

Table of Contents

Sector-Specific Plan	1
Department of Homeland Security	1
Executive Summary	1
Transportation Security Environment.....	1
A Systems-Based Risk Management Approach to Transportation Security	2
Sector Interdependencies	3
GCC/SCC Structure and Collaboration	4
Modal Implementation Plans	4
DHS CI/KR Protection Annual Report.....	5
Intelligence Efforts.....	5
Challenges for the Transportation Systems Sector.....	6
Implementation.....	6
1. Sector Profile and Goals.....	9
1.1 Introduction	9
1.2 Sector Profile.....	10
1.2.1 Cross-Sector Dependencies.....	11
1.3 The Transportation Security Environment	12
1.4 Sector’s Approach to Risk Management.....	13
1.4.1 NIPP Risk Management Framework.....	15
1.4.2 Systems-Based Risk Management Framework	15
1.5 Transportation Systems Sector Security Goals and Objectives.....	18
1.6 Value Proposition.....	20
1.7 Security Partners	21
1.7.1 The Transportation Systems Sector-Specific Agencies	21
1.7.2 NIPP Sector Partnership Model for the Transportation Systems Sector.....	21
1.7.3 Key Federal Transportation Security Partners	25
1.7.4 State and Local Security Partners	27
1.7.5 Private Sector and Other Infrastructure Owners and Operators	27
1.7.6 International Organizations and Foreign Countries (International Activities).....	27
1.7.7 Other Advisory Councils	29
1.7.8 Academia, Research Centers, and Think Tanks	30
2. Identify Assets, Systems, Networks, and Functions.....	33
2.1 Defining Information Parameters	33
2.1.1 Information Parameters for Systems	33
2.1.2 Information Parameters for Assets	34
2.1.3 Information Parameters for Cyber Networks	35
2.2 Collecting Infrastructure Information.....	35
2.2.1 Data Collection Efforts—Systems	36
2.2.2 Data Collection Efforts—Assets	37
2.3 Verifying Infrastructure Information	38
2.4 Updating Infrastructure Information	38
2.5 Protecting Infrastructure Information	38

3.	Assess Risks	41
3.1	Background.....	41
3.1.1	Relationship to the NIPP Guidance	41
3.2	Overview of the Transportation Systems Sector SBRM Methodology.....	42
3.2.1	Shifting From ASSETS to SYSTEMS.....	42
3.2.2	Shifting From REACTIVE to ADAPTIVE	42
3.2.3	Shifting From EVENTS to PATTERNS	43
3.2.4	Shifting From RIGID to RESILIENT	43
3.3	SBRM Step 1: Setting the Strategic Risk Objective	45
3.3.1	Strategic Risk Objective Inputs.....	46
3.3.2	Consequence-Driven Strategic Risk Objectives	47
3.3.3	Materiality of Threats	47
3.3.4	Assessing Threats.....	49
3.3.5	Cross-Sector Information Sharing.....	51
3.4	SBRM Step 2: System Identification.....	52
3.4.1	Initial System Screening	52
3.5	SBRM Step 3A: System Screen.....	53
3.5.1	Apply System Screen	53
3.5.2	Define Systems Operations.....	53
3.5.3	Baseline System Performance	54
3.6	SBRM Step 4A: System Assessment.....	54
3.6.1	Analyze Performance and Develop Countermeasures.....	54
3.6.2	Assess Effectiveness of Countermeasures	56
3.6.3	Finalize List of Proposed System Countermeasures	56
3.7	SBRM Step 3B: Asset Screen.....	57
3.7.1	Identify Assets.....	57
3.7.2	Filter Assets for Criticality	57
3.8	SBRM Step 4B: Asset Assessment.....	58
3.8.1	Consolidate Assets	59
3.8.2	Evaluate Threats, Vulnerabilities, and Consequences Against Each Asset.....	59
3.8.3	Develop Countermeasures at the Asset Level.....	59
3.9	Supporting Activities for Steps 3 and 4.....	59
3.9.1	Government Asset-Level Assessments	60
3.9.2	Facilitated Asset-Level Assessments	60
3.9.3	Owner/Operator Asset-Level Self-Assessments	60
3.9.4	Assessments for Cyber Networks	61
3.9.5	The Top 100 List	61
4.	Prioritize Risk Management Options	63
4.1	Introduction to Prioritization	63
4.2	SBRM Step 5: Countermeasure Prioritization.....	63
4.2.1	Develop Decision Framework.....	64
4.2.2	Package Countermeasures	64
4.2.3	Rank Countermeasure Packages	64
4.3	Support Activity for Step 5	65
4.3.1	Cyber Prioritization	65
5.	Develop and Implement Security Programs.....	67
5.1	Overview of Sector Security Programs	67

5.2	SBRM Step 6: Countermeasure Program Development	67
5.2.1	Assess Constraints and Considerations	67
5.2.2	Build Countermeasure Programs.....	68
5.2.3	Review Countermeasure Programs	68
5.3	Supporting Activities for Step 6	69
5.4	SBRM Step 7: Deployment Engine	69
5.4.1	Develop Program Plans	69
5.4.2	Coordinate Program Plans.....	70
5.4.3	Integrate Program Plans Into Budgeting Processes.....	70
5.5	Support Activities for Step 7.....	70
5.5.1	Cyber Programs.....	71
5.5.2	Security Program Maintenance	71
5.6	SBRM Step 8: Performance Measurement	72
5.6.1	Map Desired Activities, Outputs, and Outcomes for Each Countermeasure	72
5.6.2	Develop Performance Measures and Data Requirements	72
5.6.3	Develop Data Collection, Verification, and Reporting Processes	72
5.6.4	Link Sector Measures	72
6.	Measure Progress	73
6.1	CI/KR Performance Measurement	73
6.2	Developing Metrics	73
6.2.1	Use of Core Metrics Defined by the DHS.....	73
6.2.2	Development of Sector-Specific Measures	73
6.2.3	Metrics Associated With Sector Goals (Outcome Measures Associated With Sector Goals and Objectives).....	74
6.2.4	Metrics Associated With Transportation Systems Sector Programs	75
6.2.5	Strategic Risk Objectives Measures	75
6.3	Information Collection and Verification.....	76
6.4	Reporting Timelines	76
6.5	Implementation Actions	77
6.6	Challenges and Continuous Improvement	79
7.	Research and Development: CI/KR Protection.....	81
7.1	Overview of Transportation Systems Sector R&D.....	81
7.1.1	Transportation Systems Sector R&D Landscape.....	82
7.1.2	Transportation Systems Sector R&D and Technology Community.....	85
7.1.3	Transportation Systems SSP R&D Working Group	85
7.1.4	R&D Alignment With Transportation Systems Sector Goals	87
7.2	Transportation Systems Sector R&D Requirements.....	87
7.2.1	Process for Defining Transportation Systems Sector Requirements	88
7.2.2	Baseline Transportation Systems Sector Requirements	89
7.2.3	Prioritization of Transportation Systems Sector R&D Requirements	90
7.3	Transportation Systems Sector R&D Plan	91
7.3.1	Components of the Transportation Systems Sector R&D Plan	91
7.3.2	Sources of Input to the Transportation Systems Sector R&D Plan	91
7.3.3	R&D Portfolio Framework	92
7.3.4	Technology Transition Through the R&D Life Cycle	93
7.3.5	Transportation Systems Sector R&D Way Forward	94
7.4	Transportation Systems Sector R&D Management Process.....	95

7.4.1	Sector R&D Governance.....	95
7.4.2	Coordination With Other Planning Efforts.....	97
7.4.3	Importance of Private Sector Involvement	98
8.	Manage and Coordinate SSA Responsibilities.....	99
8.1	Program Management Approach.....	99
8.1.1	Transportation Sector Network Management.....	99
8.2	Processes and Responsibilities.....	100
8.2.1	SSP Maintenance and Update	100
8.2.2	Resources and Budgets	100
8.2.3	Training and Education	101
8.3	Implementing the Sector Partnership Model	101
8.3.1	Coordinating Structures	102
8.4	Information Sharing and Protection.....	102
	Appendix 1: List of Acronyms and Abbreviations	105
	Appendix 2: Glossary of Key Terms	115
	Appendix 3: Transportation Systems Sector Assessment Tools and Methodologies.....	119
	Appendix 4: Additional Federal Security Partners	131
	Appendix 5: National Asset Database Transportation Taxonomy Quick Reference.....	135
	Appendix 6: Protocols and Processes for Assessing Effectiveness and Compliance.....	139

List of Figures

Figure 1-1:	Integrated Top-Down, Bottom-Up Risk Assessment Cycle.....	14
Figure 1-2:	NIPP Risk Management Framework.....	15
Figure 1-3:	Summary of Systems-Based Risk Management Process	17
Figure 1-4:	NIPP Risk Management Framework/Systems-Based Risk Management Process	18
Figure 1-5:	Transportation Systems Sector GCC Organization	23
Figure 1-6:	Transportation Systems SCC Organization.....	24
Figure 2-1:	Risk Views Within the Transportation Systems Sector.....	34
Figure 3-1:	NIPP Risk Management Framework/Systems-Based Risk Management Process	42
Figure 3-2:	Systems-Based Risk Management Process.....	44
Figure 3-3:	Inputs for Strategic Risk Objectives	47
Figure 3-4:	Materiality Mapping of Potential Threats to the Transportation System.....	48
Figure 3-5:	Identification and Screening Process.....	52

Figure 3-6: Risk Layers in the Transportation Systems Sector.....	55
Figure 3-7: Relative Risk as a Function of Threat, Vulnerability, and Consequence.....	58
Figure 3-8: Substeps to Update the Top 100 List.....	62
Figure 6-1: Outcome Measurement Logic Model.....	75
Figure 7-1: Transportation Systems SSP R&D Plan Influencing Factors	82
Figure 7-2: Intermodal Passenger Transportation Example	84
Figure 7-3: Transportation Systems SSP R&D Working Group.....	86
Figure 7-4: Sector-Wide R&D Risk-Driven Requirements Model.....	88
Figure 7-5: Transportation Systems Sector R&D Plan Process.....	91
Figure 7-6: Steps From Basic Research to Commercialization	94
Figure 7-7: Transportation R&D Way Forward.....	95
Figure 8-1: Transportation Sector Network Management Structure	99
Figure A7-1: NIPP Information-Sharing Framework.....	140
Figure A7-2: Annual Schedule for Developing and Reviewing Information Sharing Effectiveness Measures	141

List of Tables

Table 3-1: Strategic Risk Objectives Compared to Threat Scenarios (Examples).....	46
Table 6-1: Milestones of Key Responsibilities Under HSPD-7.....	77
Table 7-1: Sample R&D Security Needs by Transportation Infrastructure Element	83
Table 7-2: Alignment of Sector Goals and R&D Objectives	87