



Critical Infrastructure Protection Committee

Thursday, September 14, 2006 — 8 a.m. to 5 p.m.

Friday, September 15, 2006 — 8 a.m. to noon

Royal Sonesta Hotel
5 Cambridge Parkway
Cambridge, Massachusetts

(PLEASE BE PREPARED TO STAY FOR THE ENTIRE MEETING.)

Meeting Agenda

- | | |
|--|--------|
| 1. Administrative Matters | 20 min |
| a) Arrangements — Stan Johnson | |
| b) Announcement of quorum — Stan Johnson | |
| c) Procedures — Stan Johnson | |
| *d) NERC Antitrust Compliance Guidelines — Stan Johnson | |
| e) Parliamentary procedures — Stan Johnson | |
| f) Introduction of members, alternates, and associates — Stan Johnson | |
| g) Approval of agenda — Stuart Brindley | |
| *h) Approval of June 20–21, 2006 CIPC meeting minutes — Stuart Brindley | |
| <i>Note: The minutes will be posted as soon as they become available.</i> | |
| 2. Information Items | |
| a) CIPC Executive Committee report — Stuart Brindley | 15 min |
| 1. Board of Trustees highlights — Stuart Brindley | |
| 2. Electricity Sector Coordinating Council update | |
| a. Sector Specific Plan | |
| b) NERC report — Stan Johnson | 15 min |
| 1. NERC reorganization update | |
| 2. Situation Awareness-Infrastructure Security business plan | |
| 3. NERC staff support for working groups assignments — Stan Johnson | |
| c) Electric Reliability Organization update — Stan Johnson | 20 min |
| d) ESISAC report — Stan Johnson | 20 min |
| 3. Security Operating | |
| a) Indications, Analysis, Warnings Working Group — Larry Bugh | 30 min |
| *1. Approve HSIN vetting procedure | |
| b) Reporting Technology Working Group — Carl Eng | 60 min |
| 1. Homeland Security Information Network (HSIN) | |
| a. Project update — Carl Eng | |
| b. CII update — Carlos Kizzee | |

- c. Industry Perspective — Larry Brown
- *2. **Approve** HSIN Implementation motion
- c) Pandemic update — Stan Johnson 30 min
- *1. NIAC Pandemic Study Group Survey

Note: CIPC members will discuss the draft survey response and input will be collected and included in the final response to the NIAC Pandemic Study Group

- d) Disaster planning — Laura Hussey 30 min
 - 1. EEI Meeting July 25, 2006
- e) Spare Transformer update — Laura Hussey 30 min

4. Security Planning

- a) Cyber Security Standards Education Team — Larry Bugh 60 min
 - Workshops update
- b) Control System Security Working Group — Linda Nappier 30 min

5. Electric Sector Specific Plan - NIPP

120 min

- a) Overview — Stuart Brindley
- b) Chapter by chapter review

Note: Plan will be distributed to CIPC as soon as it is available. This will be a very important discussion and an opportunity for input by CIPC members to shape the plan.

6. Agency Reports

45 min

- a) Department of Homeland Security
- b) Department of Energy
- c) Public Safety Emergency Preparedness Canada
- d) Federal Energy Regulatory Commission

7. Closing

- a) Follow-up items and future actions — Stuart Brindley 10 min
- b) Future meetings — Stan Johnson 5 min

2006

December 6–8, Houston, Texas

2007

March 22–23, San Francisco or San Diego, CA

June 14–15, Vancouver, BC

September 13–14, TBD

December 6–7, TBD

NERC ANTITRUST COMPLIANCE GUIDELINES

I. GENERAL

It is NERC's policy and practice to obey the antitrust laws and to avoid all conduct that unreasonably restrains competition. This policy requires the avoidance of any conduct that violates, or that might appear to violate, the antitrust laws. Among other things, the antitrust laws forbid any agreement between or among competitors regarding prices, availability of service, product design, terms of sale, division of markets, allocation of customers or any other activity that unreasonably restrains competition.

It is the responsibility of every NERC participant and employee who may in any way affect NERC's compliance with the antitrust laws to carry out this commitment.

Antitrust laws are complex and subject to court interpretation that can vary over time and from one court to another. The purpose of these guidelines is to alert NERC participants and employees to potential antitrust problems and to set forth policies to be followed with respect to activities that may involve antitrust considerations. In some instances, the NERC policy contained in these guidelines is stricter than the applicable antitrust laws. Any NERC participant or employee who is uncertain about the legal ramifications of a particular course of conduct or who has doubts or concerns about whether NERC's antitrust compliance policy is implicated in any situation should consult NERC's General Counsel immediately.

II. PROHIBITED ACTIVITIES

Participants in NERC activities (including those of its committees and subgroups) should refrain from the following when acting in their capacity as participants in NERC activities (e.g., at NERC meetings, conference calls and in informal discussions):

- Discussions involving pricing information, especially margin (profit) and internal cost information and participants' expectations as to their future prices or internal costs.
- Discussions of a participant's marketing strategies.
- Discussions regarding how customers and geographical areas are to be divided among competitors.
- Discussions concerning the exclusion of competitors from markets.
- Discussions concerning boycotting or group refusals to deal with competitors, vendors or suppliers.

III. ACTIVITIES THAT ARE PERMITTED

From time to time decisions or actions of NERC (including those of its committees and subgroups) may have a negative impact on particular entities and thus in that sense adversely impact competition. Decisions and actions by NERC (including its committees and subgroups) should only be undertaken for the purpose of promoting and maintaining the reliability and adequacy of the bulk power system. If you do not have a legitimate purpose consistent with this objective for discussing a matter, please refrain from discussing the matter during NERC meetings and in other NERC-related communications.

You should also ensure that NERC procedures, including those set forth in NERC's Certificate of Incorporation and Bylaws are followed in conducting NERC business. Other NERC procedures that may be applicable to a particular NERC activity include the following:

- Reliability Standards Process Manual
- Organization and Procedures Manual for the NERC Standing Committees
- System Operator Certification Program

In addition, all discussions in NERC meetings and other NERC-related communications should be within the scope of the mandate for or assignment to the particular NERC committee or subgroup, as well as within the scope of the published agenda for the meeting.

No decisions should be made nor any actions taken in NERC activities for the purpose of giving an industry participant or group of participants a competitive advantage over other participants. In particular, decisions with respect to setting, revising, or assessing compliance with NERC reliability standards should not be influenced by anti-competitive motivations.

Subject to the foregoing restrictions, participants in NERC activities may discuss:

- Reliability matters relating to the bulk power system, including operation and planning matters such as establishing or revising reliability standards, special operating procedures, operating transfer capabilities, and plans for new facilities.
- Matters relating to the impact of reliability standards for the bulk power system on electricity markets, and the impact of electricity market operations on the reliability of the bulk power system.
- Proposed filings or other communications with state or federal regulatory authorities or other governmental entities.
- Matters relating to the internal governance, management and operation of NERC, such as nominations for vacant committee positions, budgeting and assessments, and employment matters; and procedural matters such as planning and scheduling meetings.

Any other matters that do not clearly fall within these guidelines should be reviewed with NERC's General Counsel before being discussed.

Homeland Security Information Network – Electricity Sector End User Vetting Criteria 8/22/06

Introduction

In order to encourage the open sharing of critical infrastructure information and maintain confidentiality, access to the Homeland Security Information Network – Electricity Sector (HSIN-ES) portal must be granted, with appropriate restrictions, to individuals within the electricity sector.

Access will be limited based first upon the entity that an end user represents and second, upon the end user's job responsibilities. This document establishes the criteria by which such access and restrictions shall be determined for each end user applicant.

User Identity and Responsibilities

End User

An End User (EU) is an individual who has been granted access to the HSIN-ES portal and who accepts and agrees to abide by the HSIN-ES End User Agreement. Access for an EU grants logon credentials and provides default access to the HSIN-ES Home Page, Discussion Area, and Resource Library, and qualifies the End User to participate in Work Groups as authorized. An EU can be defined as belonging to any of the following:

1. North American Electric Reliability Corporation (NERC) Staff
2. NERC Registered Functional Entities (RFE). Reference the NERC Functional Model for further description.
3. Staff of American Public Power Association (APPA), Canadian Electricity Association (CEA), National Rural Electric Cooperative Association (NRECA) and Edison Electric Institute (EEI), or other Electric Industry Associations (EIA) who are invited and approved by the NERC Critical Infrastructure Protection Committee (CIPC.)
4. Invited Federal Government Security Agencies (FSA), such as the US Department of Homeland Security (DHS) and the Public Safety and Emergency Preparedness of Canada (PSEPC).
5. Others invited and approved by CIPC or its designee.

Validation Authority

Each entity that qualifies for HSIN-ES access, shall appoint an individual to serve as the "Entity Validation Authority" (EVA). The EVA will be responsible for verifying to the Electricity Sector Information and Sharing and Analysis Center (ES-ISAC) that its End User applicant has a legitimate need for access to HSIN-ES. The EVA will be required to re-verify the EU at least annually, and notify ES-ISAC immediately of any change in status of an authorized EU, such as termination, role change, etc. The EVA is also responsible for designating the level of acceptable access for each End User, based on each EU's job responsibilities. The EVA must be someone who is familiar with End User applicants and their job responsibilities.

Each EVA must be vetted prior to being accepted as the EVA. This may be done by the ES-ISAC directly or through a chain of trust.

This chain-of-trust model requires multiple levels of Validation Authorities (VA). Each Regional Entity¹ will appoint a Regional Validation Authority (RVA). The RVA or ES-ISAC will vet the EVA to ensure that individual represents the entity and is in a position to perform the functions of an EVA.

Regional Validation Authorities may choose to implement an additional level of VAs such as Independent System Operators (ISO)/Regional Transmission Organizations (RTO) or Reliability Coordinators (RC), who will then be responsible for identifying and vetting EVA's representing entities within the scope of the ISO/RTO or RC.

Regardless of the number of levels in the chain-of-trust, the EVA is ultimately responsible for vetting End User applicants within the entity. Each entity is encouraged to identify alternate EVA's to expedite the vetting process. Alternate EVA's will also expand the ability of the entity's EVA's to truly know the End User applicants and their job responsibilities.

Electric Industry Associations and invited Federal Government Security Agencies also must identify Validation Authorities, who will be vetted by the ES-ISAC.

Each entity anticipating a need for HSIN-ES access will provide an EVA nomination to the ES-ISAC on company letterhead. The nomination will include the name and contact information for at least a primary EVA and, at the discretion of the entity, alternate EVA's. The EVA nomination must be signed by a senior manager of the entity.

The ES-ISAC will maintain a list of all RVA's and EVA's. This list will be reviewed and verified at least annually.

HSIN-ES Administrator (ES-ISAC)

The role of the HSIN-ES Administrator will be performed by the ES-ISAC. As the administrator, the ES-ISAC will be responsible for inviting individuals to join HSIN-ES, for vetting End User applicants, for managing End User access privileges, and for managing content on the portal.

Access Privileges

Once End Users have been granted access to HSIN-ES, they must be further granted access to specific areas within the portal as appropriate to their needs and job responsibilities. In addition to the basic access privileges to the HSIN-ES Home Page, Resource Library, and Discussion Area and the ability to participate in Work Groups, End Users may also qualify for additional access to protected areas such as the Incident Reports and Urgent Alerts.

¹ Pursuant to Section 215(c) of the Federal Power Act the term 'Regional Entity' means an entity having been delegated authority to develop and enforce reliability standards pursuant to subsection (e)(4).

For the purposes of granting access privileges to the various portal areas, End Users are separated into two major categories. The first category includes all End Users representing Responsible Entities as defined in NERC Standard CIP-008. The second category includes all other End Users.

Maximum access privileges are identified in Table 1. Actual access privileges are granted on an individual End User basis as appropriate to his or her needs and job responsibilities.

Table 1

HSIN-ES End User Maximum Access Privileges				
Participant Category	Portal Area	Write	Read	None
CIP-008 Responsible Entity End Users				
	Incident Reports	X	X*	
	Resource Library		X	
	Work Groups	X	X	
	Discussion Area	X	X	
	Urgent Alerts		X	
Other End Users				
	Incident Reports			X
	Resource Library		X	
	Work Groups	X	X	
	Discussion Area	X	X	
	Urgent Alerts			X

*This means End Users may read incident reports submitted by other End Users.

Under the current version of HSIN-ES, four levels of access exist:

- BASIC,
- URGENT ALERTS,
- INCIDENT SUBMIT, and
- INCIDENT R/W.

Access criteria are described below.

BASIC access is granted to all End Users. BASIC access includes the HSIN-ES Home Page, the main Resource Library, and the main Discussion Area. It also provides the ability to participate in authorized Work Groups. The VA may request the HSIN-ES Administrator to limit these access privileges.

URGENT ALERTS access is limited to End Users representing RFE's that have signed the NERC Confidentiality Agreement for Electric System Operating Reliability Data (NCA).

Based on NERC Standards CIP-001 and CIP-008, many RFE's have requirements for reporting incidents to the ES-ISAC and, therefore, must have access to the Incident Reporting area. End Users representing these RFE's and who have appropriate responsibilities may be granted INCIDENT SUBMIT access. This level of access allows End Users to submit incident reports, but does not allow them to view reports submitted by other End Users.

End Users representing RFE's that have signed a NERC Confidentiality Agreement for Electric System Operating Reliability Data may also be granted INCIDENT Read and Write access based on their needs and job responsibilities. This level of access allows End Users to submit incident reports and view incident reports submitted by other End Users.

Vetting Process

The steps to be completed for obtaining logon credentials to HSIN-ES are:

1. An EVA notifies the ES-ISAC of an applicant's need for access to HSIN-ES and the desired access for each portal area.
2. The applicant is invited into HSIN-ES by the ES-ISAC.
3. The applicant completes the on-line registration form.
4. The ES-ISAC verifies with the EVA the applicant's need for access and the desired access for each portal area.
5. The ES-ISAC processes the registration information and establishes the End User's access privileges.
6. The End User receives notification of access approval.
7. The End User calls the HSIN Help Desk for the initial password.
8. The End User logs on to HSIN-ES.

For access to specific Work Groups, End Users must contact the Work Group owner(s).

Maintenance of these Criteria

These criteria may be modified at any time by the NERC CIPC.

CI/KR Pandemic Assessment Template

Name	Stan Johnson
Title or Position	Manager, Situation Awareness and Infrastructure Security
Contact information	Phone:609-452-8060 Email:stan.johnson@nerc.net
Organization	North American Electric Reliability Council
Sector	Electricity
Sub-sector	
Completion date	September 1, 2006

1. Identify external critical services that must be provided to your organization in a pandemic in order for you to provide your essential services		
Question	Response (Provided to you as a consumer)	Response (You provide to others as a producer)
a. What goods and services are critical to your operations? Please list in order of importance	<ol style="list-style-type: none"> 1. Fuel for generating plants 2. Electric power 3. Water 4. Telecom/internet 5. Transportation services 6. Equipment/material 7. Labor services 8. Police and Fire Service 9. Chemicals for plants 10. Financial services 	<ol style="list-style-type: none"> 1. Electric power 2. Public safety <p>Note: Many electric sector entities also supply natural gas and/or water.</p>
b. Please identify rationale for criticality ratings as either public safety (S), public health (H), economic survival (E), interdependently critical (I), or other (O)	The rationale for the ratings as a consumer are economic survival and interdependencies	The rationale on this side is public safety, public health and economic survival.
c. Within the context of questions 1-a and 1-b above, are there key interdependencies to each critical good/service? If so, please define priority interdependencies.	The electric sector has critical interdependencies with oil/natural gas, mining (coal), transportation (rail and truck), water, telecom, nuclear and IT.	Virtually all sectors are dependent on an adequate and reliable supply of electricity. In extreme weather conditions, electric supply is life or death.
d. Comments:	The electric sector is a diverse sector with over 5000 entities ranging from large to small.	

CI/KR Pandemic Assessment Template

2. Establish criteria and principles for critical service prioritization		
<p>Provide either a Narrative Response to Question 2, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both, If the correct response in your organization is “I do not know, have not thought about it, or still being debated,” then provide that answer.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
<p>a. What criteria did you use for the prioritization of critical goods and services established in Question 1 (e.g. business function, exposure vulnerability, legal mandate) ?</p>	<p>The production of electricity is dependent on having fuel available. Production must happen for electricity to be available on the grid and at the meter/outlet. Other criteria included the ability to maintain operations, communications and key relationships.</p>	<p>The top sector priority is public safety. This is best achieved by keeping the power flowing. The second priority is preserving the grid so it can serve the consumers needs. A damaged, inoperable grid is of no value to consumers. The third priority is to work with other infrastructures and government partners.</p>
<p>b. Comments:</p>		

CI/KR Pandemic Assessment Template

3. Define internal critical service priorities		
<p>Provide either a Narrative Response to Question 3, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is "I do not know, have not thought about it, or still being debated," then provide that answer.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. What is your company's #1 most critical good and service that you must continue to provide during a pandemic?	Fuel for generating plants and electricity from external suppliers	Electric power
b. What are your company's #2 most critical goods and services that you must continue to provide during a pandemic?	Telecom/internet services	Response to outages and rapid restoration
c. What are your company's #3 most critical goods and services that you must continue to provide during a pandemic?	Water	
d. What is the impact of the loss or diminishment of any of these critical goods and services to your customers or consumers?	Without any of the above, the sector's ability to maintain operations would be severely compromised	Loss of electric power renders everything more difficult for society. From health care to telecom to transportation to emergency services, all depend on electricity to function effectively. In extreme weather, loss of life is likely without electric power.
e. Comments:		

CI/KR Pandemic Assessment Template

4. Identify internal critical employee groups within each critical service priority		
<p>Provide either a Narrative Response to Question 4, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is "I do not know, have not thought about it, or still being debated," then provide that answer. A critical employee group will most likely be a specific department or subgroup within a department.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. What is critical employee group #1? How many are represented in this group?	Natural gas supply system operators	Grid operators-1000
b. What is critical employee group #2? How many are represented in this group?	Telecommunications technicians	Generating plant operators-20,000
c. What is critical employee group #3? How many are represented in this group?	Water system operators and repair technicians.	Maintenance and repair technicians-100,000
d. What is the impact of the loss or diminished availability of any of the critical employee groups?	Loss of fuel supply would reduce the available supply of electricity	Lack of electricity available for consumers and dependent sectors
e. Has your organization identified a plan to reduce the vulnerability of exposure to the above groups? If no, will your organization develop such a plan?	Most entities (90%) in the electric sector have business continuity plans and are working to adjust their plans as required by the pandemic threat.	Same answer as in box to the left.
f. Comments:	Some entities in the electric sector have their own telecom system; Most are at least partially dependent on the public network.	

CI/KR Pandemic Assessment Template

5. Make recommendations to build a structure for communication and dissemination of resources within your company		
Provide either a Narrative Response to Question 5, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is "I do not know, have not thought about it, or still being debated," then provide that answer.		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. Has your company developed or is it developing a plan to ensure you can effectively communicate with your employees before and during a pandemic?		Virtually all entities in the sector have emergency communications plans. These plans are routinely utilized during storm conditions or during other extreme conditions. These plans have been revised, or are in the process of being reviewed for the pandemic threat by nearly every electric sector entity. These plans will range from multi-page, complex documents for large companies to simple plans that work well for small entities. Many entities in the sector have an organized workforce and organized labor has partnered with management to develop/revise the plan

CI/KR Pandemic Assessment Template

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CI/KR Pandemic Assessment Template

6. Identify principles for effective implementation by DHS and HHS		
<p>Provide either a Narrative Response to Question 6, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both, If the correct response in your Sector is “I do not know, have not thought about it, or still being debated,” then provide that answer.</p>		
Question	Prior to a pandemic	During a pandemic
<p>a. What do you consider to be the most critical activities for DHS and HHS to undertake to support your company in the maintenance of essential services in a pandemic?</p>	<ol style="list-style-type: none"> 1. Establish a credible, knowledgeable spokesperson. 2. Get out in front of the threat. 3. Continue to provide good information on the websites. 4. Develop and communicate a strategy for vaccines and anti-viruls 5. Continue working to facilitate levels of government working together-Federal, state, county, local, schools 	<ol style="list-style-type: none"> 1. Alert, don't alarm. 2. Facilitate, don't dictate 3. Help, don't impede 4. Empathize, don't paternalize <p>Coordinate effectively with private sector through well established communication paths. DHS and HHS should communicate with the sector via the least number of channels as possible, preferably through the ESISAC.</p>
<p>b. Comments:</p>		

Any Additional Information you would like to provide to the Study Group, please provide:

Motion

CIPC approves the following HSIN-ES implementation plan:

- A. Begin user registration and training — October 1, 2006.
- B. Allow approved users to access HSIN-ES on a non-production (test) basis — October 1, 2006 through December 2006.
- C. Assuming positive feedback from the approved user community during the test period, approve commercial operation of HSIN-ES — December 2006.
- D. Commence commercial operation of HSIN-ES in parallel with the existing CIPIS — January 2, 2007.
- E. CIPC will assess periodically the continuing need for CIPIS, with the ultimate goal of retiring this tool in favor of HSIN-ES.

CI/KR Pandemic Assessment Template

Objectives:

The US Department of Homeland Security (DHS) and the US Department of Health and Human Services (HHS) requested that the National Infrastructure Advisory Council (NIAC) make recommendations on critical infrastructure prioritization during a pandemic event. Within the framework of this request DHS/HHS acknowledged that critical infrastructure and key resource (CI/KR) owner-operators are best equipped to understand the activities of personnel engaged in operations and what considerations are necessary to maintain essential levels of service during a pandemic episode.

DHS/HHS requested NIAC to:

- Identify and define critical services that must be maintained in a pandemic;
- Establish criteria and principles for critical service prioritization;
- Define critical service priorities;
- Identify critical employee groups within each critical priority service;
- Make recommendations to build a structure for communication and dissemination of resources; and
- Identify principles for effective implementation by DHS and HHS.

These questions for your Sector should be addressed within the context of the broader societal good, and not within the context of any individual organization or community. At times your Sector may be a supplier of critical goods or services, at other times it may be a consumer or dependent on the good or services of another Sector. For example, the Communications Sector will need electric power to keep communications equipment operating, or the water sector may need critical transportation and chemical services to deliver sufficient clean water, etc.

Approach:

The following assessment methodology should serve as a resource for CI/KR owner-operators. This methodology is neither mathematically complete, nor scientifically defensible, but rather a “framework” to better collect, aggregate, and assess key data points and information required to successfully answer the specific questions posed to the NIAC.

The assessment template will be used across all CI/KR areas and the results will be normalized and weighted against multiple input channels. Other inputs will include deliberations of substantial merit or thoroughness, existing or evolving pandemic plans, results of pandemic preparedness and response exercises, solicited input or participation by recognized experts in the pandemic field, and multiple other sources. Interdependencies will play a critical role in the aggregation and analysis of Sector-specific findings, and are included as part of the scope of this effort.

Logistics:

CI/KR Pandemic Assessment Template

This CI/KR assessment methodology should conform to NIAC operating procedures including the following:

- Study Groups, including all invited Subject Matter Experts (SMEs) and Sector representatives, develop inputs, conclusions, findings, and initial recommendations for the NIAC Working Group.
- Working Groups are composed of NIAC Members only, and take Study Group inputs to finalize recommendations to the full NIAC.
- NIAC as a whole deliberates on the proposed Working Group recommendations in a public meeting, and then submits the final report and recommendations to the President.
- Study Group work products and deliberations are confidential to Study Group members. Some of the inputs to the Study Group may be publicly available information.
- While the Working Group is conducting its deliberations, any materials in its possession are confidential to the Working Group. They are no longer available to Study Group or any other groups or individuals.
- Once the NIAC submits its report to the President, and the President has received it, it becomes a public document.

Any non-publicly available materials used by the Study Group or Working Group to prepare the final report are confidential or proprietary and should be treated accordingly. The template, when complete, is a work product of the NIAC Pandemic Study Group and should not be disseminated outside of named Study Group members.

CI/KR Pandemic Assessment Template

Definitions and Instructions to Complete:

The following assumptions should be used to frame responses to assessment questions. These assumptions (summarized below) are defined in the DHS CI/KR Pandemic Guide dated June 23, 2006.

- ◇ Susceptibility to pandemic influenza virus will be universal
- ◇ The clinical disease attack rate will be 30% in the overall population during the pandemic. Among working adults, an average of 20% will become ill from the pandemic influenza during a community outbreak.
- ◇ Some persons will become sick from the pandemic influenza but not develop clinically significant symptoms. These persons can transmit pandemic influenza and develop immunity to subsequent infections.
- ◇ Some persons may get ordinary influenza, and assume it is pandemic influenza, and opt to stay home. Misdiagnosis or overly cautious measures should be included in the absenteeism assumption as relevant.
- ◇ Absenteeism may be as high as 40% during peak pandemic periods.
 - Absenteeism may take many forms: those who are ill with pandemic influenza; those who “think” they have pandemic influenza but are ill from other causes such as ordinary influenza; those who are providing care for ill children or family members; those who are afraid to go to work; those who have been ordered by their employer or government officials to stay at home as part of social distancing or due to uncertainty of the nature of their illness.
 - Those who stay at home to telework and who can and do telework, are technically not “absent from work” and should not be considered part of “Absenteeism.” Work for them may be a “function” and not a “place” and thus they are still functioning parts of the organizational mission.
- ◇ Epidemics will last six to eight weeks in infected communities.
- ◇ Effectively half of all infected will seek medical care.
- ◇ Multiple waves of illness are expected with each wave expected to last two to three months in duration.

Two columns exist within the assessment matrix, “consumer” and “producer.” “**Consumer**” responses are critical goods or services *consumed by* or needed by the organization in the affected Sector to sustain its critical operations. “**Producer**” responses are those critical goods or services *produced by* the organization in the responding Sector to sustain operations during a pandemic. Producer outputs may have more than a local or regional impact, but may produce a national impact. Most consumer responses would be resources drawn at the local or community level. For example, electricity may be obtained locally (Consumer) but the system or equipment powered by a local producer may have a national impact in a sector (e.g. adverse impact on the stock markets).

CI/KR Pandemic Assessment Template

As you review the questions and prepare the responses, consider the impact of a number of proposed elements of the National Response Plan, including the effect of social distancing, infection control measures, and the limitations of available vaccination or primary care facilities on your organization or sector.

Responses to this survey should be submitted to Tim McCabe at Tim_McCabe@sra.com. Responses will be aggregated and any references to specific organizations will be removed for privacy purposes. No members of government, industry, or the NIAC will have access to the raw responses prior to this cleansing process. Once identifying data points have been removed, the NIAC Study Group responsible for work on this topic will convene to complete the analysis of the responses.

If you distribute this matrix further, please provide Mr. McCabe with the names you intend to ensure they are not receiving duplicate copies.

Completed responses should be submitted by September 1, 2006.

CI/KR Pandemic Assessment Template

Name	
Title or Position	
Contact information	Phone: Email:
Organization	
Sector	
Sub-sector	
Completion date	

1. Identify external critical services that must be provided to your organization in a pandemic in order for you to provide your essential services		
Question	Response (Provided to you as a consumer)	Response (You provide to others as a producer)
a. What goods and services are critical to your operations? Please list in order of importance.		
b. Please identify rationale for criticality ratings as either public safety (S), public health (H), economic survival (E), interdependently critical (I), or other (O)		
c. Within the context of questions 1-a and 1-b above, are there key interdependencies to each critical good/service? If so, please define priority interdependencies.		
d. Comments:		

CI/KR Pandemic Assessment Template

2. Establish criteria and principles for critical service prioritization		
<p>Provide either a Narrative Response to Question 2, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is “I do not know, have not thought about it, or still being debated,” then provide that answer.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. What criteria did you use for the prioritization of critical goods and services established in Question 1 (e.g. business function, exposure vulnerability, legal mandate) ?		
b. Comments:		

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3. Define internal critical service priorities		
<p>Provide either a Narrative Response to Question 3, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both, If the correct response in your organization is “I do not know, have not thought about it, or still being debated,” then provide that answer.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. What is you company’s #1 most critical good and service that you must continue to provide during a pandemic?		
b. What are your company’s #2 most critical goods and services that you must continue to provide during a pandemic?		
c. What are your company’s #3 most critical goods and services that you must continue to provide during a pandemic?		
d. What is the impact of the loss or diminishment of any of these critical goods and services to your customers or consumers?		
e. Comments:		

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4. Identify internal critical employee groups within each critical service priority		
<p>Provide either a Narrative Response to Question 4, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is "I do not know, have not thought about it, or still being debated," then provide that answer. A critical employee group will most likely be a specific department or subgroup within a department.</p>		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. What is critical employee group #1? How many are represented in this group?		
b. What is critical employee group #2? How many are represented in this group?		
c. What is critical employee group #3? How many are represented in this group?		
d. What is the impact of the loss or diminished availability of any of the critical employee groups?		
e. Has your organization identified a plan to reduce the vulnerability of exposure to the above groups? If no, will your organization develop such a plan?		
f. Comments:		

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5. Make recommendations to build a structure for communication and dissemination of resources within your company		
Provide either a Narrative Response to Question 5, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your organization is “I do not know, have not thought about it, or still being debated,” then provide that answer.		
Question	Response (Provided to you as a consumer)	Response (Provided by you as a producer)
a. Has your company developed or is it developing a plan to ensure you can effectively communicate with your employees before and during a pandemic?		
b. Comments		

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6. Identify principles for effective implementation by DHS and HHS		
<p>Provide either a Narrative Response to Question 6, and attempt to address each of the sub-questions in that Narrative Response, or use the Table below and insert more detailed responses in the appropriate cells, or do a combination of both. If the correct response in your Sector is “I do not know, have not thought about it, or still being debated,” then provide that answer.</p>		
Question	Prior to a pandemic	During a pandemic
a. What do you consider to be the most critical activities for DHS and HHS to undertake to support your company in the maintenance of essential services in a pandemic?		
b. Comments:		

Any Additional Information you would like to provide to the Study Group, please provide: