SUBJECT: Accreditation Program for NFPA 1600 Business Continuity Management Systems and PS-PrepTM

APPLIES TO: ANAB-Accredited and Applicant Certification Bodies

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for NFPA 1600 disaster/emergency management and business continuity management systems and the Voluntary Private Sector Preparedness (PS-Prep) Program. Requirements for other preparedness and PS-Prep standards are in Accreditation Rules 51 and 52.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
   1.1. NFPA 1600, Standard on Disaster/Emergency Management and Business Continuity Programs
   1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
   1.3. ISO/IEC TS 17021-6, Conformity assessment Requirements for bodies providing audit and certification of management systems – Part 6: Competence requirements for auditing and certification of business continuity management systems
   1.4. MA 5000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
   1.5. IAF Mandatory Documents as applicable

2. Application Process

   2.1. CBs can obtain applications for informational use at www.anab.org.

   2.2. The application process outlined at www.anab.org must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the CB is ready to apply for accreditation.

   2.3. The application fee includes the cost of one assessor day for the off-site documentation review.

3. Initial Assessments for Accreditation

   3.1. An ANAB accreditation assessor shall conduct a full documentation review.

   3.2. After the documents are found acceptable, ANAB shall conduct an office assessment and required witnessed audits.

      3.2.1. The office assessment shall be conducted on site or remotely (at ANAB’s discretion) and is conducted to ensure the CB’s certification process for disaster/emergency management and business continuity management systems conforms with ISO/IEC 17021-1 and is effective.

      3.2.2. ANAB shall witness the CB conducting a two-stage audit process (stages 1 and 2).

          3.2.2.1. The ANAB assessment team shall have the same number of members as the CB audit team.

      3.2.3. If the CB applies for NFPA 1600 and any additional preparedness standards, ANAB will determine the witnessing required for initial accreditation based on factors including but not limited to the CB’s clients and their scopes of certification; the application review,
including the CB’s competence process for personnel for all preparedness standards for which the CB applies; and office assessment results, if available.

3.2.3.1. If one witnessed audit is used for accreditation for more than one preparedness standard, ANAB requires witnessing the first available two-stage audit process (stages 1 and 2) for the other standard(s), but no later than the end of the first accreditation cycle.

4. Surveillance Assessments

4.1. ANAB shall conduct an annual office assessment, and annually witness the CB conducting a NFPA 1600 audit.

4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other ANAB accreditation programs for which the CB is accredited.

4.1.2. During the accreditation cycle, ANAB shall evaluate the CB’s full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CB’s audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. ANAB Accreditation Rule 18 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

4.1.3. If the CB is accredited for NFPA 1600 and any other preparedness standards, ANAB will structure the witnessing and assessment program, taking into consideration the CB’s activity for each standard, results of previous assessments, etc.; however, ANAB shall witness all preparedness standards at least once during the accreditation cycle.

5. Reaccreditation Assessments

5.1. ANAB shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. Competence of CB Personnel

6.1. The CB shall ensure that its auditors have successfully completed a training course that includes an examination to assess the knowledge required to audit to NFPA 1600, including the competencies in ISO/IEC 17021-6 and Annex A of this Accreditation Rule. Any of the following would contribute to fulfilling this requirement:

   a. A training course certified by a national or international auditor training course provider approval body

   b. An ANSI/ASTM E2659-accredited certificate program for the appropriate standards

   c. Auditor certification under an ISO/IEC 17024-accredited auditor certification program for the appropriate standards

7. End User Expected Outcomes for Accredited Certification to NFPA 1600

7.1. An end user can expect that an organization certified to NFPA 1600 has established a capability to protect life safety, conserve property, continue essential business functions, and communicate with its stakeholders. A certified program based on a risk assessment and business impact analysis enables an organization to become more resilient by anticipating hazards and impacts; implementing prevention and mitigation strategies; implementing emergency management and business continuity capabilities to continue product and service delivery; and recover as quickly as possible.

7.2. The CB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CB’s clients.
8. Additional Requirements for PS-Prep

8.1. The CB may become accredited to offer certification for PS-Prep for NFPA 1600, as a standard recognized by the U.S. Department of Homeland Security (DHS).

8.2. Upon PS-Prep accreditation, the CB shall execute a sub-license agreement with ANAB to use the DHS-owned PS-Prep mark in accordance with DHS style material provided by ANAB.

8.2.1. Upon certifying an organization for PS-Prep, the CB shall sub-license the certified organization to use the DHS-owned PS-Prep mark in accordance with the DHS style material.

8.3. The CB shall populate ANAB’s EQM database with required PS-Prep client information.
Annex 1. Competencies

This appendix specifies competence requirements in addition to those specified in ISO/IEC 17021-1 and the competence requirements specified in ISO/IEC TS 17021-6.

General
The CB’s audit team members shall have demonstrated the competence to:
- Understand the terminology used in NFPA 1600.
- Evaluate the appropriate level of connectivity or relationship of the standard’s requirements to the organization’s culture.
- Evaluate the appropriate level of how the organization fits into an enterprise-wide system if part of a larger entity.
- Understand the sensitivity and proprietary nature of risk-related information.

Program Management
The CB’s audit team members shall have demonstrated the competence to:
- Evaluate whether the entity’s management has demonstrated its leadership of the program by providing direction for establishing priorities and demonstrating commitment by providing required resources including personnel and funding.
- Evaluate whether the program’s performance objectives reflect the risk profile of the entity, regulatory requirements, and availability of resources, including funding.
- Evaluate whether the organization’s planning process appropriately engages the program committee and addresses required program elements to achieve a program that meets performance objectives, and regulatory and entity requirements.
- Evaluate the impact of the organization’s policy, scope, and objectives on its operations and verify they have been taken into account during planning stages.
- Understand the laws and regulations requiring prevention and risk mitigation programs.

Planning
The CB’s audit team members shall have demonstrated the competence to:
- Determine whether the organization has an effective process for risk assessment that identifies potential human-caused, natural, and technological hazards; identifies vulnerabilities that can be addressed by prevention or mitigation strategies; and analyzes potential impacts to life, property, operations, and the environment.
- Verify that the results of the risk assessment have been used to develop required prevention and mitigation strategies and plans for emergency response, business continuity, and recovery.
- Evaluate that an organization has an effective process for conducting a business impact analysis that evaluates the impact from the interruption or disruption of an organization’s functions, processes, and applications.
- Understand the needs of external agencies, customers, and other interested stakeholders with regard to the organization’s system.
- Evaluate whether the organization has an effective resource needs assessment process that identifies resources and their availability and capabilities required for response to and recovery from the hazards identified in the risk assessment, and required to execute response, continuity, and recovery plans.

Implementation/Operation
The CB’s audit team members shall have demonstrated the competence to:
- Evaluate whether an organization’s risk strategies adaptively, proactively, and reactively address minimization of both the likelihood and consequences of disruptive events are appropriate.
• Determine whether response, continuity, and recovery plans adequately address common requirements for safety, defined roles and responsibilities, established lines of authority, and logistical support.
• Understand regulatory compliant planning requirements for emergency operations/response, business continuity, and recovery for the hazards and impacts identified in the risk assessment and determine whether plans can be executed by available resources.
• Determine whether an organization has the capability to promptly warn persons at risk, alert responders to respond, and communicate internally and with outsiders to execute response, continuity, and recovery plans.
• Evaluate whether operational procedures adequately address life safety, property conservation, environmental protection, and continuity of operations.
• Evaluate whether an incident management system that defines roles, responsibilities, authorities, communications, coordination, and logistical support has been established as necessary to execute response, continuity, and recovery plans.
• Determine whether the organization has established and has properly equipped primary and alternate emergency operations centers that are physical or virtual.
• Determine whether employee assistance and support programs disseminate appropriate preparedness information pre-incident and provide post-incident support.
• Determine whether strategies are consistent with management policy and stated goals and objectives as well as potential risks.
• Determine whether the availability and capability of resources are adequate to protect life, property, operations, and the environment under the control of the entity for hazards identified during the risk assessment or reasonably foreseeable.
• Determine whether the organization has implemented prevention, mitigation, response, continuity, and recovery strategies to protect life, property, operations, and the environment commensurate with the frequency of identified hazards and the potential severity of impacts.

Training and Education
The CB’s audit team members shall have demonstrated the competence to:
• Determine whether an organization has developed a curriculum that identifies regulatory required training and the minimum training necessary to establish and maintain the knowledge, skills, and abilities required to develop and execute prevention, mitigation, response, continuity, and recovery plans; the persons requiring training; and the minimum frequency of training.
• Assess whether required training has been conducted, has established the required competencies, and records are maintained.

Monitoring and Evaluation
The CB’s audit team members shall have demonstrated the competence to:
• Review training, drill, and exercise records to determine whether the monitoring program has achieved program goals and objectives and required capabilities have been established.
• Review training, drill, exercise, and curriculum records to determine whether they comply with applicable regulatory and program requirements.
• Comprehend whether or not the monitoring and evaluation activities are appropriate for the organization and the industry sector in which it operates.
• Review competency-based training curriculum to determine whether it meets program competency requirements for those implementing the program.
• Understand if the organization’s personnel competency requirements are appropriate to the policy, scope, and objectives.
Review

The CB’s audit team members shall have demonstrated the competence to:
- Comprehend whether the review, preventive and corrective action, and continual improvement activities are commensurate with the organization’s goals and objectives.
- Comprehend whether review activities are commensurate with the geographical location and industry sector in which the organization operates.