



# The New Voluntary Certification Program for Business Preparedness

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# About InterCEP



- World's First Academic Research Center Dedicated to Private Sector Preparedness & Corporate Resilience
- The Alfred P. Sloan Foundation Funds InterCEP Research on Incentives for Business Preparedness
  - insurance, rating agency, mitigating legal liability, supply chain, corporate governance
- Research Focus on the Linkage of “What” & “Why”

# Current Research



## Key Findings:

- **What to Do:** There are consensus-based standards that indicate “what” good preparedness is.
- **Why to Do It:**
  - Internal Incentives: There are a diversity of internal corporate benefits to preparedness although these need to be better clarified & communicated
  - External Incentives: There is a willingness in general by major stakeholders who may offer external incentives to acknowledge preparedness but they lack an Indicator.

# Current Research



- Key Finding on External Incentives:  
Major incentive stakeholders are generally willing to acknowledge preparedness but lack an indicator / assessment and are not necessarily interested in assessing preparedness themselves

**What to Do**  
(Preparedness Standards)

< No Strong Connection >

**Why to Do It**  
(Incentives & Benefits)

**No Indicator if Prepared**

# Current Research



- InterCEP Recommendation to Congress:  
A Voluntary Business Preparedness Certification based on Stakeholder Input including “Incentives Community”

**What to Do**  
(Preparedness Standards)

**Assessment & Certification**

**Why to Do It**  
(Incentives & Benefits)

# Goals of this Forum

- To inform stakeholders about the new certification program & the opportunity it presents
- To identify stakeholders' considerations and recommendations regarding the program
- To channel this input to inform the development & ongoing operations of the certification program

# Rules of Engagement

- Participants may contribute directly to the conversation but should be recognized by the moderator first.
- Conference call will be recorded
- All comments are not-for-attribution
- Those not participating verbally, please forward your questions and comments throughout the discussion via Question & Answer Function.
- For post-forum comments, please email to [intercep@nyu.edu](mailto:intercep@nyu.edu).

# Agenda

1. Overview of New Law (P.L. 110-53 – Title IX, Section 524)
2. Overview of Generic Accreditation/Certification Program
3. Introductory Remarks by Panelists
4. Discussion (based upon audience questions/comments)

# Overview of New Law

- The Program will:
  - Provide a method to independently certify the emergency preparedness of private sector organizations
    - including disaster/emergency management and business continuity programs.
  - Be voluntary
  - Engage key stakeholders to participate in the development of the program

Briefing on the New Law Available at  
[www.nyu.edu/intercep/events/](http://www.nyu.edu/intercep/events/)

# Overview of New Law

- The Program will also:
  - Be administered outside of government by third party organizations with experience / expertise in managing and implementing voluntary accreditation and certification programs.
  - Designate one or more preparedness standards. Standard NFPA 1600 is referenced as example.

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# Overview of New Law

- The Program will:
  - Integrate/recognize existing industry efforts, standards, practices and reporting in this area.
  - Give special consideration to small businesses.
  - Protect proprietary and confidential information of companies.

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# DHS has four basic tasks in establishing the program:

1. Designate one or more organizations to act as the accrediting body to develop and oversee the certification process, and to accredit qualified third parties to carry out the certification program
2. Separately designate one or more standards for assessing private sector preparedness
3. Provide information and promote the business case for voluntary compliance with preparedness standards
4. Monitor the effectiveness of program on an ongoing basis

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# The Opportunity

## Enable market-based incentives:

- By providing a way to confirm that a business is prepared / resilient
- Which can then be acknowledged by key stakeholders including insurance, legal community, rating agencies, supply chains, etc.

## Key considerations going forward:

- General business & key stakeholder involvement in program development
- Consider a “constellation of standards”

# Overview of Accreditation & Certification



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# What is a Preparedness Certification?

- An acknowledgment that, through an independent, unbiased verification conducted by qualified third party, the current state of organization's emergency preparedness meets accepted, designated standard(s)
- It is not:
  - Personnel certification
  - Peer evaluation process
  - Clipboard checklist exercise

# How would a Preparedness Certification be Obtained?

- We envision a structured process very similar to other certifications:
  - Internal organizational review to determine desirability of proceeding (gap analysis)
  - Supplement and/or improve existing preparedness processes, plans & activities to meet intent of desired standard (s)
  - Contract with external accredited certification body for assessment and certification
  - On-going surveillance and continual improvement processes for designated cycle (~3 years)

# Generic Template for Title IX Accreditation/Certification Scheme

**Accreditation Body for  
Private Sector Preparedness**  
(functions as oversight board)

**Certification Bodies:**  
Accredited to conduct assessments  
and issue certifications to.....

**Private Sector Organizations** which receive certification  
after demonstrating conformance to designated standard(s)  
(e.g., NFPA1600, ISO 27001)

# Considerations for Obtaining a Voluntary Certification

- Would the fact the organization is certified (e.g., for preparedness) in any way influence its decisions, actions and/or behaviors, or those of its stakeholders (customers, employees, public, suppliers, insurers, rating agencies, etc.)?
- If the having the certificate results in a “yes” to any of the above, then it may be material to the business and worth pursuing.



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