Quarterly Business Meeting Agenda

June 12, 2014

3:30 PM – 5:30 p.m. EDT

United States Access Board

1331 F Street NW, Washington, DC 20006

I.	**Opening of Meeting**	*Nancy J. Wong*, Designated Federal Officer (DFO), National Infrastructure Advisory Council (NIAC), Department of Homeland Security (DHS)
II.	**Roll Call of Members**	*Nancy J. Wong*, DFO, NIAC, DHS
III.	**Opening Remarks and Introduction**	*Constance H. Lau*, NIAC Chairman *Heather King*, Director, Critical Infrastructure Protection and Resilience, National Security Council
IV.	**Approval of November 2013 Minutes**	*Constance H. Lau*, NIAC Chairman
V.	**NIAC TRANSPORTATION SECTOR RESILIENCE WORKING GROUP INTRODUCTION, SCOPE, AND PATH FORWARD**	*Dr. Beverly Scott*, Working Group Co-Chair *Mr. Jack Baylis*, Working Group Co-Chair *Mr. Glenn Gerstell*, Working Group Co-Chair
VI.	**NIAC NIPP 2013 CEO Summary Working Group Introduction and Path Forward**	*Mr. Mike Wallace*, Working Group Chair
VII.	**Public Comment: Discussion Limited to Meeting Agenda Items and Previous NIAC Studies**	*Ms. Nancy Wong*, Designated Federal Officer, NIAC, DHS

VIII. Discussion and Deliberation on Working Group Presentations and Paths Forward

IX. CLOSING REMARKS

Constance H. Lau, NIAC Chairman

Heather King, Director, Critical Infrastructure Protection and Resilience, National Security Council

X. ADJOURNMENT

Constance H. Lau, NIAC Chairman

MINUTES

NIAC MEMBERS PRESENT IN WASHINGTON:
Ms. Margaret Grayson

NIAC MEMBERS ATTENDING VIA CONFERENCE CALL:
Mr. Jack Baylis; GEN Albert Edmonds (ret.); Mr. Glenn Gerstell; Ms. Constance Lau; Mr. Bruce Rohde; Dr. Beverly Scott; Mr. Michael Wallace

MEMBERS ABSENT:
Mr. David Bronczek; Mr. Gilbert Gallegos; Mr. David Grain; Mr. Philip Heasley; Commissioner Raymond Kelly; Mr. David Kepler; Mr. Donald Knauss; Mr. James Nicholson; Mr. Thomas E. Noonan; Mr. Gregory Peters; Mr. James Reid; Mr. Greg Wells

SUBSTANTIVE POINTS OF CONTACT PRESENT IN WASHINGTON:
None

SUBSTANTIVE POINTS OF CONTACT ATTENDING VIA CONFERENCE CALL:
Mr. Ted Basta (for Dr. Beverly Scott); Mr. Jay Chittooran (for Commissioner Raymond Kelly); Ms. Catherine English (for Mr. David Kepler); Ms. Joan Gehrke (for Mr. James Nicholson); Mr. Richard Houck (for Ms. Constance H. Lau); Ms. Frances Paulson (for. Mr. David Bronczek)

OTHER DIGNITARIES PRESENT:
Mr. Ray Alexander, NSC; Mr. William Flynn, DHS-IP; Ms. Heather King, NSC; Mr. Eric Letvin, NSC; Ms. Nancy Wong, DFO, NIAC, DHS

I, II. OPENING OF MEETING, ROLL CALL *Nancy J. Wong*, DFO, NIAC, DHS
Nancy Wong opened the meeting and called the roll. She explained that the Council has been tasked with two studies by the White House: A study of resilience efforts in the Transportation Sector, and engagement of CEO and Senior-level executives through a summary of National Infrastructure Protection Plan 2013 (NIPP 2013) that addresses critical infrastructure security and resilience (CISR).
She then turned the meeting over to Constance Lau, NIAC Chair, and Dr. Beverly Scott, NIAC Vice Chair.

III. OPENING REMARKS AND INTRODUCTIONS

Constance H. Lau, NIAC Chair

Caitlin Durkovich, Assistant Secretary for Infrastructure Protection, DHS

William F. Flynn, Deputy Assistant Secretary for Infrastructure Protection, DHS

Ray Alexander, Senior Director for Response Policy, National Security Council Staff

Heather King, Director for Preparedness Policy, National Security Council Staff

Eric Letvin, Director of Hazard Mitigation and Risk Reduction Policy, National Security Council Staff

Ms. Lau introduced Dr. Scott who thanked attendees for participating in the meeting, and noted that it is an honor and a privilege to serve on the Council.
Ms. Lau provided a brief recap of the NIAC's previous Quarterly Business Meeting (QBM). She noted that during the November QBM, the Council presented two final reports: *Strengthening Regional Resilience*, and *Implementation of EO 13636 and PPD-21*. She noted that the White House has since tasked the Council with two additional studies – a study of resilience in the Transportation Sector and the development of a CEO-level engagement approach and summary of National Infrastructure Protection Plan 2013 (NIPP 2013). This meeting, she added, will feature presentations by the NIAC's two working groups leading those efforts on their study charges, planned approaches, and timelines for completion of each report. She then offered time to Federal partners for their opening comments.
William F. Flynn, Deputy Assistant Secretary (DAS) for the DHS Office of Infrastructure Protection (IP), began by thanking the Council for their efforts on previous reports, and noted that the reports presented in November had been thorough and thought-provoking. He added that the Council's perspective is particularly valuable to the Federal Government, as it is one that the Government does not otherwise receive. In addition, DAS Flynn noted that he is working closely with the Office of Intelligence and Analysis component of DHS on the implementation of

recommendations made by the Council in its 2012 report, *Intelligence Information Sharing*, and that he looks forward to reporting on the progress of those efforts.
Mr. Ray Alexander, Senior Director for Response Policy for the National Security Council (NSC), commented that the NIAC has a critical role in making recommendations to the President on how to enhance the overall critical infrastructure security and resilience (CISR) mission. He added that the Council's *Strengthening Regional Resilience* report had provided a wealth of valuable recommendations on the subject, and that he looked forward to hearing more.
Ms. Heather King, Director for Preparedness Policy for the NSC, noted her excitement to take part in the meeting. She added that she has a great appreciation for the NIAC's previous work, and that she was eager to learn more about the Council's efforts on the two new taskings.
Mr. Eric. Letvin, Director of Hazard Mitigation and Risk Reduction Policy for the NSC, said that he has been a longtime admirer of the NIAC, noting that they have conducted a lot of groundbreaking studies, particularly in 2009. He then emphasized his eagerness to begin working with the Council, and thanked Ms. Lau for the opportunity to comment.

IV.	**NIAC TRANSPORTATION SECTOR RESILIENCE WORKING GROUP INTRODUCTION, SCOPE, AND PATH FORWARD**	*Dr. Beverly Scott*, Working Group Co Chair *Mr. Jack Baylis*, Working Group Co-Chair *Mr. Glenn Gerstell*, Working Group Co-Chair

Ms. Lau commented that, in order to accommodate Dr. Scott's schedule, the NIAC would begin with a presentation by the Transportation Sector Resilience Working Group.
Ms. Lau then made a motion to approve the minutes from the last meeting, which took place on November 21, 2013. There were no changes or comments to the minutes and they were approved.

V.	**NIAC TRANSPORTATION SECTOR RESILIENCE WORKING GROUP INTRODUCTION, SCOPE, AND PATH FORWARD**	*Dr. Beverly Scott*, Working Group Co-Chair *Mr. Jack Baylis*, Working Group Co-Chair *Mr. Glenn Gerstell*, Working Group Co-Chair

Dr. Scott began by noting her appreciation for the contributions and work conducted by all members of the working group.
She then provided an overview and background information on the study tasking. The Transportation Sector resilience study builds on three previous NIAC studies: *Critical Infrastructure Resilience* (2009), *A Framework for Establishing Critical Infrastructure Resilience Goals* (2010), and *Strengthening Regional Resilience* (2013). The 2009 report examined the issue of resilience in critical infrastructure, and recommended that sectors establish outcome-based goals for achieving greater resilience. In the 2010 report, the NIAC sought to develop a framework that could assist sectors in achieving that goal, using the Electricity and Nuclear sectors as a case study. And, in the 2013 report, the Council considered how regions as a whole could enhance their ability to withstand and recover from disruptive events across all sectors, which highlighted the importance of resilience in the lifeline sectors (Energy, Water,

Telecommunications, and Transportation). Dr. Scott noted that the Transportation Sector, as one of the lifeline sectors, dovetails with these previous efforts, and allows the Council to build on those studies.

Dr. Scott then explained the study charge for the report. The Council has been tasked with applying to the Transportation Sector the NIAC-recommended framework for establishing resilience goals developed in the 2010 study, as a means both of assisting the sector and testing/validating that framework in another sector. In addition, the NIAC has been asked to uncover key impediments to resilience across the sector and within each of the modes, and highlight potential opportunities to address those issues.

The study is guided by a series of framing questions:

1. What current strategies and practices promote resilience in the sector? Are there mode-specific attributes as well as sector-wide ones? What are the common understanding or differences in definition and coordination of plans and actions across modes?
2. What are the implicit resilience goals that are aligned with common practices for each mode and across the sector?
3. What considerations and cascading effects result from dependencies on other modes and other infrastructure sectors, including cyber systems and their disruptions, within a region and across the nation?
4. What potential gaps and seams exist that create obstacles for the sector and modes to achieve their resilience goals?
5. What unique factors within the sector influence risk mitigation? What are the practical realities of risk priorities and risk mitigation?
6. What roles and responsibilities should private sector and government at all levels play, operationally and at the senior executive level?
7. What new policies and strategies may be needed to improve resilience for the sector?

In particular, the working group is seeking to understand the practices that promote resilience, common practices for each mode across the sector, dependencies for each mode and other infrastructure sectors, as well as potential gaps and seams. She added that the working group is particularly interested in understanding the unique factors within the sector that influence risk mitigation and impede resilience efforts, as well as the proper roles and responsibilities of government and the private sector, and whether there are new policies or strategies needed to improve resilience.

Dr. Scott said that the group plans to use the Electricity Sector framework for establishing resilience goals for this study. Dr. Scott noted her hope that the study accomplishes two concepts: validation of the Electricity Sector framework, and the identification of gaps and seams in the Transportation Sector. In addition, the working group will be using the NIAC-developed construct of what constitutes resilience (robustness, resourcefulness, rapid recovery, adaptability, and learning) as a means of quantifying sector resilience.

The working group's goal is to have preliminary findings and recommendations completed by the fall, and to deliver a full report in the spring. Dr. Scott acknowledged that the working group is establishing an ambitious timetable for completion, but added that the great foundational of work from the NIAC makes it an achievable goal.

The working group's next steps include developing and refining the study approach and schedule; identifying additional critical resources for interviews and programmatic briefings, and

developing additional study questions and taskings for study group; reviewing and fine-tuning the study charge and scope as needed; and conducting interviews and briefings to collect data.

VI, VII. PUBLIC COMMENT: DISCUSSION LIMITED TO MEETING AGENDA ITEMS AND PREVIOUS NIAC STUDIES AND DISCUSSION AND DELIBERATION ON WORKING GROUP PRESENTATIONS AND PATHS FORWARD — *Nancy J. Wong,* DFO, NIAC, DHS

Ms. Lau then opened the meeting to comments from the public; with none offered, the discussion was opened to deliberation by members and Administration officials.
Mr. Alexander indicated that he and his colleagues were looking forward to seeing the work as it progresses.
Mr. Wallace added that the CEO Working Group and the Transportation Sector Resilience Working Group held a joint meeting on May 20. That session featured a focus on the Transportation Sector, and he noted that the substance of dialogue that took place between the various members of government groups and agencies has proven to be tremendously helpful to those working on activities related to the CEO engagement study.
Ms. Lau added that all NIAC members are encouraged to participate in either working group, should they so desire.
Members then voted to approve the scope, deliverables and path forward for the Transportation Sector study.

VIII. NIAC CEO WORKING GROUP INTRODUCTION, SCOPE, AND PATH FORWARD — *Mr. Mike Wallace,* Working Group Chair

Mr. Michael Wallace then led the discussion of the CEO Working Group's efforts. He noted that the importance of executive-level engagement became clear over the course of four previous NIAC reports. The Council addressed the general concept in the first two reports – *Critical Infrastructure Partnership Strategic Assessment* (2008) and *A Framework for Establishing Critical Infrastructure Resilience Goals* (2010) – and then was able to quantify the notion in the *Intelligence Information Sharing Report* (2012). The working group will be seeking to build off of those three studies, as well as the *Strengthening Regional Resilience* report (2013), in this current effort.
Mr. Wallace noted that NIPP 2013, in addition to incorporating resilience into the overall critical infrastructure mission, also emphasizes the need of executive-level engagement. As part of the working group's tasking for this project, members will detail how the Federal Government can achieve this form of engagement with the appropriate senior-level private sector officials in each sector, as well as to summarize NIPP 2013 in such a way as to make it readable and actionable by CEOs and senior-level executives.

In discussing the working group's study charge, Mr. Wallace emphasized that the language stresses the importance of gaining access to the right senior-level officials, rather than simply seeking out CEOs. This is important, he added, because in some cases – such as with large

multinational companies – the person who sets direction for the organization may be the president of a subsidiary organization, rather than the CEO of the company as a whole.
Mr. Wallace then noted that, in its study of the Electricity Sector, the NIAC established five success factors in establishing executive-level engagement that this working group will be building off of. Those factors include:

1. Senior executive-level engagement
2. Trusted relationships
3. Simple processes
4. Value proposition
5. An executive champion who can facilitate the collaboration between industry and government

Mr. Wallace explained that as a result of the outreach efforts, the Electricity Sector Coordinating Council (SCC) now features 30 CEOs, and meets three times a year. Their involvement is a measure of the value proposition and the level of trusted relationships that are developing, which make CEOs comfortable with dedicating the necessary time into the process. He noted that the the framework employed in establishing executive-level engagement in the Electricity Sector may not be optimally adaptable to all other sectors, but the processes and principles that led to those efforts may be, and the working group will seek to establish the validity of that theory over the course of this study.
Next, Mr. Wallace highlighted the three framing questions presented in the tasking:

1. What are the roles and obligations of the CEO to their institutions and when and under what circumstances do they intersect with the shared CISR mission?
2. What are the circumstances when it is mutually productive for the government and CEOs to engage in activities to support the shared mission?
3. What might be an effective and persuasive NIPP 2013 CEO Summary?

He then highlighted the working group's next steps, which include:

1. Determine the summary structure
2. Distill key elements of NIPP 2013
3. Conduct interviews
4. Gather and develop visual elements for inclusion in the work products

Mr. Wallace noted that the working group is hoping to complete its final report in time for the November QBM.

IX, X. PUBLIC COMMENT: DISCUSSION LIMITED TO MEETING AGENDA ITEMS AND PREVIOUS NIAC STUDIES AND DISCUSSION AND DELIBERATION ON WORKING GROUP PRESENTATIONS AND PATHS FORWARD — *Nancy J. Wong,* DFO, NIAC, DHS

Ms. Lau then opened the meeting to comments from the public; with none offered, the discussion was opened to deliberation by members and Administration officials.
Ms. King said that the model for CEO engagement is an excellent one, though she emphasized the importance of finding the appropriate senior-level officials in each sector, whether their title is CEO or not.

Ms. Lau commented that in the work on Electricity Sector engagement, CEOs were important in breaking logjams surrounding agreed-upon goals and issues by putting a sense of urgency and accountability behind the efforts, as well as in directing resources to address priorities. But she added that the achievement of goals and priorities is also reliant on focused, effective support from the working levels of an organization, as CEOs cannot address all aspects of those initiatives solely through engagement. Mr. Wallace concurred, noting that CEOs are less involved in the specific work to achieve a goal, but rather serve to set direction and priorities, and apply resources as leaders of an organization. Public-private partnerships are unlikely to be successful without strong support from staff on both the governmental and organizational sides of the partnership.

Ms. Lau then asked Ms. Wong whether the working group can interview other members of the NIAC for the study, since the Council is composed of CEOs and senior-level officials. Ms. Wong confirmed that the group will be conducting interviews with members, and that the working group will then deliberate and draw conclusions based on the information and data gathered in those conversations.

Ms. Grayson followed up on Ms. King's comments, saying that the expansion of the concepts of senior executives is critically important, and that executive-level engagement efforts should target the individual within an organization who can hold others responsible for the achievement of goals and completion of work, regardless of their official title.

Members then voted to approve the scope, deliverables and path forward for the CEO Engagement study

I. CLOSING REMARKS *Constance H. Lau,* NIAC Chairman

Ms. King commented that both presentations were robust and valuable, and that she was eager to continue working with the NIAC as the studies progress.

Mr. Alexander agreed, noting that the meeting had been purposeful and informative, and that he was interested in the outcomes from the studies.

XI. ADJOURNMENT *Constance H. Lau,* NIAC Chair

Ms. Lau thanked all in attendance and adjourned the meeting.

I hereby certify the foregoing minutes accurately represent the discussion and events that transpired at the meeting held on the date first noted above.

By: _____ Date: _____
Constance H. Lau, Chair, NIAC