

Equipping You For Success:

An ISO 22301 Certification Case Study

March 28, 2017

10:45 – 11:45 am

Maureen Roskoski, Corporate Sustainability Officer,
Facility Engineering Associates, PC



Meet Our Presenter



**Maureen K. Roskoski, CFM, SFP, LEED AP O+M,
Business Continuity Lead
Corporate Sustainability Officer**



About Us

- Engineering & Facility Management Consulting Firm
- Small Business
- 50+ Employees
- Three Main Offices
 - Fairfax, VA
 - Denver, CO
 - Santa Rosa, CA



Importance of Standards

“Weights and measures [standards] may be ranked among the necessities of life to every individual of human society. They enter into the economical arrangements and daily concerns of every family. They are necessary to every occupation of human industry.”

JOHN QUINCY ADAMS - Report to the Congress, 1821

Why ISO Certification?

Assurance of continuity of our business

Achieve a recognized global benchmark

Meet customer demands

What is Important to Your Organization?

Reduce risk of business interruption

Increase competitiveness

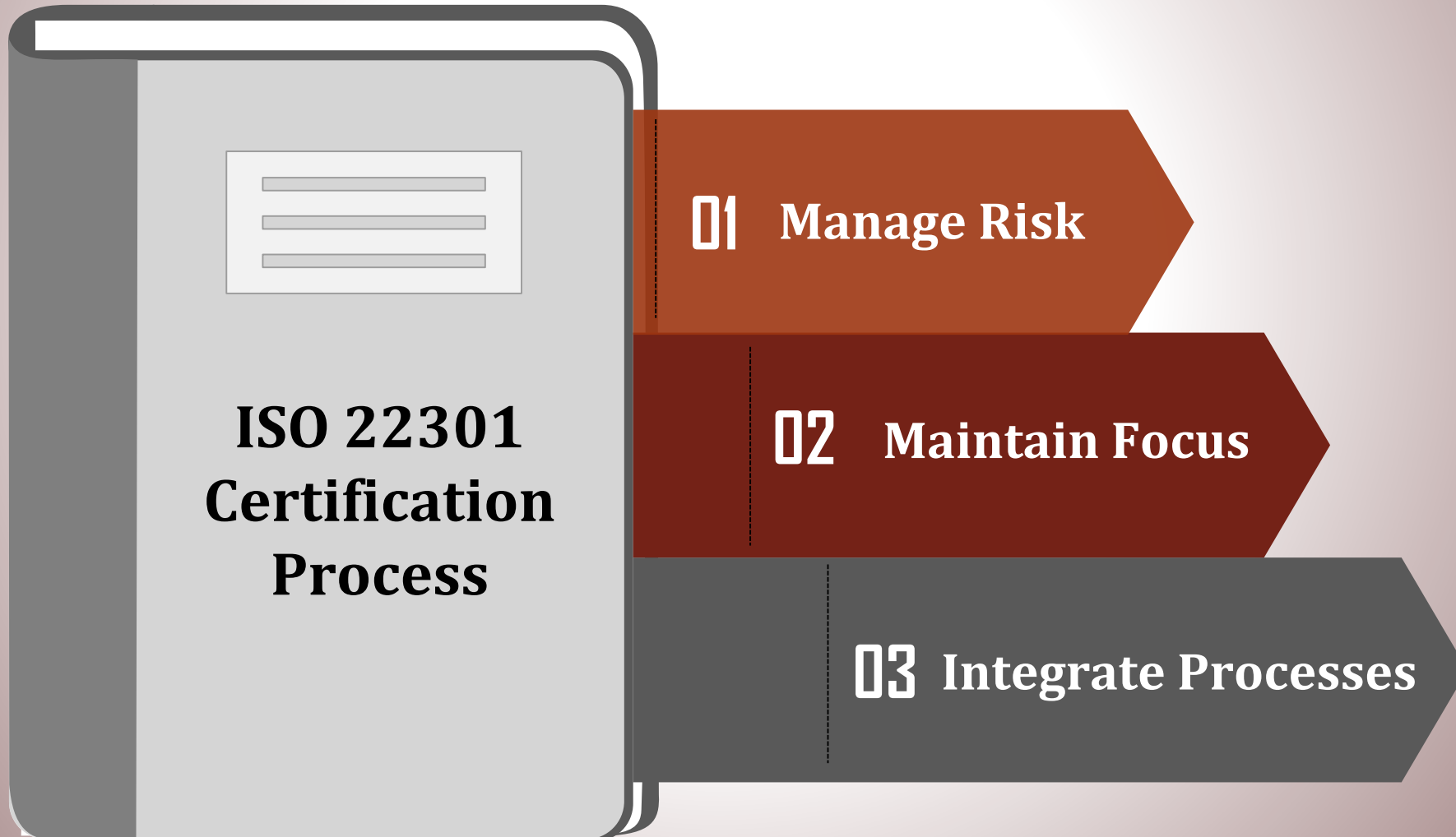
Provide full service to our clientele

Protect reputation and brand

Protect our assets and safeguard our employees

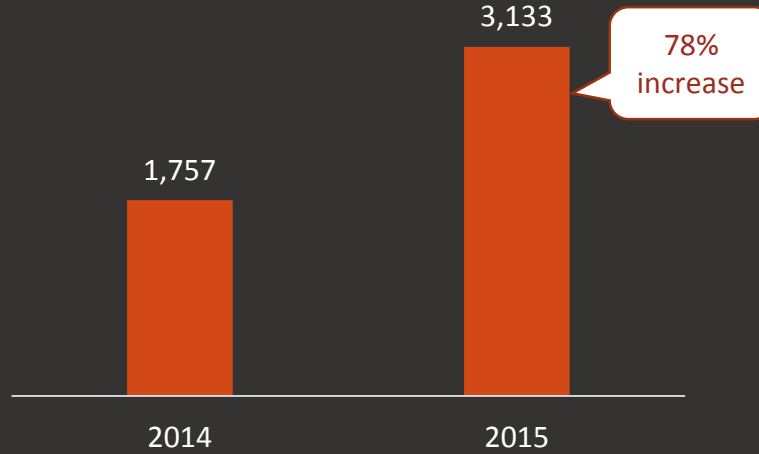
Why ISO Certification?

Adding Value While Improving Performance...

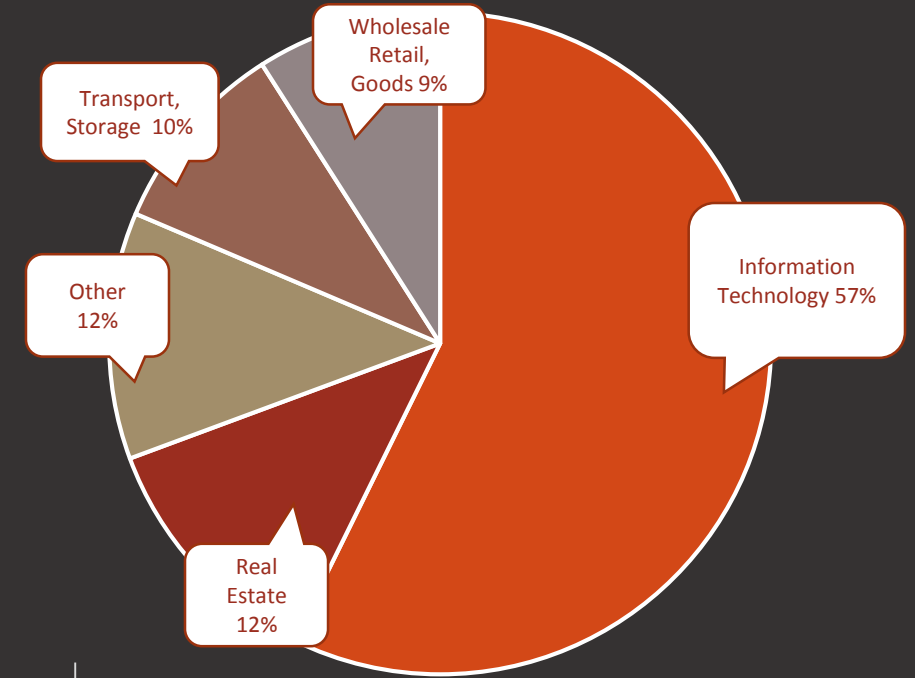


Statistics

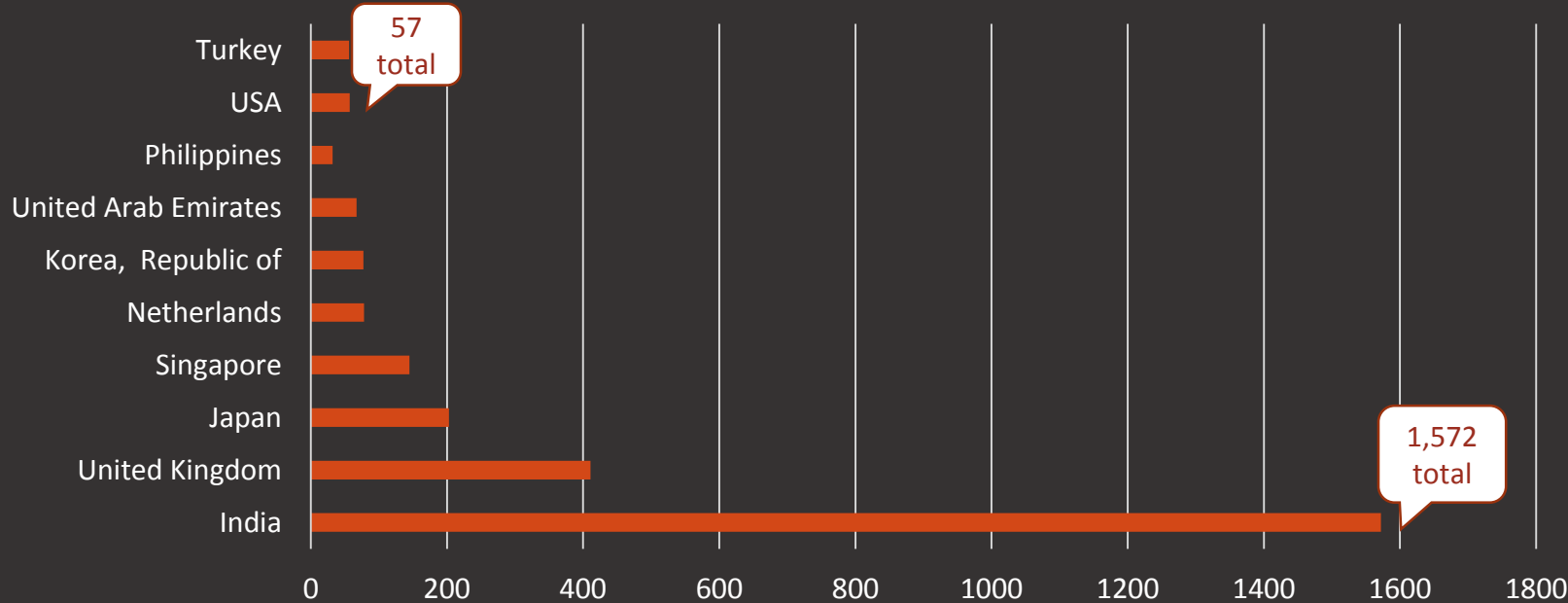
ISO 22301 Certificates Worldwide



Top Five Industrial Sectors for ISO 22301 Certificates (2015)



Top Countries with ISO 22301 Certificates (2015)

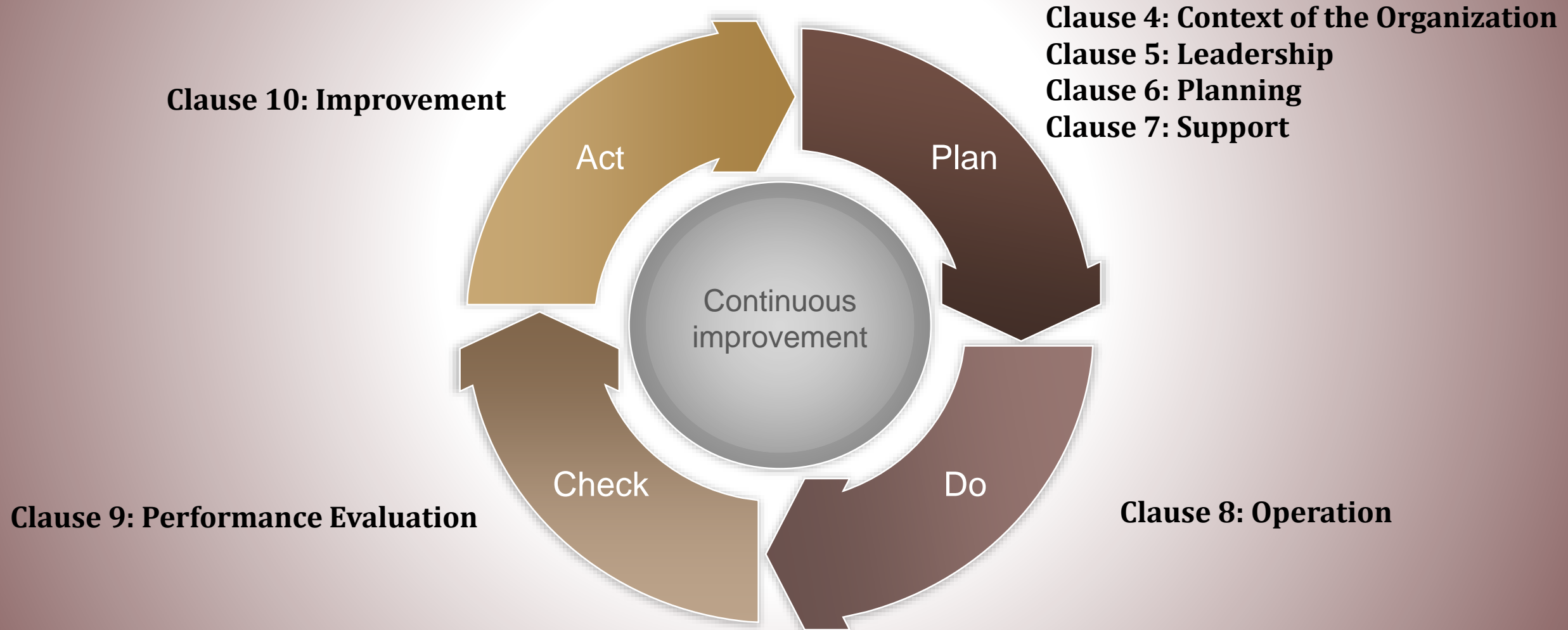


ISO 22301 Certificates by Industrial Sector (2015)

Information technology	114
Financial intermediation, real estate, rental	24
Other Services	24
Transport, storage and communication	19
Wholesale & retail trade; repairs of goods	18
Engineering Services	5

ISO 22301 Standard

Structure and Content of ISO 22301



ISO 22301 Business Continuity Management Systems

Context of the Organization

- External & Internal Issues
- Interested Party Requirements
- Establish Scope
- Legal & Regulatory Requirements
- BC Management System

Planning

- Risks & Opportunities
- Plan- Address Risks
- BC Objectives
- Planning Horizons

Operation

- Processes
- Business Impact Analysis
- Risk Assessment
- BC Strategy
- BC Procedures
- Exercising & Testing

Improvement

- Nonconformity
- Corrective Actions
- Root Cause Analysis
- Continually Improve

04

05

06

07

08

09

10

Leadership

- Management Commitment
- Resource Commitment
- Establish & Communicate BC Policy
- Relevant Roles
- Responsibility & Authority

Support

- ID & Secure Resources
- Competencies
- Awareness
- Communications
- Information Required

Performance Evaluation

- Measurement & Monitoring
- Evaluate Performance
- Internal Audit
- Management Review
- Communicate/Act on Results

Organization



04 Context of the Organization

- External & Internal Issues
- Interested Party Requirements
- Establish Scope
- Legal & Regulatory Requirements
- BC Management System

Who Are Your Stakeholders?

Internal and External

Leadership

- Policy
- Governance
- Teams



05 Leadership

- Management Commitment
- Resource Commitment
- Establish & Communicate BC Policy
- Relevant Roles
- Responsibility & Authority

**Who Is In Charge
During An Incident?**

Program Setup

Team/Role	Personnel	Backup	Identified in Which Plan/Document	Duties
Gold Team				
Incident Commander	Batman	Robin	Communications Plan, Policy, BC Plan	The Incident Commander leads the Incident Command Group and has final authority on plan activation, communications, and designating roles and responsibilities relating to business continuity activities.
Incident Command Group	Wonder Woman Superman	Iron Man MacGyver	Communications Plan, Policy, BC Plan	The Incident Command Group participants authorize activation of the Business Continuity Plan and authorize dissemination of pre-approved messages to both internal and external audiences. FEA individuals referred to collectively as the Gold Team, who will act as an Incident Command Group, will meet and may report to a command station as they learn of an emergency which may require activation of the business continuity plan. They are listed in order of succession and each is authorized to determine responses to emergencies.
Silver Team				
Business Continuity Lead	Maureen Roskoski	John Doe	Policy, Communications Plan, BC Plan	The Business Continuity Lead will coordinate business continuity activities and work with the Gold and Silver teams throughout an event. The Business Continuity Lead can inform Gold Team members of potential disruptive events and can ask the Gold Team for a decision on sending a pre-event communication or activation of the BC Management Plan. In addition, the Business Continuity Lead will coordinate, conduct, and report on non-emergency education, situational awareness, and other activities related to ongoing awareness of business continuity.
Communications Lead	Jane Doe	John Smith	Communications Plan	The Communications Lead coordinates risk communications and information dissemination activities. Such activities are conducted with direction from FEA's Gold Team, as led by the Incident Commander. The Incident Commander will work together with the Communications Lead, particularly in relation to message development and deployment. Activities include press releases, news releases, postings to FEA's website, communications with FEA employees, customers, and suppliers, as well as monitoring of media reports. The Communications Lead is in charge of executing the response, with support from FEA's Silver and Bronze teams, which may assist in the execution of communications activities.

Actions To Address Risks & Opportunities

- Ensuring BCMS can achieve its intended outcomes
- Ensuring business continuity objectives are established & communicated

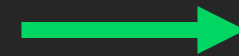
- Risks & Opportunities
- Plan- Address Risks
- BC Objectives
- Planning Horizons

Business Continuity Objectives

06 Planning

FEA Business Continuity Management Systems Objectives:

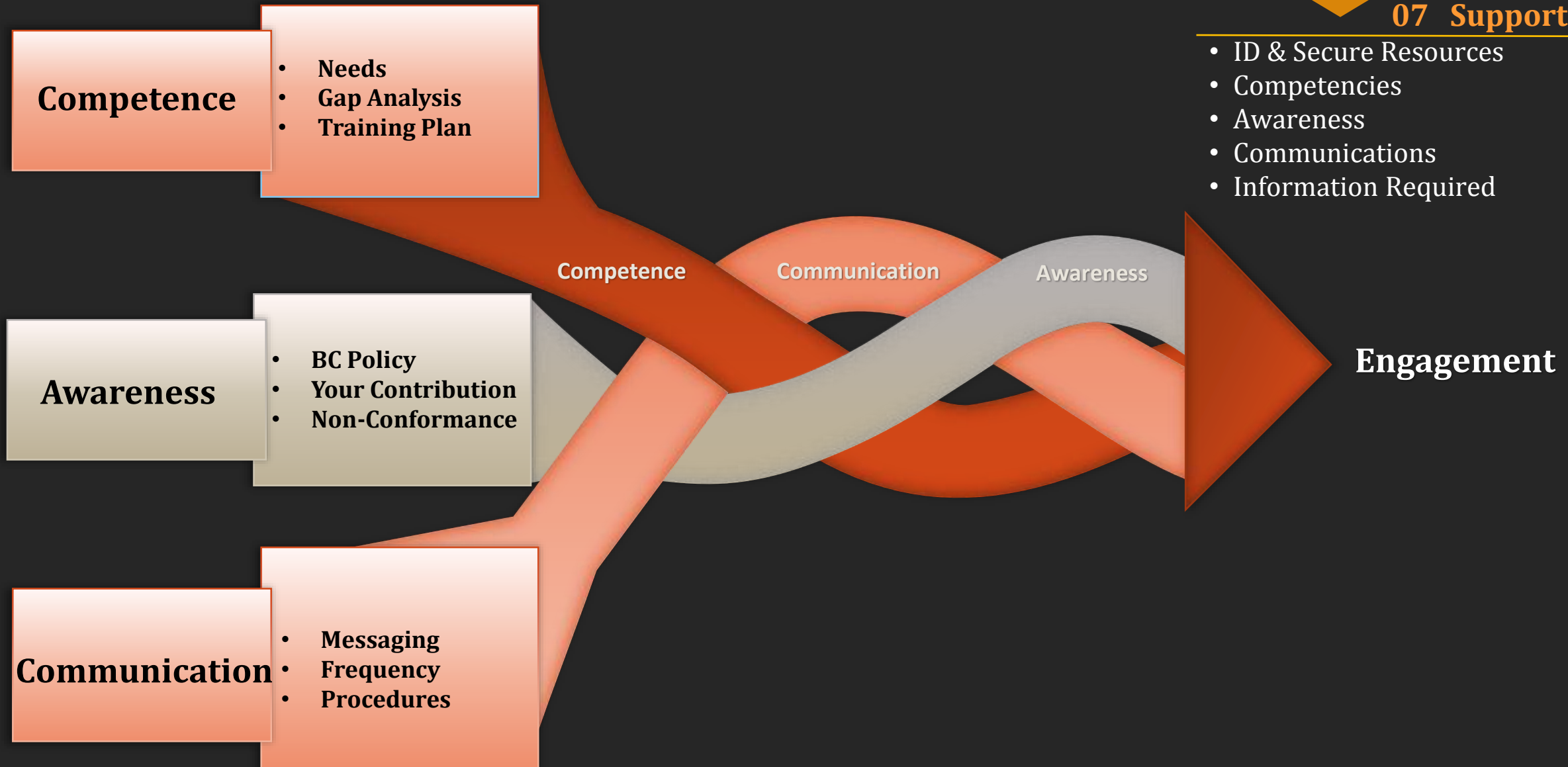
1. Improve FEA's ability to continue to provide prioritized services to our clients and support services to our employees
2. Enhance business continuity services
3. Communicate BCM Strategy and Objectives clearly and consistently to reinforce across FEA culture



Aligned With a
Balanced
Scorecard
(Clause 9)

Support

07 Support



Competence

- What are the necessary competencies for Business Continuity Professionals?
- How do you determine if persons are competent?

**We Developed Our Own
Business Continuity
Competency Model**

FEA Business Continuity Competency Model

Role	Task	Competencies	How Competency Was Achieved	Comments	Means to Strengthen Competencies
Business Continuity Lead	Coordinate Business Continuity Activities	Leadership	On-the-Job Experience	Senior Professional, Corporate Sustainability Officer, 20 years of job experience	Leading FEA Business Resilience Practice Area
Business Continuity Lead	Ask the Gold Team for a Decision on Sending a Pre-Event Communication or Activation of the BC Management Plan		On-the-Job Experience	Senior Professional, Corporate Sustainability Officer, 20 years of job experience	
Business Continuity Lead	Leads the BCPTF's Operation		On-the-Job Experience	Senior Professional, Corporate Sustainability Officer, 20 years of job experience	
Business Continuity Lead	Work with the Gold and Silver Teams Throughout an Event	Teamwork	On-the-Job Experience	Senior Professional, Corporate Sustainability Officer, 20 years of job experience	
Business Continuity Lead	Inform Gold Team Members of Potential Disruptive Events	Risk Management, Vulnerability Management	External Training	ICOR BCM 2022 The Risk Assessment & Managing Risk	DRJ Spring World
Business Continuity Lead	Provides a Summary of Events that have Impacted Staff and Output or Threatened to Disrupt Output				
Business Continuity Lead	Provides a Summary of Events that have Impacted Staff and Output or Threatened to Disrupt Output				
Business Continuity Lead	Provides a Summary of Events that have Impacted Staff and Output or Threatened to Disrupt Output		Mentoring	George Huff	
Business Continuity Lead	Provides a Summary of Events that have Impacted Staff and Output or Threatened to Disrupt Output				
Business Continuity Lead	Coordinate, Conduct, and Report on Non-Emergency Education, Situational Awareness, and Other BCMS	Employee Development, Organizational Development	On-the-Job Experience	10 years teaching experience as industry instructor	
Business Continuity Lead	Perform Business Impact Analysis and Risk Assessment	Cost-Benefit Analysis, Risk Management	External Training	ICOR BCM 2022 The Risk Assessment & Managing Risk	DRJ Spring World
Business Continuity Lead	Provides Specialist Business Continuity Guidance and Advice	Business Continuity Planning, ISO 22301 Standard	Mentoring	George Huff	ICOR BCM 2033 - Business Continuity & Recovery Plans & Procedures
Business Continuity Lead	Reviews Office Level Plans to Ensure Integration with Overarching Plan Structure				
Business Continuity Lead	Produces Guidelines for BC Standards, Resilience, and Incident Management Plans and Arrangements				

Operation



08 Operation

- Processes
- Business Impact Analysis
- Risk Assessment
- BC Strategy
- BC Procedures
- Exercising & Testing

Business Impact Analysis

08 Operation

Key Steps:

- Interviewing key stakeholders
- Breaking services down in to key inputs, outputs, processes and steps
- Determining what is critical to continuing business

Challenges:

- Logistics of interviews
- Changing the way we think

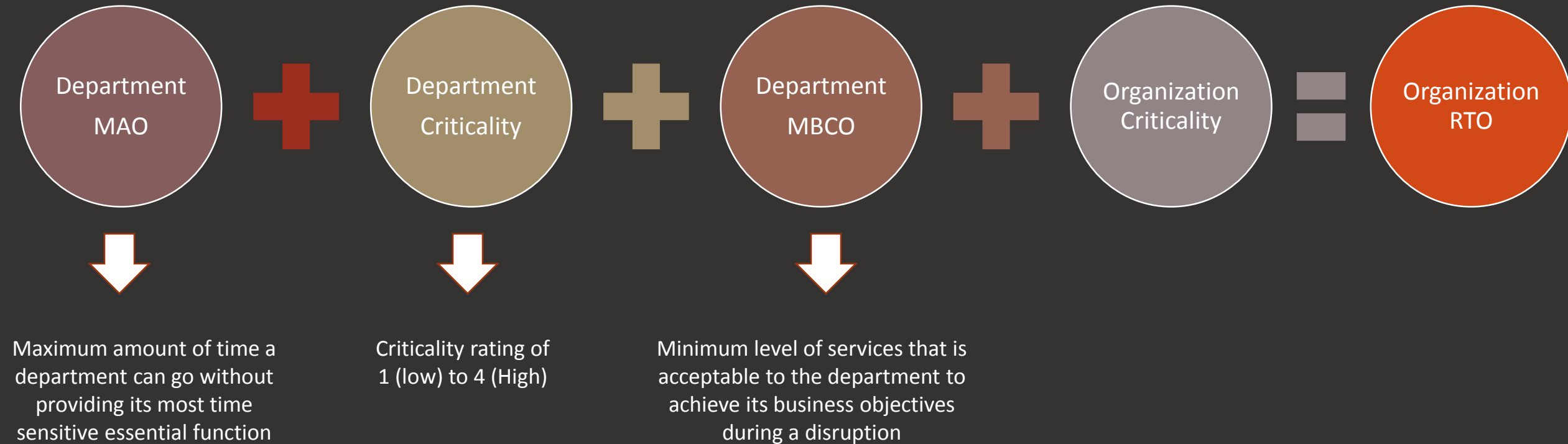
What Are The Essential Functions Your Business Needs To Perform To Continue Operating?

1. Do you have internal customers that depend on this function?
2. Do you have external customers outside of the organization that this function serves?
3. Are there any regulatory or contractual requirements to this function?

Business Impact Analysis

08 Operation

Key Outputs From the BIA

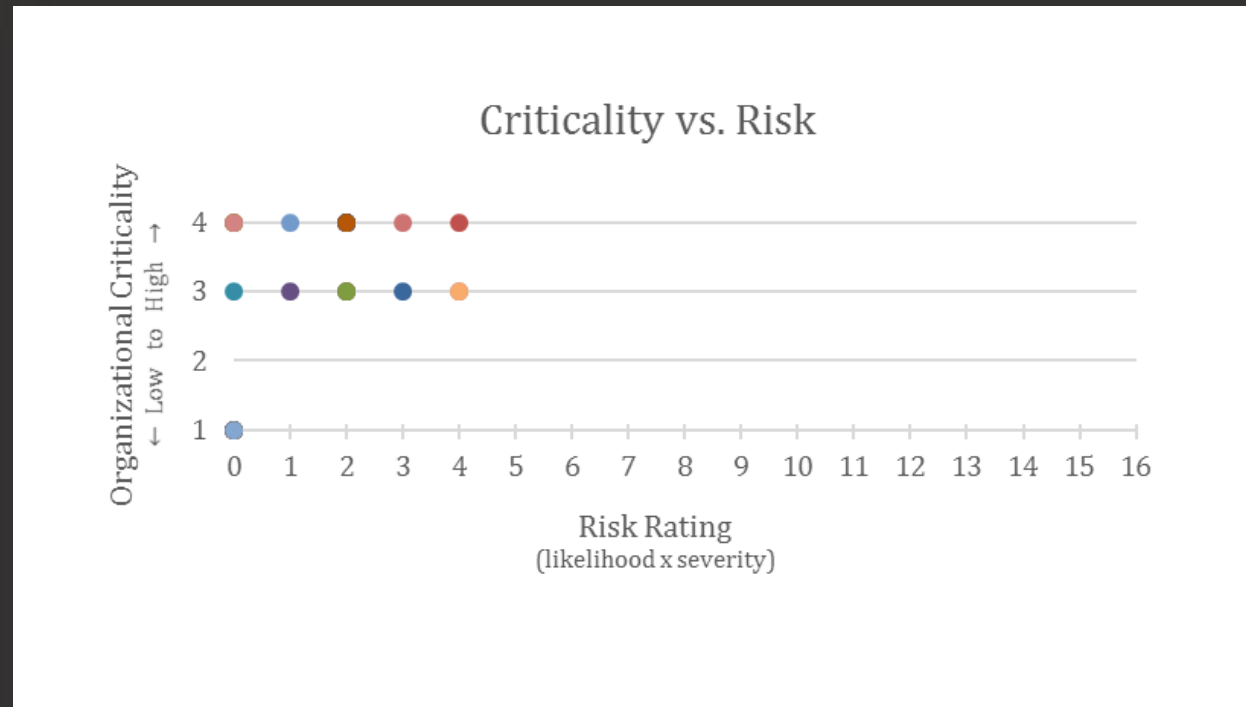


Risk Assessment

08 Operation

- Loss of Facility
 - Loss of Personnel
 - Loss of Telecommunications
 - Loss of Utilities
- Inform Strategy
 - Determine Risk Appetite
 - Prioritize Implementation Actions

Organizational Criticality & Risk Rating



Theory: Multiply risk rating by organizational criticality to prioritize essential functions by greatest risk criticality ----- Prioritize risk treatment options

Business Continuity Plan

“The organization shall establish, implement, and maintain business continuity procedures to manage a disruptive incident and continue its activities based on recovery objectives identified in the business impact analysis.”

The procedures shall:

- a) establish an appropriate internal and external communications protocol;
- a) be specific regarding the immediate steps that are to be taken during a disruption;

Business Continuity Plan

Processes

Tactical

- Alternate Site
- Essential Functions
- Risk Management
- Business Impact Analysis
- Communications Plan
- Incident Response Plan
- Vital Records, Databases and Information Systems

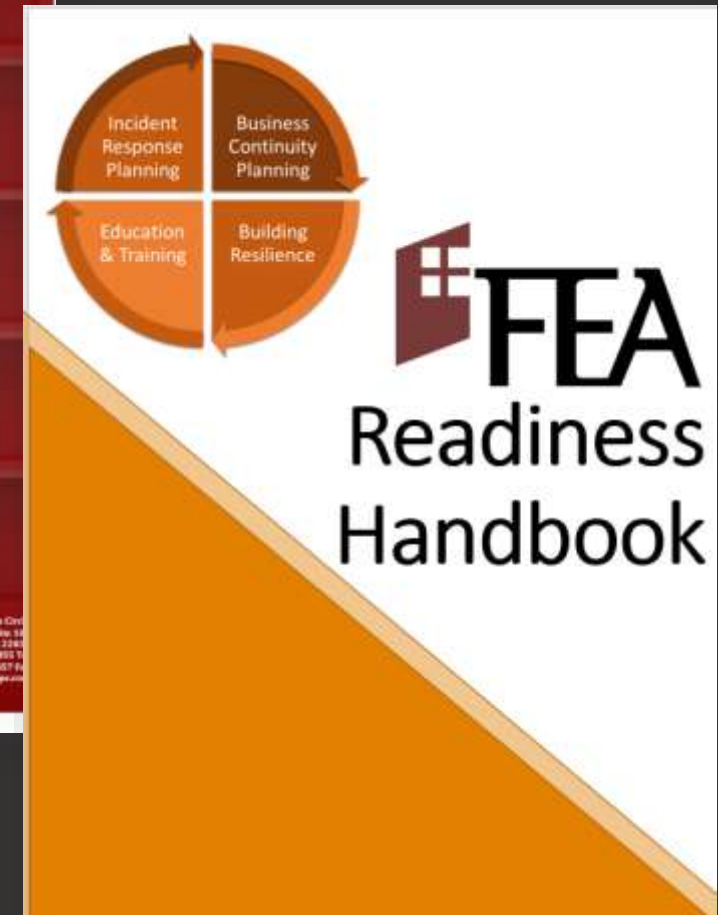
Strategical

- Succession Plans
- Delegation of Authority
- Devolution of Control
- Reconstitution
- Return To Normal

BC Procedures

- Evacuation
- Shelter In Place
- Alternate Site
- Return To Normal

08 Operation



Exercising & Testing

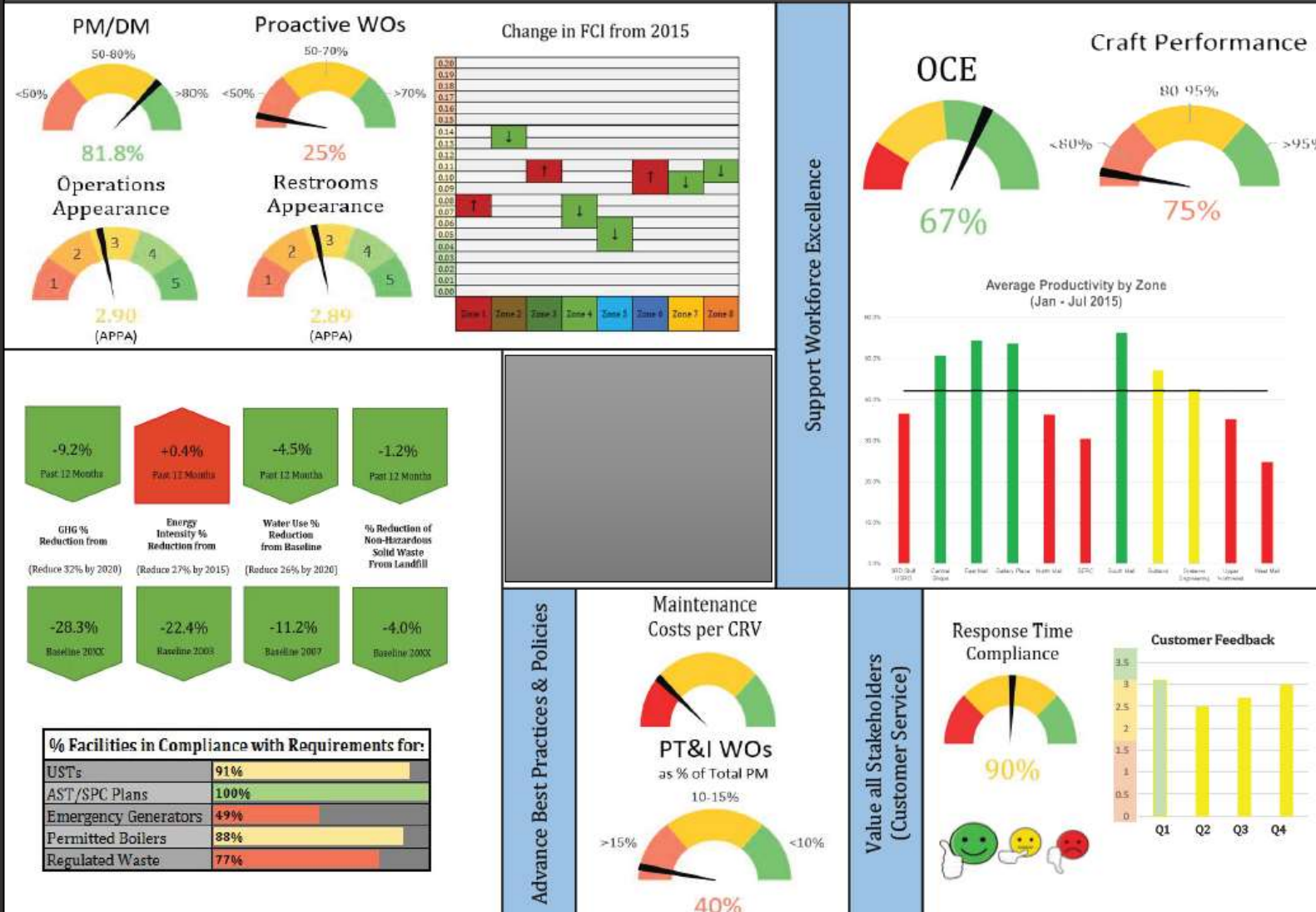
Engagement

- Tabletop Exercise
- Evacuation drills
- Situational awareness training
- Lunch -n- Learns
- Engaging with local authorities



Performance Evaluation

09 Performance Evaluation



- Measurement & Monitoring
- Evaluate Performance
- Internal Audit
- Management Review
- Communicate/Act on Results

Business Continuity Management Systems Scorecard

BCM Strategic Objective	BCM Strategic Initiatives	Owner	Metrics	Target	Current Status
Improve FEA's ability to continue to provide prioritized services to our clients and support services to our employees.	Management review of BCMS Program	BC Lead	BSC Reporting	Once a Year	Completed 12.1.16
	Conduct Gold, Silver, and Bronze Team review meetings	BC Lead	% participation in annual meetings	90% participation	85% participation
	Perform BC Exercise	BC Lead	% participation in annual exercise	90% participation	72%
	Perform IT disaster recovery review (Restore action to designated folder)	IT BC Lead	# of tests	2/year	Restore action performed twice (both unscheduled)
	Conduct internal audit of BCMS program	BC Internal Auditor	# of non-conformities	0 non-conformities	0 non-conformities; some observations to be addressed

Internal Audit

- Planned intervals
- Ensures conformance to organization's own requirements
- Ensures conformance to ISO standard
- Ensures BCMS is effectively implemented and maintained

Management Review

- Actions from prior management reviews
- Changes in internal & external issues
- BCMS performance
- Opportunities for continual improvement
- Required modifications of procedures and controls

Improvement

Corrective Actions

- Identify
- React
- Evaluate

The “5 Whys”



10 Improvement

- Nonconformity
- Corrective Actions
- Root Cause Analysis
- Continually Improve

PROBLEM:

The stones in the Jefferson Memorial are deteriorating badly.

↓ **WHY?** ↓

The stones have to be cleaned very frequently.

↓ **WHY?** ↓

Pigeons leave too many calling cards.

↓ **WHY?** ↓

They feed on the heavy spider population.

↓ **WHY?** ↓

They are attracted by a huge moth population.

↓ **WHY?** ↓

The moths are attracted by the monument's lights during their twilight swarming frenzy.

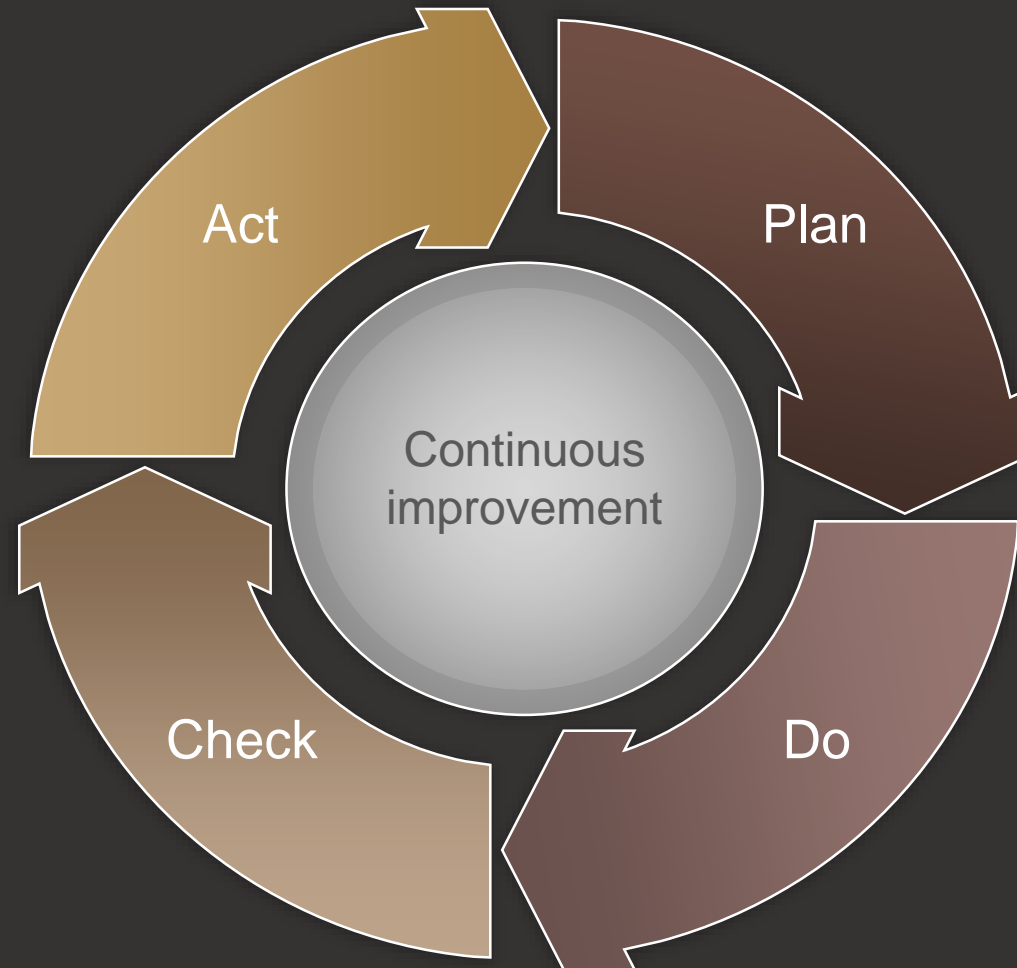
SOLUTION:

Turn on the lights two hours later.



Improvement

Continual Improvement



Our Results

Stage 1 Audit Fall 2015

- Informal Audit
- Process Review
- Gauge Readiness

Certification Achieved March 2016

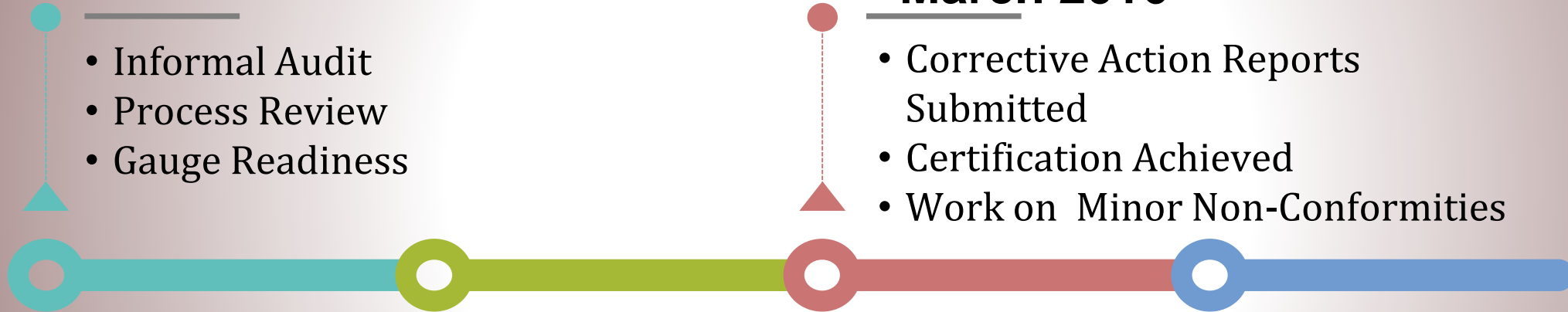
- Corrective Action Reports Submitted
- Certification Achieved
- Work on Minor Non-Conformities

Stage 2 Audit January 2016

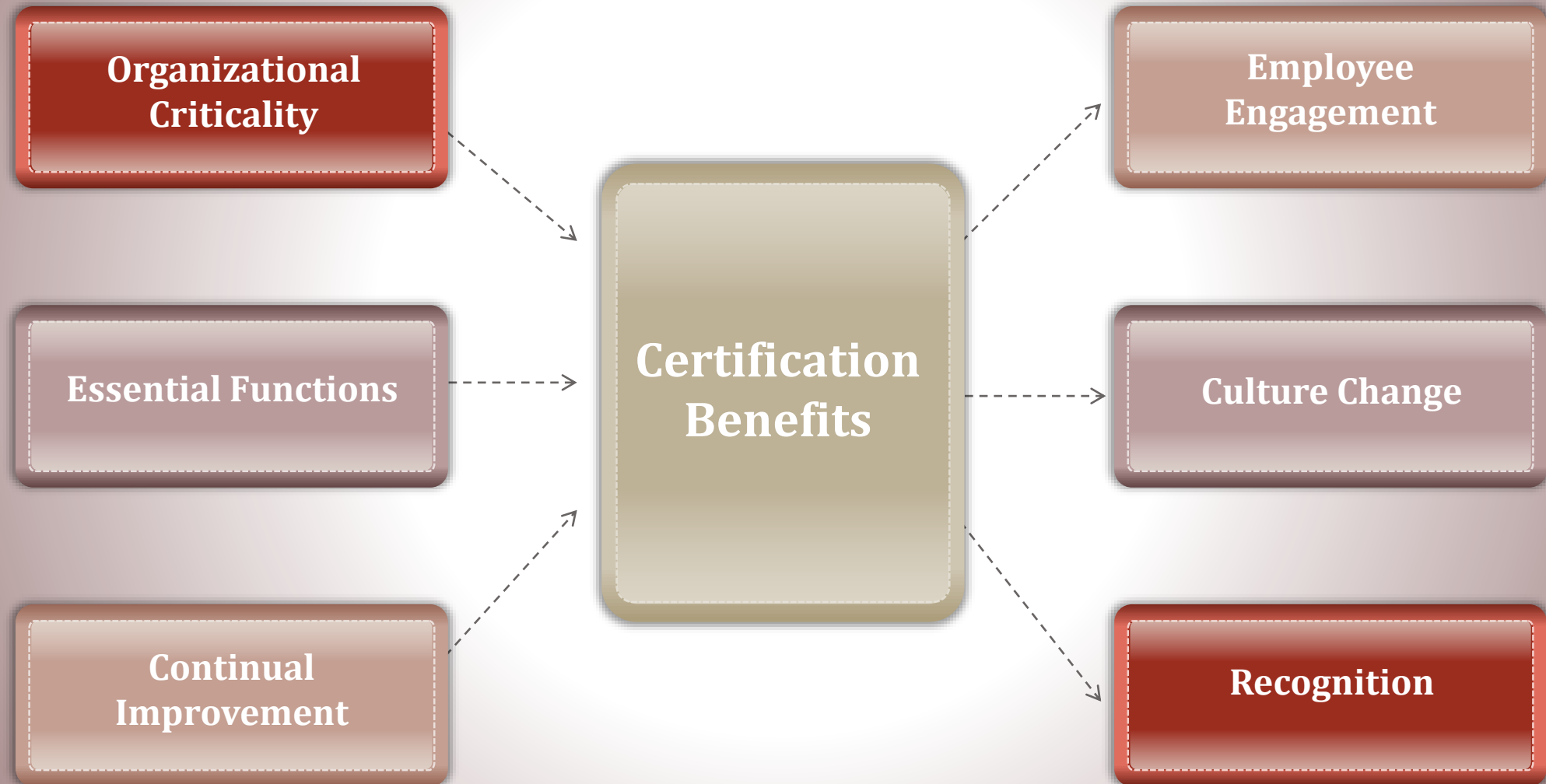
- Formal Audit
- Full Review
- Two Minor Non-Conformities

Year 1 Surveillance Audit December 2016

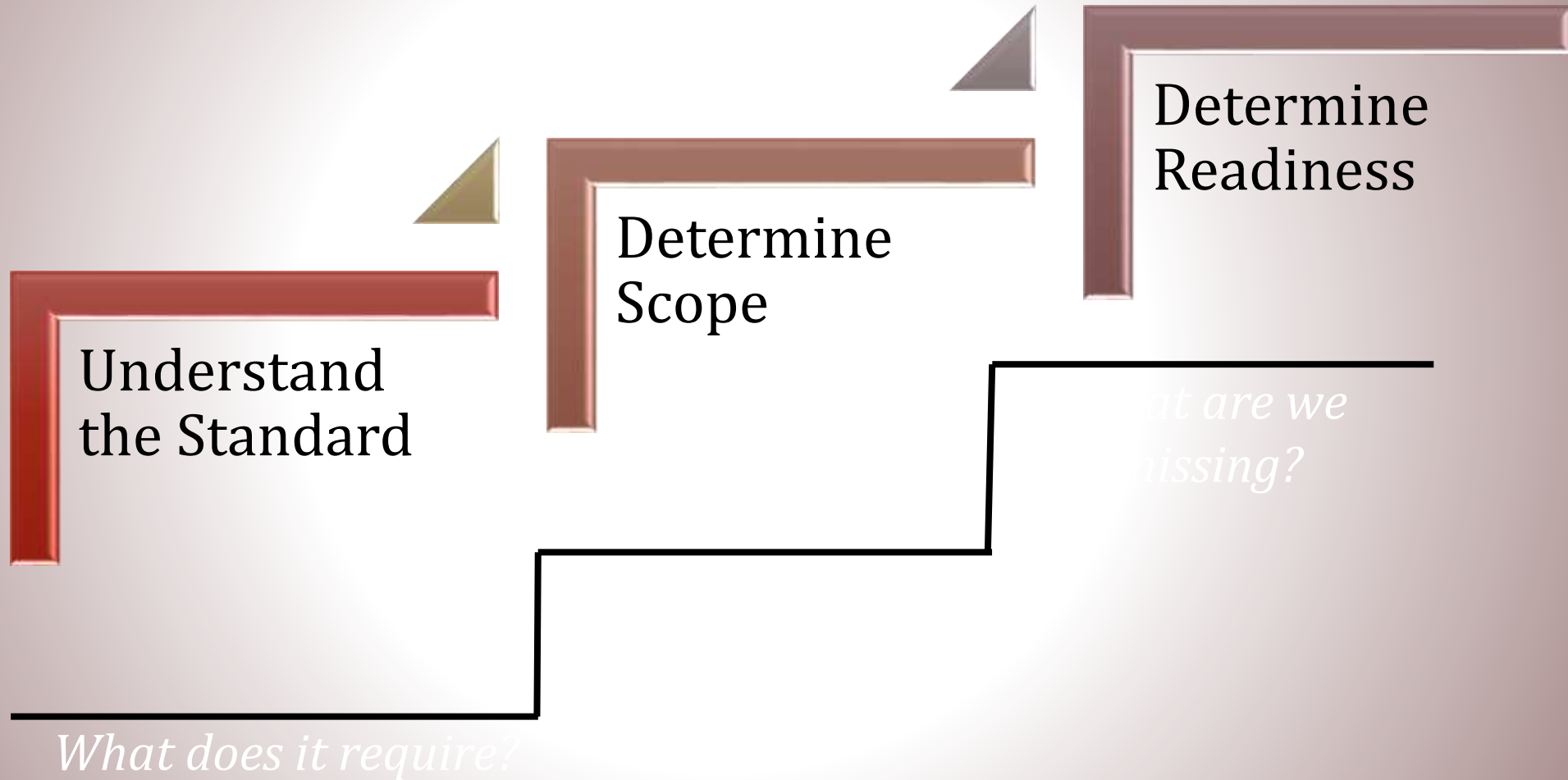
- Not a full BCMS review
- Review of CARs
- Continual Improvement Focus



Our Results



How Can You Do This?



Putting It All
Together...

Critical Factors For Success:

- Management engagement
- Business Impact Analysis
- Balance detail with ease of use
- Relationships
- Employee engagement



Let's Connect:

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Management System Effectiveness

CATEGORY	Monitoring and/or Measurement methods used by the organization to determine their effectiveness	Effective	Not Effective
Defined Goals & Objectives Being Realized	FEA Strategic BCMS Objectives (from larger Balanced Score Card) with BCM Strategic Initiatives and associated targets, metrics and status reporting.	x	
Effective Demonstration of Risk Assessment methodology	Risk Assessment methodology defined in FEA Business Continuity Management Plan; evidenced by 2015 Risk Assessment Report	x	
Effectively assessing Business Impact Analysis	BIA methodology defined in FEA Business Continuity Management Plan; evidenced in Business Impact Analysis (Version 1.0)	x	
The Ability of Exercises and Testing to Assess Defined Plans	FEA Business Continuity Exercise 2015 and associated After Action Report and Action Items	x	
The Ability To Demonstrate Progress on Improvement Projects or Actions	Various sources of improvements including Action items from management review, exercises, internal audits, objectives and BCM performance	x	
The Continued Effectiveness of Corrective Action Processes	FEA Business Continuity Recommendations and Corrective Actions log and associated audit corrective action reports	x	