 | General         | change wording of sentence to management system                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | ... unstructured and not part of the organization's management system.                                                                                                                                                                                                                                   | Not Accept            | 9/26/11 - Current phrase deemed to be clear as is.                                                                            |
| 20  | Cal Jaeger, PhD; Sandia National Laboratories                     | 90                |                 | Editorial       | should standard be in <i>italics</i> ? There are many cases in the text where standard is in normal font.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | change standard to <i>Standard</i> in this sentence and other parts of the document                                                                                                                                                                                                                      | Accept w/modification | 9/26/11 - Noted for technical editor.                                                                                         |
| 21  | Cal Jaeger, PhD; Sandia National Laboratories                     | 98                |                 | General         | insert words to make more clear                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | ... implementation of an organizational management ...                                                                                                                                                                                                                                                   | Not Accept            | 9/26/11 - Proposed change does not add clarity.                                                                               |
| 22  | Cal Jaeger, PhD; Sandia National Laboratories                     | 102               |                 | General         | insert word to be consistent with text in line 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | ... the procedures for anticipation, protection, ....                                                                                                                                                                                                                                                    | Accept                | 9/26/11.                                                                                                                      |
| 23  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 105               |                 | General         | It is unclear this document intends whether to be "standard" or "guideline". If "standard", the requirements to apply the maturity model should be defined although it seems better that this document is "guideline".                                                                                                                                                                                                                                                                                                                                                                                                                                 | Describe the status of this document in the title and/or the scope.                                                                                                                                                                                                                                      | Accept w/modification | 9/26/11.                                                                                                                      |
| 24  | Cal Jaeger, PhD; Sandia National Laboratories                     | 114               |                 | Editorial       | delete "s", only one standard listed                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | ..following standard contain provisions ...                                                                                                                                                                                                                                                              | Accept                | 9/26/11.                                                                                                                      |
| 25  | Robert F. Lang; Kennesaw State University                         | 124               |                 | General         | Suggest actually putting in Glossary terms instead of referral.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Most won't go to appendix first if you want them to understand document                                                                                                                                                                                                                                  | Accept                | 9/26/11.                                                                                                                      |

| No. | Name; Organization                                                | Line No. From ... | Line No. ... to                              | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                                                                                                               | Proposed Change                                                                                                                                                                                                                                                                                                                                                                                                                                          | Disposition           | Committee Resolution/Rationale                                                         |
|-----|-------------------------------------------------------------------|-------------------|----------------------------------------------|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------------------------------------------------------------|
| 26  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 124               |                                              | General         | The idea of this document seems to consist of the essences from 3 existing models which are ISO 9000's management system, OPM 3 (Organizational Project Management Maturity Model) and Crosby's "Quality Management Maturity Grid". There is confusion because of parallel existing of these 3 model's essences and terms without harmonization. | Pick up necessary words applying only in this document and define them as "Terms and definition" in Annex B.                                                                                                                                                                                                                                                                                                                                             | Not Accept            | 9/26/11 - Terms used in this standard included in Glossary.                            |
| 27  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 128               | 128 - 146, through the body of this document | Technical       | There is no explanation how to measure maturity in the maturity model. Therefore the description of the body of this document is prescribed by different viewpoint for every phase.<br>The unified scale to measure the difference between lower phase and upper phase should be defined.                                                        | Define the measurement scale or category applying through all phase of the maturity model. Please note that it should be well discussed how many scales are needed in the model and suited to the reality.<br>According to the body of this document, the following viewpoints appear;<br>- people's awakening and understanding<br>- organizational culture<br>- implementation level of the requirements of ASIS SPC.1-2009 Organizational Resilience. | Not Accept            | 9/26/11 - Consensus found to not include a weighting system in this Guidance document. |
| 28  | Kurt Sohn; Capgemini                                              | 130               |                                              | Technical       | Why are we not referencing CMMI Maturity Model here? Is it necessary to redefine the process here in lesser terms? See link for brief description of CMMI Maturity Model - <a href="http://en.wikipedia.org/wiki/Capability_Maturity_Model_Integration">http://en.wikipedia.org/wiki/Capability_Maturity_Model_Integration</a>                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Not Accept            | 9/26/11 - Proposed changes relates to a different approach/type of maturity model.     |
| 29  | Glen Kitteringham; Kitteringham Security Group Inc.               | 133               |                                              | Editorial       | "Set goals for where they want to go"                                                                                                                                                                                                                                                                                                            | "establish goals where the organization wishes to be"                                                                                                                                                                                                                                                                                                                                                                                                    | Accept w/modification | 9/26/11.                                                                               |
| 30  | Craig Rydalch; American Imaging Management                        | 133               |                                              | Editorial       | "they want" (refers to organization)                                                                                                                                                                                                                                                                                                             | "it wants"                                                                                                                                                                                                                                                                                                                                                                                                                                               | No longer relevant    | 9/26/11.                                                                               |
| 31  | Glen Kitteringham; Kitteringham Security Group Inc.               | 134               |                                              | Editorial       | "Benchmark where they are relative to the goals; and"                                                                                                                                                                                                                                                                                            | "Benchmark the organization relative to those goals; and"                                                                                                                                                                                                                                                                                                                                                                                                | Accept w/modification | 9/26/11.                                                                               |
| 32  | Craig Rydalch; American Imaging Management                        | 134               |                                              | Editorial       | "they are" (refers to organization)                                                                                                                                                                                                                                                                                                              | "it is"                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Accept w/modification | 9/26/11.                                                                               |
| 33  | Sharon L. Caudle; Texas A&M University                            | 135               |                                              | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                                                                                                                                                                   | Remove "business" from the sentence.                                                                                                                                                                                                                                                                                                                                                                                                                     | Accept                | 9/26/11.                                                                               |
| 34  | Sharon L. Caudle; Texas A&M University                            | 137               |                                              | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                                                                                                                                                                   | Replace "business" with "organization".                                                                                                                                                                                                                                                                                                                                                                                                                  | Accept                | 9/26/11.                                                                               |
| 35  | Cal Jaeger, PhD; Sandia National Laboratories                     | 150               |                                              | General         | to highlight the advantages I would make them bullets                                                                                                                                                                                                                                                                                            | - By ... - Building ... - It provides                                                                                                                                                                                                                                                                                                                                                                                                                    | Accept                | 9/26/11.                                                                               |
| 36  | Craig Rydalch; American Imaging Management                        | 152               |                                              | Editorial       | "commitment of the stakeholders..."                                                                                                                                                                                                                                                                                                              | "commitment of stakeholders..."                                                                                                                                                                                                                                                                                                                                                                                                                          | Accept                | 9/26/11.                                                                               |
| 37  | Sharon L. Caudle; Texas A&M University                            | 154               |                                              | Editorial       | In many cases, costs--a negative term--is termed investments--a positive term. Both terms should be included.                                                                                                                                                                                                                                    | Restate as "costs and investments."                                                                                                                                                                                                                                                                                                                                                                                                                      | Not Accept            | 9/26/11.                                                                               |
| 38  | Sharon L. Caudle; Texas A&M University                            | 160               |                                              | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                                                                                                                                                                   | Restate as "business or mission advantage."                                                                                                                                                                                                                                                                                                                                                                                                              | Accept w/modification | 9/26/11.                                                                               |
| 39  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 168               |                                              | Technical       | Whether this document intends to third-party certification or not should be written in the scope.                                                                                                                                                                                                                                                | Move the sentence to "1. scope of standard".                                                                                                                                                                                                                                                                                                                                                                                                             | Noted                 | 9/26/11 - Additional modifications made to scope statement for clarity.                |
| 40  | Sharon L. Caudle; Texas A&M University                            | 175               |                                              | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                                                                                                                                                                   | Restate as "business or mission needs."                                                                                                                                                                                                                                                                                                                                                                                                                  | Accept w/modification | 9/26/11.                                                                               |
| 41  | Cal Jaeger, PhD; Sandia National Laboratories                     | 181               |                                              | General         | The sentence mentions risk not resilience and this occurs several times within this section. Are we talking risk or resilience. Recommend change to resilience.                                                                                                                                                                                  | ... of managing their resilience within the ...                                                                                                                                                                                                                                                                                                                                                                                                          | Not Accept            | 9/26/11 - Current phrase correct as is. Must manage risk to achieve resilience.        |
| 42  | Sharon L. Caudle; Texas A&M University                            | 186               |                                              | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                                                                                                                                                                   | Restate as "business or mission,"                                                                                                                                                                                                                                                                                                                                                                                                                        | Accept w/modification | 9/26/11.                                                                               |
| 43  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 194               | 197                                          | Technical       | The word "risk management" seems appeared suddenly. There is no explanation on the relation between OR management and risk management. And also this is not the requirement of ASIS SPC.1-2009.                                                                                                                                                  | After the sentence; "Everyone within the organization should take ownership of their part of the risk management process, making resilience management and preparedness an integral part of the culture of the organization, add "for raising maturity" or a text which clarifies applying only to this standard.                                                                                                                                        | Not Accept            | 9/26/11 - Current phrase deemed to be clear as is.                                     |
| 44  | Cal Jaeger, PhD; Sandia National Laboratories                     | 194               |                                              | General         | use of risk versus resilience                                                                                                                                                                                                                                                                                                                    | ... managing resilience is no longer ...                                                                                                                                                                                                                                                                                                                                                                                                                 | Not Accept            | 9/26/11 - Current phrase correct as is. Must manage risk to achieve resilience.        |
| 45  | Cal Jaeger, PhD; Sandia National Laboratories                     | 195               |                                              | General         | use of risk versus resilience                                                                                                                                                                                                                                                                                                                    | .. Part of the resilience management ...                                                                                                                                                                                                                                                                                                                                                                                                                 | Not Accept            | 9/26/11 - Current phrase correct as is. Must manage risk to achieve resilience.        |
| 46  | Cal Jaeger, PhD; Sandia National Laboratories                     | 201               |                                              | General         | use of risk versus resilience - risk may be right here                                                                                                                                                                                                                                                                                           | no change                                                                                                                                                                                                                                                                                                                                                                                                                                                | Noted                 | 9/26/11 - Current phrase correct as is. Must manage risk to achieve resilience.        |
| 47  | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 208               | 323                                          | Technical       | The state where each phase is materialized is not clear.                                                                                                                                                                                                                                                                                         | Add the description of the state of each phase. For example;<br>"The phase 2 - project approach - should include;<br>- one project carried out in the limited section<br>- limited scope with objectives and expectation<br>- nominated a project leader, etc."                                                                                                                                                                                          | Not Accept            | 9/26/11 - Consensus found to not include a weighting system in this Guidance document. |
| 48  | Philip Oppenheim; International Continuity Oversight Board        | 214               |                                              | Technical       | add text                                                                                                                                                                                                                                                                                                                                         | Each of these phases is composed of some aspect of the actions documented in ANSI/ASIS SPC.1-2009.                                                                                                                                                                                                                                                                                                                                                       | Accept                | 9/26/11.                                                                               |
| 49  | Sharon L. Caudle; Texas A&M University                            | 218               | 219                                          | Editorial       | The key barrier may also include misunderstanding.                                                                                                                                                                                                                                                                                               | Restate that the key barrier in this phase is "a lack of or misunderstanding"                                                                                                                                                                                                                                                                                                                                                                            | Accept                | 9/26/11.                                                                               |

| No. | Name; Organization                                         | Line No. From ... | Line No. ... to | Type of Comment | Comment (justification for change)                                                                                                                                                                    | Proposed Change                                                                                                                                         | Disposition           | Committee Resolution/Rationale                                                                                                                                |
|-----|------------------------------------------------------------|-------------------|-----------------|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 50  | Philip Oppenheim; International Continuity Oversight Board | 218               |                 | Technical       | add text                                                                                                                                                                                              | in place, and no ORM Policy in place ref base management standard 4.2.1.                                                                                | Accept                | 9/26/11.                                                                                                                                                      |
| 51  | Cal Jaeger, PhD; Sandia National Laboratories              | 220               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... the organization <i>should</i> recognize the                                                                                                        | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 52  | Mark R. Baker; MBaker Security                             | 227               | 274             | General         | Lack of inclusion of employees in project approach. Recommend including employee leadership in the "Project Approach" phase to improve eventual acceptance by "a larger portion of the organization". | Line 245 - "management support, including adequate resources and thoughtful contributions from those being most significantly impacted by the project." | Not Accept            | 9/26/11 - Employees deemed to be included as part of resources.                                                                                               |
| 53  | Mark R. Baker; MBaker Security                             | 228               | Section 4.2.2   | General         | Management Commitment - Phase Two                                                                                                                                                                     | Include comment related to inclusion of "those being most significantly impacted by the project."                                                       | Not Accept            | 9/26/11 - Current language deemed to be clear as is.                                                                                                          |
| 54  | Cal Jaeger, PhD; Sandia National Laboratories              | 230               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | .. Scope project <i>shall</i> be established ...                                                                                                        | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 55  | Philip Oppenheim; International Continuity Oversight Board | 233               | 244             | Technical       | replace with                                                                                                                                                                                          | Then management authorizes and provides resources to a "Project Leader" to conduct a project (ref: base management standard 4.2.2).                     | Accept                | 9/26/11.                                                                                                                                                      |
| 56  | Cal Jaeger, PhD; Sandia National Laboratories              | 233               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... Management <i>should</i> designate a ...                                                                                                            | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 57  | Cal Jaeger, PhD; Sandia National Laboratories              | 235               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... issues addressed <i>should</i> be carefully ...                                                                                                     | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 58  | Cal Jaeger, PhD; Sandia National Laboratories              | 237               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | .. The project <i>should</i> be a ...                                                                                                                   | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 59  | Sharon L. Caudle; Texas A&M University                     | 241               |                 | Editorial       | The use of "business" again focuses attention on private sector applicability.                                                                                                                        | Replace "business" with "central organizational priority project".                                                                                      | Accept w/modification | 9/26/11.                                                                                                                                                      |
| 60  | Cal Jaeger, PhD; Sandia National Laboratories              | 242               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... as with any project it <i>should</i> require clear ...                                                                                              | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 61  | Cal Jaeger, PhD; Sandia National Laboratories              | 244               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... Leader <i>should</i> have top ...                                                                                                                   | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 62  | Cal Jaeger, PhD; Sandia National Laboratories              | 246               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... expertise <i>should</i> be provided ... of the project team.                                                                                        | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 63  | Glen Kitteringham; Kitteringham Security Group Inc.        | 248               |                 | Editorial       | "The standard provides"                                                                                                                                                                               | "This standard provides"                                                                                                                                | Noted                 | 9/26/11 - Noted for technical editor.                                                                                                                         |
| 64  | Cal Jaeger, PhD; Sandia National Laboratories              | 251               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... elements. Attention <i>should</i> focus on ...                                                                                                      | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 65  | Cal Jaeger, PhD; Sandia National Laboratories              | 258               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... Focus <i>should</i> be placed ...                                                                                                                   | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 66  | Cal Jaeger, PhD; Sandia National Laboratories              | 259               |                 | General         | use of risk versus resilience                                                                                                                                                                         | ... the elements. Resilience management ...                                                                                                             |                       | 9/26/11.                                                                                                                                                      |
| 67  | Cal Jaeger, PhD; Sandia National Laboratories              | 263               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... organization <i>should</i> be applying the ...                                                                                                      | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 68  | Cal Jaeger, PhD; Sandia National Laboratories              | 267               |                 | General         | change wording to include should or shall so it is a requirement                                                                                                                                      | ... management, <i>should</i> expand the project ...                                                                                                    | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 69  | Philip Oppenheim; International Continuity Oversight Board | 268               | 270             | Technical       | delete: Emphasis ... near misses.                                                                                                                                                                     | add no value.                                                                                                                                           | Accept w/modification | 9/26/11.                                                                                                                                                      |

| No. | Name; Organization                                         | Line No. From ... | Line No. ... to | Type of Comment | Comment (justification for change)                               | Proposed Change                                                                                                                                                                                                     | Disposition           | Committee Resolution/Rationale                                                                                                                                |
|-----|------------------------------------------------------------|-------------------|-----------------|-----------------|------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 70  | Philip Oppenheim; International Continuity Oversight Board | 268               |                 | Technical       | add text                                                         | ...event of a disruption and Identifies and defines authorities, roles, responsibilities and appropriate resources within the organization (ref base management standard 4.4.1)                                     | Accept w/modification | 9/26/11.                                                                                                                                                      |
| 71  | Cal Jaeger, PhD; Sandia National Laboratories              | 276               |                 | General         | add words to make more clear                                     | Phase Four is the systems approach which involves ...                                                                                                                                                               | Accept                | 9/26/11.                                                                                                                                                      |
| 72  | Cal Jaeger, PhD; Sandia National Laboratories              | 278               |                 | General         | change wording to include should or shall so it is a requirement | ... core elements <i>should</i> be viewed in ...                                                                                                                                                                    | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 73  | Cal Jaeger, PhD; Sandia National Laboratories              | 283               |                 | General         | change wording to include should or shall so it is a requirement | ... top management <i>should</i> recognize, understand, and is ...                                                                                                                                                  | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 74  | Cal Jaeger, PhD; Sandia National Laboratories              | 284               |                 | General         | change wording to include should or shall so it is a requirement | ... Top management <i>should</i> be actively ...                                                                                                                                                                    | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 75  | Philip Oppenheim; International Continuity Oversight Board | 285               |                 | Technical       | add text                                                         | Establishes, implements, and maintains an ongoing formal risk and impact assessment process (ref: base management standard 4.3.1), that to ensure business functions ... [delete critical per previous conventions] | Accept                | 9/26/11.                                                                                                                                                      |
| 76  | Cal Jaeger, PhD; Sandia National Laboratories              | 286               |                 | General         | change wording to include should or shall so it is a requirement | ... functions and activities should be identified, risk criteria set, and risks prioritized.                                                                                                                        | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 77  | Cal Jaeger, PhD; Sandia National Laboratories              | 287               |                 | General         | change wording to include should or shall so it is a requirement | .. The focus <i>should</i> be on identifying ...                                                                                                                                                                    | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 78  | Cal Jaeger, PhD; Sandia National Laboratories              | 288               |                 | General         | change wording to include should or shall so it is a requirement | ... organization <i>should</i> be testing the <i>Standard's</i> core ...                                                                                                                                            | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 79  | Cal Jaeger, PhD; Sandia National Laboratories              | 289               |                 | General         | change wording to include should or shall so it is a requirement | ... findings <i>should</i> be used to ...                                                                                                                                                                           | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 80  | Cal Jaeger, PhD; Sandia National Laboratories              | 292               |                 | General         | change wording to include should or shall so it is a requirement | .. Preparedness <i>shall</i> clearly be taking hold ...                                                                                                                                                             | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 81  | Cal Jaeger, PhD; Sandia National Laboratories              | 294               |                 | General         | change wording to include should or shall so it is a requirement | ... management system <i>shall</i> be now fully ...                                                                                                                                                                 | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 82  | Cal Jaeger, PhD; Sandia National Laboratories              | 295               |                 | General         | change wording to include should or shall so it is a requirement | The organization <i>should</i> now be able to demonstrate ...                                                                                                                                                       | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 83  | Cal Jaeger, PhD; Sandia National Laboratories              | 297               |                 | General         | change wording to include should or shall so it is a requirement | ... system standard <i>should</i> have been ...                                                                                                                                                                     | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 84  | Cal Jaeger, PhD; Sandia National Laboratories              | 299               |                 | General         | change wording to include should or shall so it is a requirement | ..management culture <i>should</i> be promoted...                                                                                                                                                                   | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 85  | Cal Jaeger, PhD; Sandia National Laboratories              | 303               |                 | General         | use of risk versus resilience                                    | .. Management of <i>resilience</i> use a ...                                                                                                                                                                        | Not Accept            | 9/26/11 - Proposed change deemed to be confusing. Current phrase correct and clear as is.                                                                     |
| 86  | Philip Oppenheim; International Continuity Oversight Board | 308               | 311             | Technical       | replace Audits, evaluations ... parts of the enterprise.         | Establishes, implements, and maintains documented procedures for internal audits (ref base management standard, 4.5.5) to drive opportunities for improvement and increased competitiveness.                        | Accept                | 9/26/11.                                                                                                                                                      |
| 87  | Cal Jaeger, PhD; Sandia National Laboratories              | 308               |                 | General         | change wording to include should or shall so it is a requirement | .. The standard <i>should</i> have been ...                                                                                                                                                                         | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 88  | Cal Jaeger, PhD; Sandia National Laboratories              | 309               |                 | General         | change wording to include should or shall so it is a requirement | ... management review <i>should</i> move beyond. ...                                                                                                                                                                | Not Accept            | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |

| No. | Name; Organization                                                | Line No. From ... | Line No. ... to     | Type of Comment | Comment (justification for change)                                                                                                                                                                                                                  | Proposed Change                                                                                                                                                                                                                                                                                                                                                                                          | Disposition        | Committee Resolution/Rationale                                                                                                                                |
|-----|-------------------------------------------------------------------|-------------------|---------------------|-----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 89  | Cal Jaeger, PhD; Sandia National Laboratories                     | 311               |                     | General         | change wording to include should or shall so it is a requirement                                                                                                                                                                                    | There <i>should</i> be a continual ...                                                                                                                                                                                                                                                                                                                                                                   | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 90  | Cal Jaeger, PhD; Sandia National Laboratories                     | 315               |                     | General         | add words to make more clear                                                                                                                                                                                                                        | In Phase Six, holistic management, the organization <i>shall</i> go beyond ...                                                                                                                                                                                                                                                                                                                           | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 91  | Cal Jaeger, PhD; Sandia National Laboratories                     | 317               |                     | General         | change wording to include should or shall so it is a requirement                                                                                                                                                                                    | The organization <i>should</i> emphasize enterprise-wise ...                                                                                                                                                                                                                                                                                                                                             | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 92  | Cal Jaeger, PhD; Sandia National Laboratories                     | 319               |                     | General         | change wording to include should or shall so it is a requirement                                                                                                                                                                                    | ... management culture <i>should</i> be well developed ...                                                                                                                                                                                                                                                                                                                                               | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 93  | Cal Jaeger, PhD; Sandia National Laboratories                     | 320               |                     | General         | change wording to include should or shall so it is a requirement                                                                                                                                                                                    | ... systems principles <i>should</i> be expanded ...                                                                                                                                                                                                                                                                                                                                                     | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 94  | Philip Oppenheim; International Continuity Oversight Board        | 322               | 323                 | Technical       | delete (in its supply chain and community) and add text                                                                                                                                                                                             | ... within an internal, external and risk management context, as well as enterprise-wide risk management supply chain interactions , (ref base management standard, 4.1.1). Thus, recognizing ...                                                                                                                                                                                                        | Accept             | 9/26/11.                                                                                                                                                      |
| 95  | Cal Jaeger, PhD; Sandia National Laboratories                     | 322               | Matrix              | General         | in a number of places within the matrix "risk" is used. Need to check to see if this is correct or if "resilience" should be used.                                                                                                                  | change text as needed                                                                                                                                                                                                                                                                                                                                                                                    | Not Accept         | 9/26/11 - "Risk" deemed to be the appropriate and correct term.                                                                                               |
| 96  | Cal Jaeger, PhD; Sandia National Laboratories                     | 322               | Matrix              | Editorial       | a few places where words are separated incorrectly                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                          | Noted              | 9/26/11 - Noted for technical editor.                                                                                                                         |
| 97  | Robert F. Lang; Kennesaw State University                         | 322               | Matrix              | Editorial       | No identification of level for Pre-Awakening                                                                                                                                                                                                        | clarity of program                                                                                                                                                                                                                                                                                                                                                                                       | No longer relevant | 9/26/11.                                                                                                                                                      |
| 98  | Cal Jaeger, PhD; Sandia National Laboratories                     | 322               |                     | General         | change wording to include should or shall so it is a requirement                                                                                                                                                                                    | The organization <i>should</i> mentor other ...                                                                                                                                                                                                                                                                                                                                                          | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |
| 99  | Robert F. Lang; Kennesaw State University                         | 325               |                     | General         | To me, this is not a "Matrix" but rather phased charts. Semantics                                                                                                                                                                                   | If people are looking for a real matrix of options and interfaces, this is not clear                                                                                                                                                                                                                                                                                                                     | Not Accept         | 9/26/11 - Current phrase deemed to be clear as is.                                                                                                            |
| 100 | Cal Jaeger, PhD; Sandia National Laboratories                     | 328               |                     | General         | meaning of "fit-for-purpose" is unclear and other words should be used or deleted                                                                                                                                                                   | ... organization can structure a program to fit ...                                                                                                                                                                                                                                                                                                                                                      | Not Accept         | 9/26/11 - Current phrase deemed to be clear as is.                                                                                                            |
| 101 | Yoriko Tobishima; InterRisk Research Institute & Consulting, Inc. | 359               |                     | Technical       | "Glossary" = "Terms and definitions" should be normative reference. (see Annex D of ASIS SPC. 1)                                                                                                                                                    | Change the positioning of Annex B as "normative" not "informative".                                                                                                                                                                                                                                                                                                                                      | No longer relevant | 9/26/11.                                                                                                                                                      |
| 102 | Robert F. Lang; Kennesaw State University                         | 362               |                     | General         | Needs to be upfront, not a referral.                                                                                                                                                                                                                | Program understanding is lost if read at end                                                                                                                                                                                                                                                                                                                                                             | No longer relevant | 9/26/11.                                                                                                                                                      |
| 103 | Cal Jaeger, PhD; Sandia National Laboratories                     | General           | General and Forward | General         | Including shall and should in the text of the standard would emphasize the requirements. As currently written there are no mandatory requirements and only a few recommendations (the entire matrix could possibly be considered a recommendation). | Only change required is to decide if the standard needs to have any <i>shall</i> s or more <i>should</i> s included in the text. The standard has only <u>six</u> <i>should</i> s and I am not sure they all were intended to designate requirements and has <u>no</u> <i>shall</i> s. The last <i>should</i> is in line 326 and appears to make the entire maturity model matrix a recommendation only. | Not Accept         | 9/26/11 - This standard provides guidance only. "Should" and "shall" not used in this guidance standard so as to avoid confusion with requirements standards. |