National Strategies and Railroad Security Session
18 September 2006
# Railroad Security Session

| Facilitator: | Gary Griffiths, MARTS Board of Directors  
Florida East Coast Railroad |
|-------------|-------------------------------------------------------------------------------------|
| Speaker:    | Dennis Delk  
Sr. Infrastructure Analyst/Threat Coordinator-Rail Sector  
MITRE Corporation |

## Session Agenda:

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| 1)          | Homeland Security Presidential Directives  
HSPD-8, HSPD-7, HSPD-5 | 5 Minutes |
| 2)          | National Preparedness Goal and Guidance | 5 Minutes |
| 3)          | National Response Plan (NRP) and National Incident Management System (NIMS) | 5 Minutes |
| 4)          | National Infrastructure Protection Plan (NIPP) | 10 Minutes |
| 5)          | Homeland Infrastructure Threat & Risk Analysis Center (HITRAC) | 10 Minutes |
National Preparedness Goal and National Preparedness Guidance

Dennis H. Delk
Sr. Infrastructure Analyst/Threat Coordinator
Homeland Infrastructure Threat & Analysis Center

Mitre Corporation-Domestic Security Division
The Need for National Preparedness

- The risk to public health and safety is very real
- Prevention and protection must be fully integrated into our preparedness efforts
- Efforts must be aligned nationally
- Results must be measurable
Benefits of National Preparedness

- An opportunity for all stakeholders to help shape the system
- A consistent process for prioritizing needs and allocating resources based on risk – that we can use to consolidate and streamline the existing processes
- Better answers to the fundamental questions:
  - “How prepared do we need to be?”
  - “How prepared are we?”
  - “How do we prioritize efforts to close the gap?”
- A safer and more secure Nation
The National Preparedness Goal

- Homeland Security Presidential Directive 8 (HSPD-8) calls for a domestic all-hazards preparedness goal that establishes:
  - Measurable readiness priorities and targets
  - Standards for preparedness assessments and strategies
  - A system for assessing the Nation’s overall level of preparedness
- The purpose of the Goal is to establish a unified, risk-based, national approach to prepare for major events – or “Incidents of National Significance” under the National Response Plan
- The Interim Goal was published on March 31; a Final Goal, with target levels of capability, will be issued in October 2005
The Goal in Context

Strategy

Presidential Directives

Homeland Security Presidential Directive 7
Homeland Security Presidential Directive 8

National Initiatives

National Incident Management System (NIMS)
National Response Plan (NRP)
National Infrastructure Protection Plan (NIPP)
National Preparedness Goal
Planning Tools (Scenarios, UTL, TCL)
National Preparedness Guidance
Grant Program Guidance

Results

Common approach to national incident management:
- Prevention
- Protection
- Response
- Recovery
- Preparedness

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The Framework for Preparedness

Homeland Security

National Preparedness

Prevention  Protection  Response  Recovery

Collaboration
The Goal in Brief

- A Vision for national preparedness
- A process for achieving the Vision: *Capabilities-Based Planning*
- A focus to guide the process: *National Priorities*
The Vision

To engage Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy.
National Priorities

Overarching Priorities
- Implement the NIMS and NRP
- Expand Regional Collaboration
- Implement the National Infrastructure Protection Plan

Capability-Specific Priorities
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable Communications Capabilities
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities
National Preparedness Guidance

- Developed with input from Federal, State, local, tribal, private sector, and non-governmental entities
- Supplements – not supplants – other Federal guidance
- Describes:
  - The Capabilities-Based Planning process, to define and achieve target levels of capability and assess preparedness from the local to the national level
  - Existing program efforts that support the seven national priorities and linked capabilities from the Target Capabilities List (TCL)
  - A schedule of activities to update State and Urban Area preparedness assessments and strategies – with Federal assistance
Next Steps

- The Department of Homeland Security will dispatch HSPD-8 Mobile Implementation Training Teams to visit Governors and other senior officials throughout the summer.
- Information, guidance, and technical assistance will be available through appropriate grant programs.
- States and Urban Areas update and submit State and Urban Area homeland security strategies by September 30, 2005.
- A Final National Preparedness Goal and updated Target Capabilities List will be released in October 2005.
Where To Go For More Information

- HSPD-8 information page on the web: 
  http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm
National Response Plan (NRP) and National Incident Management System (NIMS)
NIMS and the NRP

- HSPD-5 required both the NIMS and the NRP
  - NIMS: March 2004
  - NRP: January 2005
- NIMS Implementation
  - Phased implementation
    - FY 2005 Ramp up year
    - FY 2007 Full compliance
NIMS Implementation

- NIMS FY 2006 Implementation
  - Letter to each Governor with State and local compliance requirements
  - Emphasizes a community approach
  - Participation and integration of all state and local agencies/organizations with a role in prevention, preparedness, response, or recovery

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The NRP

- The NRP
  - Provides the structure and mechanisms for the coordination of federal support to State, local, and tribal incident managers
  - Requires a 1 year review to assess the implementation process and make recommendations on necessary revisions
NIMS Integration Center Initiatives

- NIMS EOP Guidance State – Local
- NIMS Tools and Templates
  - Executive Order – Federal Plans – Institutionalizing NIMS
- NIMS Communications
  - NIMS Alert
  - NIMS Web Site: [www.fema.gov/nims](http://www.fema.gov/nims)
  - Ask the NIMS Integration Center:
  - [NIMS-Integration-Center@dhs.gov](mailto:NIMS-Integration-Center@dhs.gov)
  - Call the NIMS Integration Center: 202-646-3850
  - NIMS FAQs - [New](#)
National Infrastructure Protection Plan (NIPP) & Sector-Specific Plan (SSP)
Risk Context

“Risk management must guide our decision-making as we examine how we can best organize to prevent, respond and recover from an attack.”

“The most effective way, I believe, to apply this risk-based approach is by using the trio of threat, vulnerability and consequence as a general model for assessing risk and deciding on the protective measures we undertake.”

Secretary Michael Chertoff
U.S. Department of Homeland Security
Washington, D.C.
George Washington University
Homeland Security Policy Institute
March 16, 2005
Overview

- HSDP-7 required a comprehensive, integrated approach for critical infrastructure and key resource (CI/KR) protection through the development of the National Infrastructure Protection Plan (NIPP).

- The NIPP:
  - Provides the framework for coordinating government and private sector infrastructure protection activities.
  - Is the Nation’s steady state preparedness document and serves as the backbone of CIP planning.
  - Assigns roles to Federal departments and agencies and recommends roles for state, territorial, local and tribal governments, organizations and businesses involved in the 17 CI/KR sectors.
The NIPP Risk Management Framework describes the processes to:

- Set Security Goals
- Identify assets
- Assess Risk (Consequences/Vulnerabilities/Threat)
- Normalize and Prioritize
- Implement Protective Programs
- Measure Effectiveness

SSPs describe the application of this framework to each sector

Physical
Human
Cyber

Governance

Risk Management Framework

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National Infrastructure Protection Update

- Interim NIPP was released in February 2005 is being updated as the **2005 NIPP Base Plan**
- *Comment and review process* for the NIPP Base Plan *begins in August*
- Base Plan will receive two rounds of review and comment by **Federal, state, local, tribal, territorial, and private sector Partners**
- The *finalized 2005 version* of the NIPP Base Plan is due out **November 2005**
Changes in the Revised NIPP Base Plan

The Revised NIPP Base Plan will:

- Clearly delineate DHS and SSA Roles and Responsibilities
- Increase Information Sharing mechanisms
- Articulate program strategy for reducing risk
- Integrate cyber planning across the entire spectrum of NIPP/SSP development
- Provide additional information on resource allocation
- Describe the relationship between the NIPP and related plans and HSPDs (i.e., National Strategies, NRP, and National Preparedness Goals)
- Determine core metrics for measuring performance
Sector Specific Plan Update

- Sector Specific Agencies (SSA) are “partnering” with their sector to complete revision of SSPs
- Sectors have drafted their Strategic Security Vision Statements (steady state security posture or “End-State”)
- Sectors are planning for stakeholder outreach & engagement
- DHS expects rolling completion of SSPs
- Finalized Sector-Specific Plans projected completion date by February 2007
NIPP Timeline

February 2005
Interim National Infrastructure Protection Plan

FEB 05  MAR 05  APR 05  JUL 05  AUG 05  NOV 05  DEC 05  2007

• SSP gap analysis distributed by DHS
• SSP Guidance and Template issued
• Meetings with SSAs on status
• Technical Assistance Sessions for SSAs
• Coordinate completion of the Base Plan
• Coordinate outreach and engagement of the draft SSPs
• Develop cross-sector standards and tools
• Develop performance metrics
• Launch Base Plan comment and review process
• Revise NIPP Base Plan
• DHS Secretary Approval
• Nationwide release and roll out of NIPP
• Completion of SSPs
• Encourage establishment of CIP Program Offices at the Federal, state, local, territorial, and tribal levels
• Implementation of the NIPP and SSPs

Completed  In process  Pending

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Building public–private partnerships

- The structure/process for partnering with private sector is through Rail/Mass Transit Sector Coordinating Counsel (SCC)
  - Rail freight SCC:
    - Initiated by Infrastructure Coordination Division 26 Jan 05 meeting with AAR and provided charter/governance documents (no membership provided)
    - Rail Security Working Committee would be likely membership with operators.
    - AAR provided proposed membership with AAR and ASLRRRA as sole representation of SCC membership. DHS would like railroad operators for industry representation.
  - Public Transit SCC:
    - Public/Mass Transit established SCC later part of CY04. Executive committee identified with formal membership listings and governance documents in Feb 2005.
    - Well entrenched key U.S. transit agencies regularly hold committee meetings
Next Steps

- Continue to conduct stakeholder outreach and engagement:
  - Seek broader engagement with Federal, state, local, territorial, tribal, and private sector owners/operators of infrastructure
- Develop cross-sector standards and tools for:
  - Asset identification, risk analysis, interdependency analysis, prioritization, and protection
- Measure progress and performance:
  - Develop metrics and reporting mechanisms to measure progress on efforts to identify, prioritize, and coordinate the protection of critical infrastructure
Planning Schematic for Transportation Security

- **National Preparedness Goal**
- **National Security Strategy**
- **National Strategy for Combating Terrorism**
- **National Strategy for Homeland Security**
- **National Strategy for Physical Protection of Critical Infrastructure and Key Assets**
- **National Strategy to Secure Cyberspace**
- **HSPD-5**
- **HSPD-7**
- **HSPD-8**
- **HSPD-11**
- **HSPD-13**

**Critical Infrastructure**

- **IRTPA**
- **Maritime Security Policy**

**National Strategy for Transportation Security**

**National Response Plan**

**Natl Infrastructure Protection Plan**

**Sector Specific Plans**

- **Transportation**
- **Postal +Shipping**

**Security Operational Plans**

- **Mass Transit**
- **Highway**
- **Rail**
- **Pipeline**
- **Aviation**

**STRATEGIC LEVEL**

**OPERATIONAL LEVEL**

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