

# Application of the Infrastructure Resiliency Planning Framework (IRPF)

# **Application of the IRPF**

- GRADD planners reviewed the IRPF and developed a planning process to evaluate the regional water and wastewater infrastructure sector.
- The end goal of GRADD's application of the IRPF was to:
  - 1. Identify and document infrastructure dependencies.
  - 2. Develop new local mitigation action items for the regional hazard mitigation plan.

# **Planning Process**

- 1. Assessment of existing data.
- 2. Identification of data gaps.
- 3. Creation of a data collection plan.
- 4. Advertisement of the planning process.
- 5. Data collection.
- 6. Data analysis.
- 7. Community meetings.
- 8. Regional coordination.
- 9. Create a risk assessment for GRADD Hazard Mitigation Plan.

# **Step 1 – Analyze Existing Data**

- Area Development Districts in Kentucky have a close working relationship with water and wastewater utilities thanks to the area Water Management Councils.
- Known data points that existed before the planning process began consisted of:
  - Relationships with utilities.
  - Asset inventories.
  - Future projects for water and wastewater utilities.

# **Step 2 – Identify Gaps**

- What are the capabilities of secondary power sources at a system level?
- Existence and functionality of interconnects between neighboring water utilities.
- Transportation and communication dependency data nonexistent.
- Known issue with a shortage of certified operators, who has adequate staffing and who does not?
- What assets are critical to providing service and which have a lower priority?

# **Step 3 – Data Collection Plan**

- The IRPF provides a <u>System Owner/Operator Dependency</u> <u>Interview Guide</u> that served as a starting point for the development of a final question set utilized for this planning process.
- Data collection focused on:
  - Energy sector dependencies and mitigation assets (generators),
  - Communications sector dependencies and mitigation capabilities,
  - Transportation sector dependencies,
  - Critical personnel and critical system components, and
  - Interconnects and hydraulic modeling

# **Step 4 – Advertisement**

- Educating stakeholders about infrastructure dependencies began with a presentation to water and wastewater utilities via the GRADD Water Management Council.
- An overview of the planning process was provided to utilities immediately prior to conducting each system interview.
- GRADD actions in this step of the planning process illustrate the ability to use resources provided by the IRPF by adhering to principals and best practices instead of using the IRPF verbatim.

# **Step 5 – Data Collection**

- Individual, <u>in-person</u>, system interviews took place across the seven-county region.
- Data collection spanned three months and GRADD planners traveled a total of 1,784 miles to complete the interview phase of the project.
- Before presenting the infrastructure resiliency survey questions, GRADD planners provided system operators with an overview of infrastructure interdependencies and highlighted the end goal the planning project of increasing resilience for the water and wastewater sector across the region.

## **Infrastructure Dependencies**



Source: CISA Infrastructure Dependency Primer

## **Defining Resilience**



# **Step 6 – Data Analysis**

- Survey data entered into an online survey tool and exported into spreadsheet format.
- Data analysis focused on identifying trends and GRADD planners were able to dive into data to investigate root causes.
- Data analysis was completed at the regional and county level, and gaps and vulnerabilities were identified for further discussion with stakeholders during the next stage of the planning process.

# **Data Security**

- Some information collected during the application of the IRPF will be sensitive or proprietary.
- Data gathered by this project was carefully vetted by GRADD planners to ensure that proprietary, sensitive, or non-public information was protected while also informing the final output of the planning process.

Future planning efforts should be proactive in creating a data security plan and be prepared for industry concerns about the sharing of proprietary, sensitive, or non-public information.

## **Step 6 – Data Analysis**

D 🔽 TYPE 🛛 🔽	Service Connections 📃 💌	Personel Primary	Personel Alternate 🖃	Personel Contingency 🔽	Personel Emergency 💌
46 Drinking Water	2,315	Certified operator	Certified operator	Certified operator	Certified operator
36 Drinking Water	1,852	Certified operator	Certified operator	Certified operator	Certified operator
31 Drinking Water	13,700	Certified operator	Certified operator	Certified operator	Certified operator
24 Drinking Water	4,800	Certified operator	Certified operator	Certified operator	Certified operator
59 Drinking Water	11,261	Certified operator	Certified operator	Certified operator	Certified operator
60 Drinking Water	3	Certified operator	Certified operator	Certified operator	Certified operator
55 Drinking Water	1,133	Certified operator	Certified operator	Certified operator	Certified operator
15 Drinking Water	60,651	Certified operator	Certified operator	Certified operator	Certified operator
30 Drinking Water	2,130	Certified operator	Certified operator	Certified operator	Certified operator
57 Drinking Water	1,210	Certified operator	Certified operator	Certified operator	Certified operator
42 Drinking Water	1,650	Certified operator	Certified operator	Certified operator	Borrow Operator
39 Drinking Water	1,052	Certified operator	Certified operator	Certified operator	Borrow Operator
28 Drinking Water	1,650	Certified operator	Certified operator	Certified operator	Borrow Operator
51 Drinking Water	5	Certified operator	Certified operator	Certified operator	Operator in Training
52 Drinking Water	6,492	Certified operator	Certified operator	Certified operator	Operator in Training
67 Drinking Water	1,300	Certified operator	Certified operator	Retired Operator	Borrow Operator
19 Drinking Water	6,116	Certified operator	Certified operator	Certified operator	Uncertified Staff
49 Drinking Water	631	Certified operator	Certified operator	Borrow Operator	Borrow Operator
23 Drinking Water	465	Certified operator	Certified operator	Borrow Operator	Borrow Operator
17 Drinking Water	540	Certified operator	Certified operator	Borrow Operator	Retired Operator
63 Drinking Water	600	Certified operator	Certified operator	Borrow Operator	Retired Operator
44 Drinking Water	512	Certified operator	Certified operator	Uncertified Staff	Borrow Operator
20 Drinking Water	1,140	Certified operator	Certified operator	Borrow Operator	Uncertified Staff
25 Drinking Water	1,436	Certified operator	Operator in Training	Retired Operator	Uncertified Staff
40 Drinking Water	538	Certified operator	Borrow Operator	Borrow Operator	Borrow Operator
34 Drinking Water	565	Certified operator	Borrow Operator	Borrow Operator	Operator in Training
53 Drinking Water	465	Certified operator	Operator in Training	Borrow Operator	Borrow Operator
68 Drinking Water	272	Certified operator	Uncertified Staff	Borrow Operator	Borrow Operator
47 Drinking Water	809	Certified operator	Uncertified Staff	Uncertified Staff	Borrow Operator
32 Drinking Water	674	Certified operator	Borrow Operator	Borrow Operator	Uncertified Staff





# **Step 7 – Community Meetings**

- Community meetings were held in each county with the following stakeholders:
  - Water and wastewater system operators
  - Emergency management personnel
  - Elected officials (or their designated representatives)
- Limiting stakeholders ensured candid conversations could take place about gaps and vulnerabilities while also protecting proprietary, sensitive, or non-public data.
- After discussing gaps and vulnerabilities, stakeholders suggested project ideas that could be developed into local hazard mitigation strategies to increase the resilience of the water and wastewater sector supporting their community.

# **Step 8 – Regional Coordination**

- Throughout the planning process, the GRADD Water Management Council and GRADD Hazard Mitigation Council was continually briefed on the purpose and progress of the planning activity.
- Regional coordination allowed communities to capitalize on best practices and adopt mitigation ideas from across the region.

## • Natural Hazards:

- Source water may be vulnerable to dam and levee failures and drought.
- Flooding may impact source water if raw water intakes are silted over or damaged by flood debris.
- Underground pipes are vulnerable natural hazards that causes ground movement such as: earthquakes, extreme temperatures, landslides, and land subsidence.
- Tornados, severe thunderstorms, and straight-line winds can uproot trees and often damage buried pipe.
- Above ground infrastructure components (water towers, treatment plants, communication components, etc.) are vulnerable to damage from tornados, severe thunderstorms, and earthquakes.
- Pandemics impact critical personnel and add stress to water systems due to higher consumption rates.

## Energy Sector Dependencies Drinking Water

- Less than half of utilities (47%) suppling drinking water in the GRADD region have backup power to mitigate the effects of a power outage.
- Only 57% of utilities with backup power in place can support all operations, while 43% would have degraded service to customers.

## Energy Sector Dependencies Wastewater

- Most utilities (70%) have some mitigation capabilities.
- 44% can support all operations and 56% would experience degraded operations.
- Wastewater utilities may be easier to equip with backup power since portable generators can support multiple nodes.

Electric power is the primary vulnerability to water/wastewater infrastructure in the GRADD region.

## • Transportation Sector Dependencies:

- Twenty-eight utilities are dependent on chemicals for treatment and have, on average, a one-month supply of necessary product kept on hand. The minimum amount of inventory kept on hand was two weeks.
- Ten acute vulnerabilities were identified where poor or limited access exists for critical system components as well as critical nodes that are regularly cut off due to flooding.

- Communication Sector Dependencies:
  - About half of utilities (47%) rely on SCADA to monitor and control all or portions of their systems.
  - Most water and wastewater infrastructure in the GRADD region was constructed before SCADA existed, therefore providing service to customers is still *possible* if the region experienced a disruption to communications infrastructure.
  - Workforce turn over and a loss of institutional knowledge can leave a system vulnerable to loss of service if manual back-up procedures are not documented and regularly exercised.

## • Critical Personnel:

- Title 401 of the Kentucky Administrative Regulations (KAR) mandates that certified operators have direct responsible charge of water and wastewater systems in order to safeguard the life, health, and welfare of the public and the environment.
- Across the region, 50% of the water and wastewater utilities are protected from the loss of critical personnel, 20% are vulnerable, and 30% are at risk.

A robust professional network exists across the water and wastewater sector in the GRADD region, and many vulnerable utilities have relationships with neighboring systems who can supply critical personnel if the needs arises.

## • Critical Nodes:

• Eighty-five percent of water and wastewater utilities reported some type of critical node in their system that, if lost, would cause significant disruption to their ability to provide service or cause a full shutdown of the system.

A key takeaway from this planning process is to remove, to the extent possible, single points of failure within critical infrastructure systems and to harden (mitigate) nodes which are critical by nature.

- Case Study: Marion, KY
  - In April of 2022 inspectors discovered water at the toe of the dam for the city lake that served as the source water for the local water treatment plant
  - Days later a sinkhole appeared in the face of the dam which caused fears of a total failure to spread throughout the community.
  - Local officials decided to proactively breach the dam to reduce the water levels in the reservoir and relieve pressure on the dam.
  - The breach combined with a lack of rainfall, pushed the city into a water emergency lasting months.
  - Local and state officials were repeatedly at odds during this event, highlighting the need for proactive planning and coordination between officials at various levels of government about how to handle water emergencies before they occur.
  - This case study also serves as an example of a utility losing a critical node necessary to provide service to the public.



Source: Kentucky Energy And Environment Cabinet / Public Records

- Case Study: 2009 Western Kentucky Ice Storm
  - Over a period of several days the region received three to four inches of liquid equivalent precipitation, including two inches of ice.
  - The days immediately after the precipitation were cold and windy and lead to the largest power outage on record with 609,000 homes and businesses without power.
  - As communications and energy infrastructure failed due to power loss over 200,000 residents also lost water and/or wastewater service.
  - Emergency management resources were deployed to bring water systems back online as quickly as possible, but some rural utilities were without power for three weeks.
  - This event serves as an example of how a natural hazard event can trigger cascading impacts throughout critical infrastructure sectors.



Source: Owensboro Radio

## • Summary:

- Water emergencies can bring local communities to a standstill within hours and could trigger regional impacts if an incident impacts a water treatment plant or water sources.
- Mitigation actions for the water and wastewater sector have focused on protection from its reliance on the energy sector by installing secondary power sources (generators).
- Gaps and vulnerabilities of equal concern exist from interdependencies with the transportation and communications sectors.
- Critical personnel and critical nodes within the water sector also warrant attention for future mitigation efforts.
- A total of 72 new local hazard mitigation strategies are being added to the GRADD Hazard Mitigation Plan because of this planning effort.

## **Lessons Learned**

## IRPF

 The IRPF can be used across a variety of planning areas and can be easily scaled based on the available planning resources and the needs of the community.

## Recommendations

- Be intentional about how you collect data and have a data security plan in place before you solicit data from stakeholders.
- Lean on existing relationships.
- Build new relationships.
- Engage the community.
- Think creatively.

## Links

## CISA

- <u>Critical Infrastructure Sectors</u>
- Infrastructure Resiliency Planning Framework
- IRPF Launchpoint
- IRPF Case Study Hazard Mitigation Planning in KY
- National Association of Development Organizations (NADO)
  - Tips from a Planner: Implementing the IRPF

# Green River Area Development District

# CISA'S INFRASTRUCTURE RESILIENCE PLANNING FRAMEWORK (IRPF)

## NADO Annual Training Conference November 9, 2023



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## Agenda

- Introduce CISA's mission and activities
- Describe key critical infrastructure concepts
- Lay out the steps and tools included in the IRPF





# **Cybersecurity and Infrastructure Security Agency (CISA)**

# VISION

Secure and resilient infrastructure for the American people. Lead the national effort to understand, manage, and reduce risk to the nation's cyber and physical infrastructure.



# CISA STRATEGIC PLAN 2023–2025



#### GOAL 1

**CYBER DEFENSE:** Spearhead the National Effort to Ensure Defense and Resilience of Cyberspace

#### GOAL 2

#### **RISK REDUCTION & RESILIENCE:**

Reduce Risks to, and Strengthen Resilience of, America's Critical Infrastructure

#### GOAL 3

#### **OPERATIONAL COLLABORATION:** Strengthen Whole-of-Nation Operational Collaboration and Information Sharing

#### GOAL 4

#### **AGENCY UNIFICATION:**

Unify as One CISA Through Integrated Functions, Capabilities, and Workforce



#### PARTNERSHIP DEVELOPMENT



INFORMATION AND DATA SHARING

#### CAPACITY BUILDING



INCIDENT MANAGEMENT & RESPONSE



**CISA's Core** 

**Capabilities** 

AT A GLANCE



**RISK ASSESSMENT AND ANALYSIS** 



NETWORK DEFENSE



**EMERGENCY COMMUNICATIONS** 

## **CISA Regional Offices and Outreach Staff**





# **CISA Regional Operations**

## Information Sharing –

- Get data and alerts that support decision making
- Connect to government and industry partners
- Recognize and report suspicious activity
- Share best practices

Assessments – both Cybersecurity and Physical

**Training** – diverse curriculum designed to build core capabilities

**Exercises** – both Physical and Cyber Tabletop Exercise packages customized to your organization





CYBERSECURITY & INFRASTRUCTURE SECURITY AGENCY

## Infrastructure Security Division

The Infrastructure Security Division (ISD) leads the coordinated effort to reduce risks posed to our critical infrastructure, whether from man-made or natural causes.

## **Resilience Planning Program**

 Develop guidance & resources to support stakeholders to better plan for infrastructure resilience at the local and regional levels.

## **Critical Infrastructure**

**Critical Infrastructure:** Systems and assets, whether physical or virtual, so vital that its incapacity or destruction may have a **debilitating impact** on the security, economy, public health or safety, environment, or any combination of these matters, **across any Federal, State, regional, territorial, or local jurisdiction**.

(Source: National Infrastructure Protection Plan 2013)

- 16 Sectors: Critical Infrastructure Partnership Advisory Council of government and private sector members
  - **National Infrastructure Protection Plan &**



Partnership



## **Resilience Concepts**

The ability to prepare for and adapt to changing conditions and to withstand and recover rapidly from disruptions. Resilience includes the ability to withstand and recover from deliberate attacks, accidents, or naturally occurring threats or incidents.

(Presidential Policy Directive 21)



- **Resilience** is a property of systems rather than assets.
- Infrastructure systems are interdependent and enable community functions.
- Resilience goal is to maintain or restore function or services after a disruption without detrimental impacts.



## **Resilience Concepts**

- Dependencies
- Cross-boundary interconnectedness
- Diverse stakeholders
- Information needs



Courtesy of DHS

NADO Annual Training Conference November 9, 2023



## The Issue

- SLTTGs are a critical part of the critical infrastructure system but most lack planning and development capacity
- A framework is needed to inform effective decisions leading to enhanced resilience that can be implemented through existing plans
- CISA can contribute critical infrastructure resilience knowledge and expertise at each step in the infrastructure life-cycle





## **An Identified Problem**

## Current planning not effectively leading to more resilient infrastructure

## Planning

-Siloed planning requirements -Jurisdictionally focused -Asset concentrated -Data/knowledge constrained -Resource limited



Ineffective Solutions and/or No Action

Critical infrastructure security and resilience can benefit from the transfer of CISA knowledge, assessment, and planning capabilities to SLTTGs



## Infrastructure Resilience Planning Framework

- Includes step-by-step planning guidance, templates, and other resources to inform long-term planning and investment decisions
- Five steps from stakeholder engagement to risk assessment and implementation
- Can be used in many different local and regional plans such as:
  - Hazard Mitigation Planning
  - Emergency Response Planning
  - Post-Disaster Recovery Planning





## **IRPF Process**

## Flexible Step-by-Step Guidance

## Lay the Foundation

- Identify a project champion
- Define and scope the effort
- Collect & review information
- Form collaborative planning group
- Establish
  resilience goals

Identify Critical Infrastructure

- Identify
- infrastructure
- Prioritize infrastructure
- Identify dependencies among infrastructure
- systems

#### Assess Risk

- Identify threats and hazards to infrastructure
- Assess vulnerability of infrastructure
- Assess consequences to infrastructure systems
- Prioritize infrastructure system risks

#### **Develop Actions**

- Refine resilience goals and objectives
- Identify resilience solutions to mitigate risks
- Assess existing resources and capabilities
- Select resilience solutions for implementation
- Develop implementation strategies

## Implement & Evaluate

- Implement through existing planning mechanisms
- Monitor, evaluate, and assess effectiveness
- Update plans



# **IRPF Integration into Existing Planning**

## Plan Type

Hazard Mitigation Plan

Comprehensive Economic Development Strategy (CEDS)

Comprehensive or General Plan

Capital Improvement Plan (CIP)

Specific or Area Development Plan

Emergency Operations or Emergency Response Plan

Long-term Recovery Plan

## IRPF Guidance and Resources can inform:

- Infrastructure stakeholder identification
- Critical systems and services identification
- Planning goals & objectives
- Vulnerability and consequence analysis
- Project identification toward resilience
- Infrastructure investment priorities
- Development decisions
- Project prioritization
- Response and recovery activities/procedures



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# **IRPF Benefits**

- The dependency and co-benefit analysis is a way to help reprioritize mitigation actions. In the end, it leads to developing multi-faceted projects that address the total problem. ~ *Kentucky Division of Emergency Management*
- The dependency questions that referenced community functions really "got them thinking" about backup services. It resulted in development of a project for backup power for lift stations – a tangible benefit of the facilitated discussion. ~ Green River Area Development District
- Used the dependency questions to show the importance of drilling down to the utility level for public works mitigation.
  - ~ Green River Area Development District



Community Hazard Mitigation Planning Meeting, Green River Area Development District



## **IRPF Resources**

#### Lay the Implementation **Identify Critical** Develop Assess Risk General Foundation Infrastructure **Actions** & Maintenance Methodology Planning □ Infrastructure asset Hazard Sample capability Inventory of for Assessing information data matrix participant assessment funding Regional resource list information sheet worksheet opportunities Online Infrastructure Infrastructure (grants & loans) □ Stakeholder **Dependency Primer** Drought planning Mitigation Resilience invitation letter alternatives General guide HIFLD datasets for □ Alignment of evaluation guide recommendations Data collection Summary of risk infrastructure IRPF to other for plan Link to NIST list assessment federal Dependency integration methodologies economic identification Link to plan planning decision guide worksheet integration processes software evaluation Dependency Resilient quidebook discussion guides solutions strategy □ Sample goals and Community systems worksheet objectives discussion List of sources for System resilience solution owner/operator ideas interview

Meeting facilitation



## **Participation**

## **Community Systems Dependency Discussion Guide**

- Help community members think about the systems that support and impact them
- Gives community members the language to communicate with system owners and operators

#### COMMUNITY SYSTEMS DEPENDENCY DISCUSSION GUIDE

#### **Community Systems Characterization**

What are your community's critical functions – the functions that enable your community to remain viable?

Agriculture
 Business

Education

- Emergency Services
- Food/Water
  - Food/Water Government
- Healthcare
- Housing
- Manufacturing

as-set

a useful thing

sys-tem noun

network

a set of things working together as parts of an

interconnecting

noun

What are the critical economic systems in your community?

What are the lifeline infrastructure systems in your community?

#### Energy

- Electric power substations, transmission lines, generation facility
- Natural gas pipelines, storage, extraction facility
- Fuel storage, production facility

#### Water/Wastewater

- Water treatment plants, pump stations, storage tanks, pipelines
- · Wastewater treatment plants, lift stations, main sewer lines

#### Transportation

- · Road highways, bridges
- Rail rail lines, stations/hubs, yards
- Maritime ports
- Airports

#### NADO Annual Training Conference November 9, 2023



## **Additional Resource:**

## **IRPF** Launchpoint

### www.cisa.gov/resources-tools/resources/irpf-launchpoint

- An IRPF quick-start tool (approx. 10-15 minutes to complete)
- Automatically generates IRPF guidance that best suits the user's level of knowledge, interest, and needs



## **Additional Resource:**

## **Infrastructure Dependency Primer**

#### www.cisa.gov/idp





# **Importance of Regional Districts**

- Infrastructure transcends local boundaries
  - Shared infrastructure dependencies/interdependencies
  - Single infrastructure systems at regional scale

## Examples:

- Ports/multimodal transportation systems
- · Electrical grid
- Regional water/wastewater systems that serve more than one locality and are essential for development or recovery



Courtesy of DHS

 Rural and metropolitan regional districts are logical partners for integrating hazard mitigation into other plans and funding proposals



## Conclusion

## CISA's Infrastructure Resilience Planning Framework (IRPF) -

- Useful infrastructure resilience planning guidance and resources
- Tested application for effective local hazard mitigation planning

Download the IRPF from CISA's *Resilience Planning Program* webpage today! <u>https://www.cisa.gov/resources-tools/programs/resilience-planning-program</u>

- □ IRPF resources are hyperlinked within the document
- Supplemental resources are also available on the webpage IRPF Launchpoint, Infrastructure Dependency Primer, and others
- □ Additional resources are in development case studies, introductory videos, a playbook





## For more information:

Visit CISA's Resilience Planning webpage at <u>https://www.cisa.gov/resources-</u> tools/programs/resilience-planning-program

## **Questions?**

Email: Resilience\_Planning@cisa.dhs.gov

