

A faded background image of the Chicago skyline, showing various skyscrapers and buildings.

# ChicagoFIRST: A Partnership Delivering Value Regionally and Nationally

Regional Emergency Management Conference  
Office of Emergency Management and Communications

City of Chicago

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# The Public / Private Partnership

- Immediately after 9/11, there was a national need to ensure that critical operations could either avoid or withstand a terrorist attack.
- This could be done through regulation or cooperation.
- The partnership model provides for private sector collaboration with government at all levels.
- ChicagoFIRST is part of a larger partnership framework.

# The Public / Private Partnership

- The framework was established, because trade associations, educational associations, and/or networking efforts did not fit the bill.
- An operational approach was required. And none of these existing organizational models included a public service mission among its goals. Partnerships do.
- Financial services are critical, and the regulators have come to require that certain functions be down for only a few hours.

# Private Firms Need to Collaborate with the Public Sector at All Levels

Emergencies raise **regional** and **national** issues:

Do **firms** know.....

- How their local jurisdiction prevents, prepares for, responds to, and recovers from incidents?
- How their local jurisdiction coordinates with the state and federal public safety agencies?
- How to collaborate with federal agencies?

**Business continuity and security plans MUST incorporate public sector plans.**

# The Public Sector at All Levels Needs to Collaborate with Critical Sectors

**National** and **regional** issues arise in all emergencies:

Do **public agencies** know.....

- The firms that can support their response function?
- The firms that are critical to the region and need to be up and running so that the region, or even the nation, can function?
- What critical firms need to be resilient?

**Public sector plans and approaches MUST account for the resilience of critical sectors.**

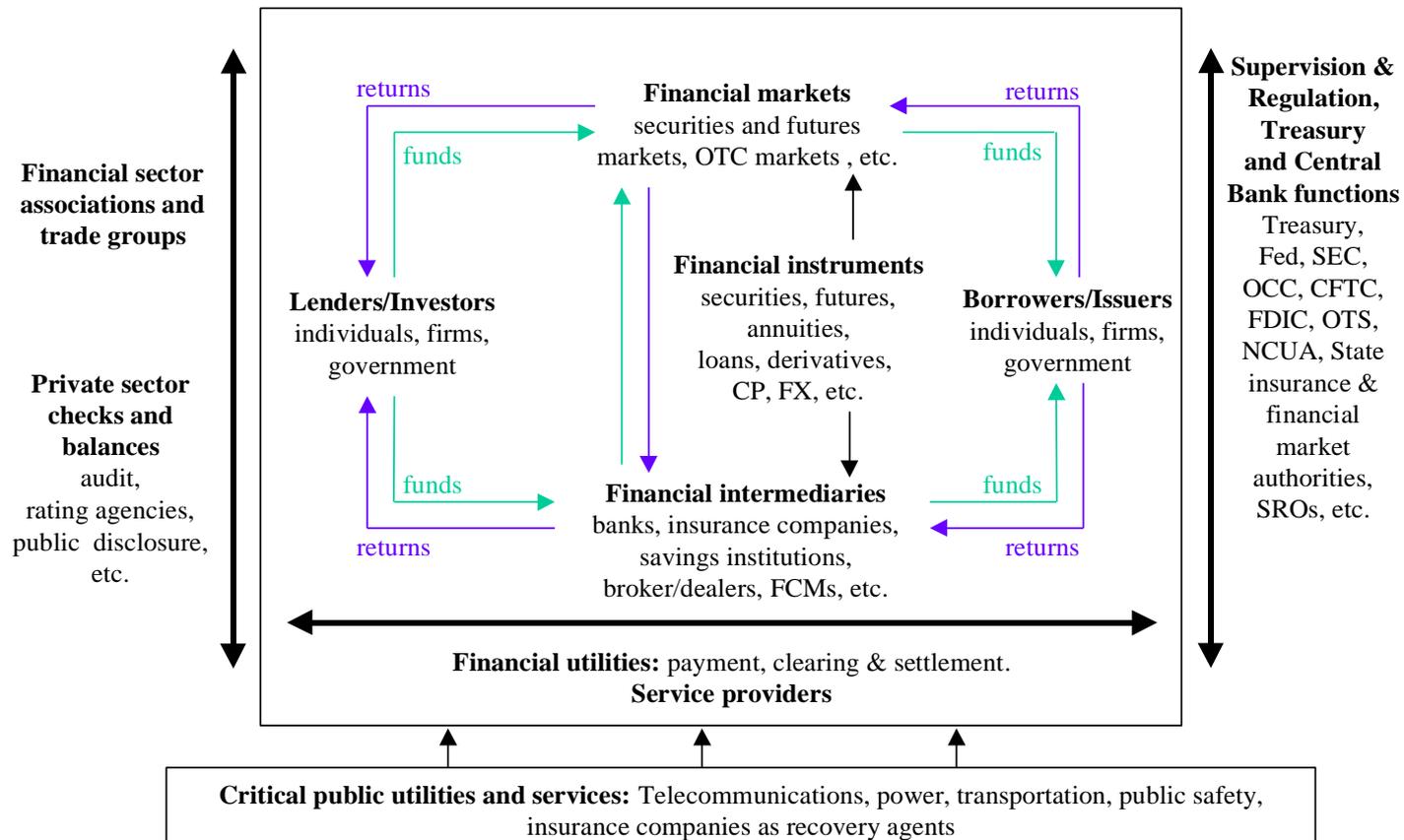
# The Public / Private Partnership

- The partnership concept can be overused.
- But a “true” partnership will further the goals of emergency response planning, response, and recovery.
- The effects are definitely local. At the same time, there may well be national economic implications.
  - ✓ Disrupting Mississippi River traffic
  - ✓ Closing the Chicago financial markets
  - ✓ Shutting down the Detroit/Windsor bridge

# The Financial Sector

## OVERVIEW OF THE US FINANCIAL SYSTEM

As of June 3, 2002



# The Financial Sector as Case Study

- ✓ National Level
- ✓ Coordinating Level
- ✓ Grassroots Level

# Tier I: National Level Partnership

## Financial and Banking Information Infrastructure Committee (FBIIC)

*(public sector; formed **January 2002**)*

## Financial Services Sector Coordinating Council (FSSCC)

*(private sector; formed **June 2002**)*

*(ChicagoFIRST on the Exec. Comm.)*

# FBIIC

## PUBLIC SECTOR

President's Working Group  
on Financial Markets

US Treasury  
Assistant Secretary for  
Financial Institutions  
FBIIC CHAIR

**Financial and Banking Information  
Infrastructure Committee  
(FBIIC)**

US Treasury Department  
Commodity Futures Trading Commission  
Conference of State Bank Supervisors  
Federal Deposit Insurance Corporation  
Federal Housing Finance Board  
Federal Reserve Board of Governors  
Homeland Security Council  
National Association of Insurance  
Commissioners  
National Credit Union Administration  
New York Federal Reserve Bank  
Office of the Comptroller of the Currency  
Office of Federal Housing Enterprise Oversight  
Office of Thrift Supervision  
Securities and Exchange Commission

# FSSCC

## PRIVATE SECTOR

Treasury - Lead Agency  
(PDD 63)

Assistant Secretary for  
Financial Institutions  
SECTOR LIAISON

Shawn Johnson  
SECTOR COORDINATOR

**Financial Services Sector Coordinating  
Council  
for CIP/HLS**

Financial Services Trade Associations  
& Institutes  
New York Stock Exchange  
The Clearinghouse  
FS/ISAC  
Securities Industry Automation Corporation  
The Options Clearing Corporation  
**ChicagoFIRST**  
NASDAQ  
AMEX  
ASIS



# DHS National Public/Private Partnership

Homeland Security Presidential Directive 7  
*(December 2003)*

Basically replicated the finance structure

- ✓ Established Government Coordinating Councils
- ✓ Established Sector Coordinating Councils

The image features a blurred city skyline in the background, with a prominent blue gradient at the top. The text is centered and reads:

# Tier II: The Grassroots Level Partnership

# The ChicagoFIRST Approach

Nationally Connected | Regionally Focused | Uniquely Resilient

# ChicagoFIRST's Founding Goals

- Obtain a seat at Chicago's Emergency Operations Center in the event of a crisis that affects Chicago's financial community (fusion centers at all levels)
  - ✓ *Bank of America (previously LaSalle Bank/ABN AMRO)*
- Create permits/passes for essential personnel to safely access business facilities in the event of a general evacuation of the city (credentialing)
  - ✓ *Northern Trust Bank*
- Develop and communicate standard evacuation procedures for industry personnel to exit city limits in the event of a disaster (all levels)
  - ✓ *JP Morgan Chase (previously Bank One)*

# ChicagoFIRST Operations

- Members from the private sector; partner with the public sector at all levels
- **Funded entirely through member dues**
- **Two employees**
- Nine-member Board of Directors
- Relationships locally, regionally, and nationally

# Current Membership: 24

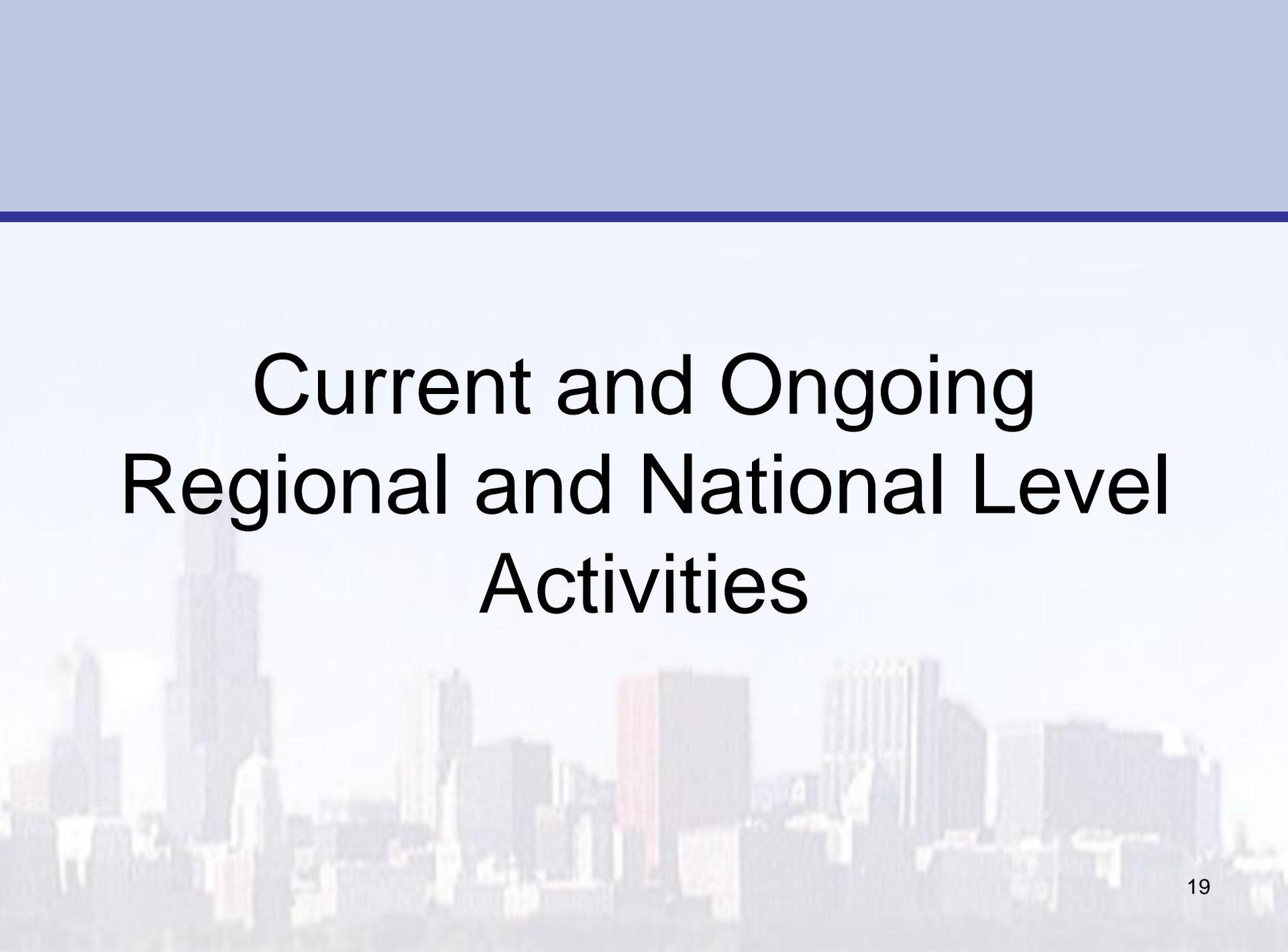
- Allstate Insurance Company
- Aon
- Bank of America
- Chicago Board Options Exchange
- Chicago Federal Home Loan Bank
- Chicago Trading Company
- Citadel Group
- CME Group
- CNA
- Fiserv
- Global Electronic Trading Company
- Goldman Sachs
- Harris Bank
- Hewitt
- JP Morgan Chase
- Mesirow Financial
- MB Financial Bank
- MF Global
- Northern Trust
- NYSE Euronext
- The Options Clearing Corporation
- The PrivateBank
- UBS
- William Blair & Company

# Strategic Partners (pg. 1 of 2)

- American Red Cross of Greater Chicago
- **City of Chicago**
  - **Fire Department**
  - **Office of Emergency Management and Communications**
  - **Police Department**
  - **Public Health**
- Commodity Futures Trading Commission
- FBI / InfraGard
- Federal Deposit Insurance Corporation
- Federal Emergency Management Agency
- Federal Reserve Bank of Chicago
- Financial and Banking Information Infrastructure Committee
- Financial Services Information Sharing and Analysis Center
- Financial Services Roundtable / BITS
- Financial Services Sector Coordinating Council

# Strategic Partners (pg. 2 of 2)

- Futures Industry Association
- National Futures Association
- Office of the Comptroller of the Currency
- Securities and Exchange Commission
- Securities Industry and Financial Markets Association
- State of Illinois
  - Illinois Department of Financial and Professional Regulation
  - Illinois Emergency Management Agency
  - Illinois State Police
  - Illinois Terrorism Task Force
- United States Attorney's Office for the IL Northern District
- United States Department of Homeland Security
- United States Department of the Treasury
- United States Secret Service



# Current and Ongoing Regional and National Level Activities

# Local and State Levels

- Obtained **seat** at Chicago Office of Emergency Management in fall 2003.
- Led the effort to encourage both the City and State to adopt **credentialing** programs.
- Led the effort to encourage the City to plan and **drill evacuations** with the private sector.
- **Emergency planning** efforts, co-chair with the OEMC of Chicago Critical Infrastructure Resilience Task Force
- Co-chair **Private Sector Committee** of the Illinois Terrorism Task Force.

# National Level

- Addresses issues like **Internet congestion** with Capitol Hill, DHS, and GAO.
- Chairs the **Regional Consortium Coordinating Council**, which is part of the DHS partnership structure.
- Serves on the executive committee of the **Financial Services Coordinating Council**.
- Chairs the **Regional Partnership Council**, a group of FIRST organizations.
- Identified as a **model** for other cities and sectors.

# Working Groups

- Security Working Group
  - ✓ Physical and cyber
  - ✓ Vendor survey
  - ✓ Tabletops with public sector
- Business Continuity Working Group
  - ✓ Vendor survey
  - ✓ Tabletops with public sector
  - ✓ Telecommuting test
- Pandemic Planning Working Group
  - ✓ Sharing plans
  - ✓ Regular updates from state and local public health officials
  - ✓ Tabletops with HR and with public sector
- Membership Working Group



Tier III:  
The Coordinating Level  
Partnership (*RPCfirst*)

# RPC*first* Members

- Alabama Recovery Coalition for the Financial Sector
- Alaska Financial Services Coalition for Business Continuity
- ArizonaFIRST
- Arkansas Bankers Coalition for Disasters and Emergencies
- BARC*first* (Bay Area)
- CenCalFIRST
- **ChicagoFIRST**
- Colorado
- DFW*first* (Dallas/Fort Worth)
- FloridaFIRST (Miami & Tampa)
- HawaiiFIRST
- Louisiana Bankers Emergency Preparedness Coalition
- MemphisFIRST
- Minneapolis (InfraGard Minnesota)
- Missouri (ShowMeFIRST)
- NCR*first*
- Nevada
- Financial Recovery Coalition of North Carolina
- Northern Ohio FIRST
- Philadelphia – Chester County & Montgomery County
- SoCal*first*
- Virginia1st
- WashingtonFIRST

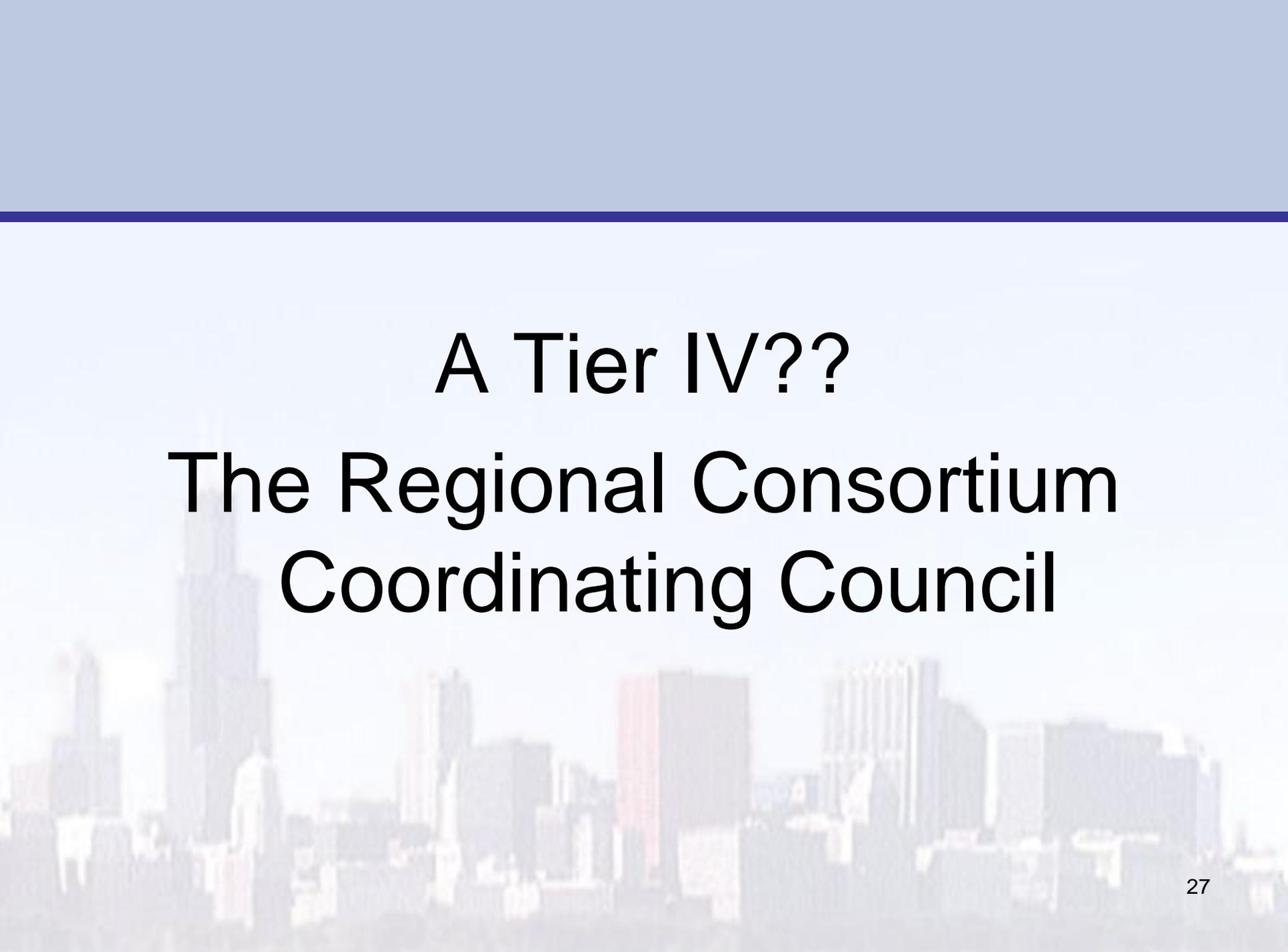
# Regional Partnership Council: *RPCfirst*

**Formed by  
ChicagoFIRST in  
2005 to:**

- Foster collaboration among coalitions, sharing lessons learned/best practices.
- Serve as single point of contact for member coalitions.
- Plugs into the national public/private partnership.







# A Tier IV??

## The Regional Consortium Coordinating Council

# RC3 Membership

- ChicagoFIRST (chair)
- All Hazards Consortium (vice chair)
- Pacific NorthWest Economic Region
- Community and Regional Resilience Initiative
- U.S. Chamber of Commerce
- Alaska Partnership for Infrastructure Protection
- SouthEast Emergency Response Network
- *dfw*FIRST
- InfraGard National Alliance
- Colorado Emergency Preparedness Partnership
- Safeguard Iowa
- Business Executives for National Security

# The RC3

- The RC3 was formed towards the end of **2008** as the final component of the DHS partnership structure. [www.r-ccc.org](http://www.r-ccc.org).
- The RC3 serves as the cross-sector, geographically situated council that includes both **public and private sector representatives**.
- ChicagoFIRST chairs the RC3.
- The purpose is to serve as single point of contact for **DHS to interact with partnerships** and for partnerships to collaborate with one another.

# RC3 Projects

- Coordinating with State and Local Council and with the Partnership for Critical Infrastructure Security. **Connecting key firms to EOCs.**
- Working with DHS on a **study of existing partnerships** and their capabilities.
- Working with DHS on **public/private workshops** in each FEMA region.
- **Identifying gaps** in partnership locations and partnership activities.

# Contact Information

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