



CFATS Outreach Implementation Plan

Fiscal Year 2019

Cybersecurity and Infrastructure Security Agency



CISA
CYBER+INFRASTRUCTURE

This page is intentionally left blank.

Table of Contents

Executive Summary.....	1
ES.1 Introduction.....	1
ES.2 Summary of DHS FY18 Goals, Activities, Status, and Metrics.....	3
1. Introduction.....	8
2. Background.....	9
3. Plan Goals, Activities, Milestones, and Metrics.....	10
Goal 1: Continue outreach in support of DHS efforts to identify chemical facilities of interest.	10
Goal 2: Expand availability of CFATS compliance assistance materials and information on education and training.	15
GOAL 3: Continue stakeholder engagement to raise awareness of CFATS requirements and compliance resources and to gather input to make program improvements.	18
4. Conclusion.....	25
Appendix A: Historic Outreach to State and Local Officials	26
Appendix B: Local Emergency Planning Committee (LEPC) Focused Outreach.....	27
Appendix C: Industries with Potential Chemical Facilities of Interest (P-CFOI).....	30
Appendix D: CFATS Resources Catalog	32
Appendix E: CFATS Stakeholders	36

Executive Summary

ES.1 Introduction

Established in 2007, the Chemical Facility Anti-Terrorism Standards (CFATS) program has helped make the Nation more secure by identifying and regulating high-risk chemical facilities.¹ On December 18, 2014, President Obama signed into law the *Protecting and Securing Chemical Facilities from Terrorist Attacks Act of 2014* (the CFATS Act of 2014), Public Law 113-254 (6 U.S.C. 621 et seq.). The CFATS Act of 2014 reauthorizes the CFATS program and adds new provisions while preserving most of the existing CFATS regulations. The CFATS Act of 2014 directs the Department of Homeland Security (DHS or the Department) Secretary, among other provisions, to establish an outreach implementation plan (Plan) in coordination with the heads of appropriate Federal and State agencies, relevant business associations, and public and private stakeholders' labor organizations in order to identify chemical facilities of interest (CFOI) that may be subject to regulations under CFATS and to make available compliance assistance materials and information on CFATS-related education and training. The CFATS Act of 2014 defines a chemical facility of interest as "a facility that . . . holds, or that the Secretary has a reasonable basis to believe holds, a chemical of interest, as designated under Appendix A to part 27 of Title 6, Code of Federal Regulations, or any successor thereto, at a threshold quantity set pursuant to relevant risk-related security principles and . . . is not an excluded facility."² Such facilities must submit a Top-Screen survey to enable DHS to determine whether the facility is high-risk and, therefore, must have a security plan. Through the Top-Screen process, CFOI submit data such as facility location and types and quantities of chemicals of interest (COI) onsite to determine if they present a high level of security risk. While DHS believes most CFOI have met their Top-Screen submission requirement, some facilities may have failed to submit a Top-Screen as required.

The Department looks forward to continuing to work with the stakeholders in fiscal year (FY) 2019 (19) to increase compliance with the CFATS requirements and to raise awareness of available educational materials. The types of facilities with COI covered by CFATS are diverse, such as manufacturers and distributors of chemicals, plastics, electronics, and agricultural products. Additionally, non-traditional chemical facilities covered by CFATS include universities, warehouses, and fisheries, among many others. (See [Appendix C](#) for more details.) The majority of facilities with COI are privately owned, which requires DHS to work closely with the private sector to assess risks, implement protective programs, and measure effectiveness.

This Plan updates, as appropriate, the goals, activities, and metrics described in the FY 2018 (18) Plan.³ These are summarized in Table ES.2. Results of several DHS actions to implement activities from the FY18 Plan are highlighted below. DHS:

- Continued to engage with Federal agencies and departments; State, local, tribal, and territorial agencies and departments; industry associations and business groups; labor organizations; and community and other interest groups. DHS presented CFATS

¹ In Section 550 of the Department of Homeland Security Appropriations Act of 2007, Public Law 109-295, Congress authorized the Department of Homeland Security to issue interim final regulations to regulate the security of high-risk chemical facilities.

² 6 U.S.C. § 621(2).

³ In March 2015, the Department developed the original Outreach Implementation Plan detailing goals, action items, and milestones through FY 2016 (16) and released updated plans in FY17 and FY18.

information as a speaker or hosted an exhibit booth at more than 600 meetings, conferences, webinars, and other events in FY18.

- Identified and began engagement with industry segments that previously have had limited contact with the Department to identify additional potential chemical facilities of interest (P-CFOI). Industries include academia, healthcare, laboratories, wineries, breweries, fisheries, hatcheries, water remediation, hazardous material handlers, semiconductors, and paints and coatings, among others.
- Compared 16 databases with existing Top-Screen submissions and identified 439 facilities as P-CFOI.
- Completed rollout of the Chemical Security Assessment Tool (CSAT) 2.0. In FY18, more than 8,800 facilities submitted Top-Screens in CSAT 2.0, and nearly 1,300 of these are new facilities that had not previously submitted a Top-Screen to DHS.
- Released 216 compliance assistance items, including frequently asked questions and fact sheets on CFATS risk tiering methodology, Shipping and Receiving COI, Reporting a CFATS violation, and personnel surety and other Risk Based Performance Standards.⁴
- Hosted the first series of DHSChemSecurityTalks in Oakland, California; Chicago, Illinois; and Philadelphia, Pennsylvania with more than 300 total attendees. These three, one-day regional events connected industry owners and operators, key government officials, first responders, and law enforcement to learn about their regional regulatory and voluntary resources, best practices, and threat environment.
- DHS determined that the three goals set by the 2015 Plan remain relevant through FY19 and updated them to reflect the progress the Department has made to date. DHS will continue its efforts to identify CFOI and to ensure broad availability of resources to assist with program compliance. The Department updated the activities and metrics as appropriate.

⁴ Other compliance assistance materials include information shared with the first responder and emergency management community, such as the Infrastructure Security Partnership Bulletin, EPA State Emergency Response Commission/Tribal Emergency Response Commission (SERC/TERC) newsletters, National Grid updates, PowerPoint presentations, and CFATS Quarterly newsletters.

ES.2 Summary of DHS FY18 Goals, Activities, Status, and Metrics

GOAL 1: Continue DHS efforts to identify chemical facilities of interest.

Table ES1. Status through FY18 for Goal 1

Planned Activities	Status Through FY18
1.1 Conduct regular outreach with Federal, State, local, tribal, and territorial regulatory agencies to identify datasets containing information on potential chemical facilities of interest (P-CFOI).	DHS finalized procedures for obtaining and conducting crosswalks in FY18. Datasets are collected and comparisons are completed on a regular basis. Future activities will continue the work already conducted by DHS to crosswalk CFATS data with the Environmental Protection Agency (EPA) Risk Management Program (RMP) data, as this dataset has been determined to have the highest correlation to the CFATS population. In FY18, 16 datasets were compared with CFATS data to identify P-CFOIs.
1.2 Conduct outreach with industry segments that might contain potentially covered facilities.	In FY18, DHS conducted outreach to industry segments, such as water parks and pools, paper and pulp manufacturers and processors, motor racing, warehouses, and third-party storage facilities.
1.3 Monitor open source information for reports on chemical facilities and analyze data.	As of September 2018, the Department monitored open source information on incidents and has identified 115 facilities warranting further analysis. From these 115 facilities, the Department ultimately received 34 Top-Screens, resulting in the identification of 8 CFATS facilities determined to be high-risk. Since 2015, DHS has received 272 tips. Ten tips have resulted in the identification of chemical facilities of interest that led to the registration of 17 new facilities. In FY18, DHS received 61 tips that resulted in the registration of 3 facilities. This is down slightly from FY17 when DHS received 69 tips that resulted in 4 facilities registering with DHS.
1.4 Continue the rollout of the Chemical Security Assessment Tool (CSAT) 2.0 ⁵	Rollout of CSAT 2.0 was completed successfully in FY18.
Metrics to Assess Progress ⁶	Status Through FY18
A. Number of available datasets comparisons completed.	In FY18, DHS completed comparisons of 16 datasets; comparisons are completed on a regular basis as datasets are collected.
B. Number of facilities identified as P-CFOI through dataset comparisons.	In FY18, DHS identified 439 facilities as P-CFOIs through dataset comparisons.

⁵ The Department will not renew Activity 1.4 in FY19 because the rollout of the tool has been completed.

⁶ In FY18, the Department revised the metrics for all three Goals to report the actual number rather than a percentage increase or decrease. The Department believes that variation in the numbers for the majority of the metrics—whether it is Top-Screen submissions, Help Desk calls, CFATS Website or Knowledge Center usage—are affected by a number of factors, including revision of the risk-assessment and tiering methodology, changes to the reporting tool, number of facilities identified and coming into compliance with the program, programmatic changes and streamlining efforts, compliance assistance activities, and targeted outreach activities. As potential chemical facilities of interest become familiar with the program and the reporting process, there may be a decrease in requests for assistance as users' utility for CFATS compliance assistance materials and information on education and training diminishes.

Metrics to Assess Progress	Status Through FY18
<p>C. Number of first-time Top-Screen submissions.</p>	<p>In FY18, 8,816 facilities submitted 10,532 Top-Screens; of these, 1,269 facilities submitted Top-Screens for the first time. Since the rollout of CSAT 2.0 in October 2016, 30,260 facilities have submitted 38,244 Top-Screens, with 3,013 being new facilities. The Department believes that the decrease in the number of Top-Screen submissions in FY18 is affected by a number of factors, foremost of which is that most facilities that were required to submit a CSAT 2.0 Top-Screen had submitted the Top-Screen in FY17. There is likely to be diminishing returns on investment across different approaches.</p>
<p>D. Number of Help Desk calls.</p>	<p>In FY18, the Department received 19,885 Help Desk calls from registered facilities; this is a decrease from 29,659 calls in FY17. The Department believes that variation in the number of Help Desk calls is affected by a number of factors, such as increase in information posted to the CFATS website, rollout of the revised CSAT 2.0, and compliance assistance activities.</p>
<p>E. Maintain regular contact with State, tribal, and local officials.</p>	<p>Since 2014, the Department has focused on contacting 14 types of State and local officials⁷—more than 700 offices and 1400 Local/Tribal Emergency Planning Committees (LEPCs/TEPCs)—in the 50 U.S. states, District of Columbia, and 5 territories. In FY18, DHS contacted more than 350 of these State and local officials and nearly 850 LEPCs. Accounting for all outreach, DHS contacted more than 1,800 State and local government agencies, first responders, and law enforcement. For contact numbers with specific types of State and local officials, please see Appendix A.</p>

⁷ These officials do not exist in every State and locality. DHS identifies and contacts other officials who are performing similar functions, as applicable.

GOAL 2: Expand availability of CFATS compliance assistance materials and information on education and training.

Table ES2. Status through FY18 for Goal 2

Planned Activities	Status Through FY18
<p>2.1 Review and make accessible existing CFATS educational and training materials.</p>	<p>The Department continues to review existing materials for completeness, accuracy, and usability. A catalog of available materials and presentations can be found in Appendix D of this plan. DHS continues to utilize multiple avenues to increase sharing of resources, such as the CFATS Help Desk, the CFATS Knowledge Center, and compliance assistance visits. DHS has added multiple webpages to enhance web presence and provide in-depth program information.</p>
<p>2.2 Develop new materials and resources to assist with compliance and information sharing, as appropriate.</p>	<p>In November 2017, DHS solicited stakeholder feedback and input on new materials. DHS continues to demonstrate openness to receiving feedback on outreach materials year-round. DHS will evaluate the need to translate materials into Spanish and other languages, as well as develop new materials and presentations as it conducts outreach with industry segments that have received less outreach in the past.</p>
Metrics to Assess Progress	Status Through FY18
<p>F. CFATS website usage. G. CFATS Knowledge Center usage.</p>	<p>DHS received 39,997 visits to the CFATS website and 299,749 visits to the Knowledge Center in FY18. Visits to the CFATS website are 65 percent higher than FY17, while visits to the Knowledge Center are nearly 2,000 percent higher than FY17. CFATS website and Knowledge Center usage can be affected by a number of factors, including a change in CFATS population, release of program updates, and an increase in outreach efforts by our chemical inspectors and headquarters staff. Further, in FY18, the Department redesigned the Knowledge Center to make it more user friendly, which has likely contributed to the increased traffic.</p>
<p>H. Number of CFATS compliance assistance materials and educational information developed and/or updated.</p>	<p>In FY18, DHS developed or updated 27 Frequently Asked Questions (FAQ) and 33 Fact Sheets. Due in part to the redesign of the Knowledge Center, the number of FAQs is a decrease from FY17. However, the number of updated and new fact sheets is almost twice as much as FY17.</p>

GOAL 3: Continue stakeholder engagement to raise awareness of CFATS requirements and compliance resources and to gather input to make program improvements.

Table ES3. Status through FY18 for Goal 3

Planned Activities	Status Through FY18
<p>3.1 Leverage existing public and private stakeholder relationships.</p>	<p>DHS continuously engages with Federal agencies and departments; State, local, tribal, and territorial agencies and departments; industry associations and business groups; labor organizations; and community and other interest groups to distribute CFATS information. From program inception, DHS has made more than 3,500 presentations with our regulated community and attended more than 16,600 meetings with our Federal, State, local, and industry stakeholders. In FY18, DHS engaged with 15 new industry organizations in several industries that DHS had not previously contacted. A select listing of the stakeholder community DHS has engaged is included in Appendix E.</p> <p>Additionally, the CFATS program continues to partner across the Infrastructure Security Division, including the regions, to leverage networks of these programs for outreach, engagement, and distribution of educational information and materials.</p>
<p>3.2 Continue to identify opportunities for outreach and engagement with a diverse group of stakeholders.</p>	<p>DHS continues to develop engagement opportunities with the regulated and potentially regulated communities, including conferences and other speaking engagements, informational meetings, listening sessions, webinars, exhibit booths, and tours of industry facilities. DHS compiles and reviews the list of potential outreach engagement opportunities on a regular basis and shares opportunities for joint participation within the Infrastructure Security Division and with Federal partners. The Department presented CFATS information as a speaker or hosted an exhibit booth at more than 600 meetings, conferences, webinars, and other events in FY18, about a 40 percent increase from FY17.</p> <p>The Department also continues to play a leadership role and engage in activities that encourage a global culture of chemical security. DHS co-chairs the Chemical Security Working Group of the G7 Global Partnership Against the Spread of Weapons and Materials of Mass Destruction and co-hosted a Global Congress on Chemical Security and Emerging Threats in October 2018.</p>
<p>3.3 Cosponsor the Chemical Sector Security Summit with the Chemical Sector Coordinating Council and hold stakeholder meetings.</p>	<p>The Department and the Chemical Sector Coordinating Council (CSCC) agreed to move the Summit to a biennial schedule, with the next event slated for the summer of 2019. To ensure an annual touchpoint with Chemical Sector stakeholders, the Department hosted DHSChemSecurityTalks—one-day regional events—during the summer of 2018 in Oakland, California; Chicago, Illinois, and Philadelphia, Pennsylvania, with a total of 309 attendees. Sessions addressed regulatory developments and best practices, physical and cyber threats to the Chemical Sector, countering the malicious use of drones, engaging with regional staff, cybersecurity capabilities, and voluntary programs available to chemical facility owners and operators.</p>
<p>3.4 Maintain availability of current CFATS information online and in print media.</p>	<p>The CFATS Communications Strategy outlines the public affairs goals the Department has laid out to support the CFATS mission: obtain reauthorization of the CFATS Act of 2014, identify P-CFOI, provide programmatic updates, and develop an improvised explosive device precursors approach. The strategy details activities to reach key audiences and enhance their knowledge related to the CFATS program.</p>

Planned Activities	Status Through FY18
<p>3.5 Implement a systematic approach for soliciting feedback on outreach.</p>	<p>DHS received approval from the Office of Management and Budget to collect information in September 2016⁸ and implemented the questionnaire in the first quarter of FY17 for select activities. Since the implementation of the questionnaire, DHS received 72 responses but not all questions were answered. Of the 67 who responded to the questions, 97 percent reported that the CFATS information received was current and relevant, and 87 percent reported that the CFATS information will effectively inform their decision-making regarding chemical facility safety or security.</p>
Metrics to Assess Progress ⁹	Status Through FY18
<p>I. Number of speaking engagements and participation in exhibit booths.</p>	<p>DHS presented CFATS information as a speaker or hosted an exhibit booth at 628 meetings, conferences, webinars, and other events in FY18.¹⁰</p>
<p>J. Number of introductions facilitated by CFATS Regional staff between Infrastructure Security Division regional representative and a covered CFATS facility.¹¹</p>	<p>In FY17, the Department initiated a pilot program in Region IV to deliver Infrastructure Security Division voluntary program capabilities, security preparation and preparedness programs to CFATS covered facilities. In FY18, DHS introduced voluntary program information to 1,948 facilities across all regions.</p>
<p>K. Number of Compliance Assistance Visits (CAVs) completed.</p>	<p>1,444 in FY18.</p>
<p>L. Positive feedback from DHS ChemTalks participants with a majority of attendees indicating that they are better informed about CFATS at the end of the event.</p>	<p>Of the 309 attendees to the DHS ChemTalks, 47% of attendees provided feedback:</p> <ul style="list-style-type: none"> • 92% indicated they would like to attend future events. • 96% indicated that the information provided was current and relevant. • 96% indicated that the information provided will contribute to the organization’s security improvements and preparedness planning.
<p>M. Number of CFATS-related mentions in the media.</p>	<p>195 CFATS mentions (blogs and articles in news and trade publications) in the media in FY18, an increase from 113 in FY17.</p>
<p>N. Positive responses collected via stakeholder feedback questionnaire.</p>	<p>The Department distributes the questionnaire via a web link which can be forwarded or shared multiple times; therefore, the Department does not know how many received the questionnaire. In FY18, DHS received 10 responses.¹² Of the 10 responses, 100 percent reported that the CFATS information received was current and relevant, and 90 percent reported that the CFATS information will effectively inform their decision-making regarding chemical facility safety or security.</p>

⁸ U.S. Office of Management and Budget Control Number 1670-0027, Expiration Date 01/31/21.

⁹ DHS removed a metric that tracked the number of stakeholders that post a CFATS link on their website (previously Metric L in the FY17 Plan). DHS determined that it is not an effective metric to measure the Department’s progress in continuing stakeholder engagement since there are many factors outside of the Department’s control that can influence a stakeholder’s decision to post information on their website.

¹⁰ In FY18, DHS changed its methodology for reporting this metric to include participation by HQ and regional staff at all types of speaking engagements (conferences, webinars, meetings, and booths). Data reported for FY14 through FY17 included HQ and regional participation at conferences and booths only.

¹¹ New metric in FY18.

¹² DHS is evaluating the circumstances that might contribute to the low response rate, such as the length of the questionnaire, web-based distribution method and accompanying instructions, and whether the most appropriate point of contact is receiving the request.

1. Introduction

In December 2014, President Obama signed into law the *Protecting and Securing Chemical Facilities from Terrorist Attacks Act of 2014* (the CFATS Act of 2014), Public Law 113-254 (6 U.S.C. 621 et seq.), establishing a multi-year authorization for the Chemical Facility Anti-Terrorism Standards (CFATS) program. During the legislative process, Congress worked closely with the U.S. Department of Homeland Security (DHS or the Department) and chemical security stakeholders. The CFATS Act of 2014 reauthorizes the CFATS program and adds new provisions while preserving most of the existing CFATS regulations. The CFATS Act of 2014 authorizes the program for four years, which minimizes uncertainty and provides stability to the program, giving industry the confidence needed to plan for and invest in CFATS-related security measures.

The four-year authorization for CFATS is set to expire in January 2019. DHS is working with Congress on the bill that will reauthorize the program.

6 U.S.C. § 629 instructs DHS to establish an outreach implementation plan (Plan) in coordination with relevant Federal and State agencies, business associations, and public and private labor organizations to:

- (1) Identify chemical facilities of interest;¹³ and
- (2) Make available compliance assistance materials and information on education and training.

On March 18, 2015, the Department released the 2015 Plan, which identified goals, action items, milestones, and metrics to measure progress through fiscal year (FY) 2016 (16).¹⁴ The Department recognizes the invaluable contributions of the stakeholder communities that contributed ideas and input to the FY15 Plan.¹⁵ The Department released updated plans in FY17 and FY18.

This document updates goals, activities, and metrics set in the FY18 Plan through FY19. This document will be reviewed and updated annually to correspond with the start of a new fiscal year. The Department looks forward to continuing to work with its stakeholders in FY19 to increase compliance with the CFATS requirements and raise awareness of available educational materials.

¹³ The CFATS Act of 2014 defines a “chemical facility of interest” as “a facility that ... holds, or that the Secretary has a reasonable basis to believe holds, a chemical of interest, as designated under Appendix A to part 27 of title 6 Code of Federal Regulations, or any successor thereto, at a threshold quantity set pursuant to relevant risk-related security principles and ... is not an excluded facility.” 6 U.S.C. § 621(2).

¹⁴ Since the inception of the CFATS program, the Department has expended significant resources on various efforts to identify potentially high-risk chemical facilities and ensure that facilities holding threshold quantities of COI submit Top-Screens to the Department as required by 6 CFR Part 27. These efforts have taken a variety of forms, including collaboration with Federal, State, and local partners; data mining and data analysis; and follow-up investigations from tips and incidents. This document serves as an action plan to conduct outreach activities in support of the DHS effort to better identify CFOI, as well as general CFATS outreach and awareness activities.

¹⁵ These stakeholders included Federal partner departments and agencies (Agriculture, Commerce, Energy, Health and Human Services, Homeland Security, Justice, Labor, Transportation, and Environmental Protection Agency); State/regional partners (National Association of State Title III Program Officials); industry organizations (Chemical Sector Coordinating Council, Critical Manufacturing Sector Coordinating Council, Emergency Services Sector Coordinating Council, Food and Agriculture Sector Coordinating Council, Oil and Natural Gas Sector Coordinating Council, and U.S. Chamber of Commerce); labor organizations (International Chemical Workers Union, International Brotherhood of Teamsters, and United Steelworkers); and environmental organizations (Greenpeace).

2. Background

In Section 550 of the Department of Homeland Security Appropriations Act of 2007, Public Law 109-295, Congress authorized DHS to issue interim final regulations to regulate the security of high-risk chemical facilities. The CFATS Act of 2014 maintains the effectiveness of those regulations and supplants Section 550 to provide DHS with authority to regulate high-risk chemical facilities. DHS collects information from chemical facilities in stages to make the determination as to whether a facility is high-risk and should be regulated under the CFATS program. Through the Top-Screen survey tool, a facility provides the Department with basic information, such as facility location and types and quantities of chemicals of interest (COI) onsite, so that a determination as to whether a facility is high-risk can be made.¹⁶

The CFATS-regulated community is expansive and dynamic. The range of industries that CFATS covers includes, but is not limited to, chemical and petrochemical manufacturing, storage and distribution, energy utilities, agriculture and food, paints and coatings, explosives, mining, electronics, plastics, semiconductors, and healthcare, among others. CFATS facilities can include oil drilling sites, wineries and breweries, water parks and pools, fisheries and hatcheries, and motor racing. DHS strives to obtain complete and accurate reporting from all chemical facilities of interest (CFOI).

Like many regulatory programs, the CFATS regulatory program relies upon facilities to self-report. When the CFATS program was initiated, extensive outreach was conducted at the national, State, and local levels to inform potentially regulated entities of the requirements under CFATS and to encourage affected facilities to submit Top-Screens. This outreach has continued throughout the program's implementation. Since 2007, the Department has delivered more than 3,500 presentations and conducted more than 16,600 meetings with regulated facilities; Federal, State, and local officials; and industry organizations. As of October 1, 2018, DHS has conducted 3,853 authorization inspections and 3,890 compliance inspections; and has approved 3,234 Site Security Plans (SSPs) and Alternative Security Programs (ASPs). In addition, 17 facilities have chosen to implement Expedited Approval Program SSPs. DHS also conducted approximately 4,889 Compliance Assistance Visits (CAVs). In total, DHS has received 90,207 Top-Screen submissions from inception of the program, with CFATS covering 3,370 high-risk chemical facilities.

The Department believes most facilities holding threshold quantities or concentrations of CFATS COI have met their Top-Screen reporting requirements; however, it remains likely that some facilities have not yet met their obligation to submit a Top-Screen. In some cases, this may be the result of a lack of knowledge about the CFATS program on the part of certain facilities; in other cases, it may be that facilities have chosen willfully to avoid their reporting obligations. From the inception of the CFATS program in 2007, DHS has recognized the limitations inherent with facilities self-reporting the possession of COI and understood that programs, processes, and procedures were required to ensure identification of such CFOI.

In May 2013, DHS developed an "Expanded Outreach and Engagement Strategy" (Strategy) with the goals of raising awareness of the requirements of CFATS to prioritized segments of the stakeholder community and increasing the number of facilities that submit Top-Screens. Further,

¹⁶ In fall of 2016, the Department revised the Top-Screen survey tool. The new tool, CSAT 2.0, streamlines the process and substantially reduces time required for a facility to submit a Top-Screen. The new tool has garnered extensive positive feedback from industry.

Executive Order (EO) 13650: *Improving Chemical Facility Safety and Security*,¹⁷ issued in August 2013, reiterated the importance of working across the spectrum of public and private stakeholders to improve chemical facility safety and security. The collaboration between DHS and its Federal partners has led to the development of recommendations for improving interactions, sharing best practices, and reducing overall risks through information sharing, training, and the development of tools and resources to assist State and local emergency planning and response organizations, private industry, and interest group stakeholders. In FY19, the Working Group for Chemical Facility Security and Safety and its regional counterparts will continue to increase and improve coordination, collaboration and outreach to public and private stakeholders.

This Plan, as its predecessors, builds on the prior work of the May 2013 Strategy. It is also informed by and supports existing infrastructure security and resilience policy and strategies, including:

- 2016 *National Protection Framework*, which provides the unifying principles and strategies required to safeguard the Nation against acts of terrorism and manmade or natural disasters. It describes the core capabilities, roles, responsibilities, and coordinating structures that facilitate the protection of individuals, communities, and the Nation as a whole.
- *National Protection and Programs Directorate (NPPD) FY 2018 Stakeholder Engagement Plan*, which provides a unified and consistent stakeholder engagement strategy to ensure cohesion, unity, and consistency across Cybersecurity and Infrastructure Security Agency (CISA) entities.¹⁸

3. Plan Goals, Activities, Milestones, and Metrics

DHS determined that the three goals set by the 2015 Plan remain relevant through FY19 and updated them to reflect the progress the Department has made to date. DHS will continue its efforts to identify CFOI and to ensure appropriate resources to assist with program compliance are broadly available.

Goal 1: Continue outreach in support of DHS efforts to identify chemical facilities of interest.

Goal 2: Expand availability of CFATS compliance assistance materials and information on education and training.

Goal 3: Continue stakeholder engagement to raise awareness of CFATS requirements and compliance resources and to gather input to make program improvements.

Goal 1: Continue outreach in support of DHS efforts to identify chemical facilities of interest.

The FY18 Plan included four activities in support of Goal 1. While the Department will continue to engage in the three activities discussed below in FY19, DHS will not renew Activity 1.4: Continue

¹⁷ Executive Order 13650, 78 Fed. Reg. 48029 (Aug. 7, 2013), available at <https://www.osha.gov/chemicalexecutiveorder/index.html>.

¹⁸ On November 16, 2018, the President signed the Cybersecurity and Infrastructure Security Agency Act of 2018 into law, officially changing the name of the National Protection and Programs Directorate (NPPD) to the Cybersecurity and Infrastructure Security Agency (CISA). This document title had not been updated at release of this Plan.

the rollout of the Chemical Security Assessment Tool (CSAT) 2.0 because the rollout of the tool has been successfully completed.

In the fall of 2016, the Department revised the Top-Screen survey tool and began notifying facilities that had previously reported COI to the Department to submit a CSAT 2.0 Top-Screen.¹⁹ The Department contacted facilities that have been notified but did not complete a Top-Screen to remind them that a facility that maintains a COI at or above the screening threshold quantity (STQ) must submit a Top-Screen, unless the facility is otherwise excluded from CFATS. As part of the rollout, the Department has conducted outreach with these facilities through telephone, email, and site visits to confirm chemical holdings and provide information on reporting requirements, since some of these facilities last reported their holdings in 2008. DHS also has held live demonstrations of the revised tool in five cities across the country and webinars on tiering.

Since the rollout of CSAT 2.0 in October 2016, 30,260 facilities submitted Top-Screens, with 3,013 being new facilities. Of these, 335 facilities have been determined to be high-risk. In FY18, 8,816 facilities submitted Top-Screens. Of these, 1,269 facilities submitted Top-Screens for the first time, and 184 facilities have been determined to be high-risk.²⁰

To accomplish Goal 1, DHS will continue to engage in the three activities below:

Activity 1.1: Conduct regular outreach with Federal, State, local, tribal, and territorial regulatory agencies to identify datasets containing information on potential chemical facilities of interest (P-CFOI).

The Department has conducted a number of efforts targeted at identifying facilities that likely should have filed a Top-Screen but have not done so to date, also known as P-CFOI. Key historical projects and activities aimed at identifying such facilities have taken a variety of forms, including collaboration with Federal, State, and local partners; data mining and data analysis; and follow-up investigations from tips and incidents. The Department will continue its work with Federal, State, local, tribal, and territorial officials to identify and obtain datasets, if available, containing information on facilities with chemicals to compare with the existing Top-Screen submissions.

DHS codified procedures for obtaining and conducting crosswalks in FY18. Future activities will continue the work already conducted by DHS to crosswalk CFATS data with the Environmental Protection Agency (EPA) Risk Management Program (RMP) data, as that has been determined to be the Federal regulatory dataset with the highest correlation to the CFATS population. The Department plans to analyze the EPA RMP data annually.

DHS will continue its efforts to systematically coordinate with regional Federal partners and State regulatory representatives across the country to share chemical facility information for their areas of responsibility and to identify potential State lists that may warrant comparison with the CFATS Top-Screen data.

¹⁹ DHS rolled out an enhanced tiering methodology in FY17 to better identify high-risk facilities. All facilities that had previously submitted Top-Screens and still possessed COI at the screening threshold quantity (STQ) resubmitted an updated Top-Screen using the streamlined online surveys CSAT 2.0. Some facilities that were previously not covered under CFATS are now covered, and some previously covered facilities are no longer considered high risk. Some of the tiering changes were a result of changes to the tiering methodology, while many changes in tier were the result of changes facilities made themselves, including adding new chemicals, reporting different quantities, removing COI, or modifying their storage methods (e.g., location or packaging size/type).

²⁰ At the end of FY18, there were a total of 3,370 high-risk chemical facilities.

- Federal Partners: EPA; Occupational and Safety Administration (OSHA); Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF); Federal Bureau of Investigation (FBI); Department of Transportation (DOT).
- State Regulatory Offices: Environmental Protection/Quality; Occupational Health; Food and Agriculture; Chemist; Plant Food Control; Pesticide; Fertilizer.²¹

The Department will especially continue sustained outreach to State, territorial, tribal, and local officials in the emergency planning and response community to leverage their knowledge of local facility operations for identifying additional P-CFOI.

- State, Tribal, and Local Offices: Homeland Security; Fire Marshal; First Responder and Emergency Manager; Public Safety; State Emergency Response Commission (SERC); Tribal Emergency Response Commission (TERC); Local Emergency Planning Committee (LEPC); Tribal Emergency Planning Committee (TEPC).

Starting in FY18, DHS began conducting outreach with State officials once a year and with LEPCs and TEPCs at least once every three years. (See [Appendix A](#) for the outreach the Department conducted with State and local officials to date.) By the second quarter of FY19, for 25 percent of tiered facilities, the Department will also contact LEPCs with the highest population of high-risk facilities in their jurisdiction. This outreach will be to 102 LEPCs in 45 counties representing 870 facilities; a complete list can be found in [Appendix B](#).

As previously stated, the analysis of datasets is labor intensive. However, the Department is working to make the process more automated over time and will assess the appropriate frequency for repeating the analysis for different State or local datasets once more datasets are received and analyzed.

While contacting State, tribal, and local officials to conduct data comparisons, DHS also engages these representatives to raise awareness of CFATS requirements and compliance, and to provide additional resources as described in Goal 3 of this Plan. Outreach could include meetings focused on CFATS activities, emails distributing recent CFATS program updates and materials, interactions at regional events or conferences, or other activities carried out in partnership with the Department's Infrastructure Security Division voluntary programs.

Activity 1.2: Conduct outreach with industry segments that might contain potentially covered facilities.

DHS used CFATS facility data, North American Industry Classification System (NAICS) codes,²² and other open source data to identify industries that regularly use COI at threshold levels. In addition, DHS analyzed past DHS outreach activities to these industries. Based on the review, the Department identified more than 70 industry segments—some of which overlap—that have received less outreach in the past and where research suggests there may be a number of facilities that have not self-reported to DHS. The list can be found in [Appendix C](#).

Using a phased approach, the Department in FY17 conducted outreach and engagement with a set of industry segments in the areas of academia, laboratories, healthcare, wineries, breweries, fisheries and hatcheries, remediation, and water filtration, among others. In FY18, DHS added

²¹ These officials do not exist in every State. DHS identifies and contacts other officials who are performing similar functions, as applicable.

²² Government, industry, and other entities use NAICS codes to categorize business establishments by economic sectors (i.e., agriculture, forestry, fishing, and hunting; manufacturing; transportation and warehousing; mining; utilities; hospitals; colleges and universities, etc.). A chemical facility submitting its Top-Screen through the Chemical Security Assessment Tool 2.0 (CSAT) must self-identify by a NAICS code.

water parks and pools, paper and pulp manufacturers and processors, motor racing, and warehouses and third-party storage facilities, while engaging with other industry segments as opportunities and resources become available. DHS leveraged Federal partners as well as national, State, and local industry organizations to identify best strategies and opportunities to raise awareness of CFATS requirements and compliance, and provide additional resources as described in Goal 3 of this Plan.

DHS assessed the outreach and engagement with the initial set of industry segments. As a result of FY17 and FY18 outreach efforts, DHS determined that:

- Small to medium size wineries, breweries, and water parks and pools generally do not possess COI at or above STQ; however, DHS will continue to engage and share information as appropriate and to large stakeholders.
- Possession of COI among fisheries and hatcheries is ad hoc; DHS will continue outreach in certain regions and as opportunities arise.
- Academic facilities that calculate STQ of COI by individual academic buildings frequently fall below the STQ and thus are not covered under CFATS. DHS will continue to engage with the academic community as opportunities arise.
- Possession of COI among healthcare and remediation facilities is ad hoc; DHS will continue outreach as appropriate.
- A vast majority of water filtration and treatment facilities are excluded from the CFATS regulation as a treatment works under the Federal Water Pollution Control Act or a Public Water System under the Safe Drinking Water Act. DHS will continue to engage as appropriate.
- Outreach to motor racing, paper and pulp manufacturers and processors, laboratories, and warehouses and third-party storage facilities should be continued in FY19.

In FY19, DHS will conduct outreach with additional industry segments that are not considered traditional chemical facilities, but may possess COI at or above STQ and may not have self-reported to DHS:

- Glass and glass products manufacturing;
- Propane distribution;
- Plastics manufacturing;
- Grain and oilseed milling;
- Frozen food manufacturing;
- Dairy product manufacturing;
- Animal slaughtering and processing;
- Agriculture co-ops; and
- Soap, cleaning compound, and cosmetics manufacturing.

DHS selected these based on the prevalence of COI used in the industry and the discovery throughout FY18 of P-CFOI facilities in these industries.

In addition, the Department studies how COI moves through in the supply chain to identify and reach possible underrepresented communities with chemical facilities of interest. In FY17, DHS coordinated with industry to develop and distribute a flyer that industry can leverage to distribute

CFATS information through the supply chain. The plain-language, easily printed flyer can be included voluntarily in every shipment that contains a CFATS COI and refers the purchaser to the CFATS webpage for more information. Similarly, in FY18, the Department worked with industry to distribute nitromethane, propane, and anhydrous ammonia flyers that highlight COI STQ and CFATS responsibilities. Also in FY18, the Department partnered with U.S. Customs and Border Protection (CBP) to obtain access to CBP’s import data. In FY19, the Department will explore the value of comparing COI and corresponding quantities against CBP’s import data and will continue to look for other data sources to help inform future outreach priorities and partnership efforts.

Activity 1.3: Monitor open source information for reports on chemical facilities and analyze data.

The Department will continue to follow-up on information regarding chemical facilities found through monitoring open source articles and reporting on facilities, incident information shared with Chemical Security Inspectors in the field, and information reported through the CFATS Tip-Line.²³ When the Department receives a report of an incident—typically through the National Infrastructure Coordinating Center (NICC) or a Chemical Security Inspector incident report— involving a CFATS COI at a facility that has not submitted a Top-Screen, the Department analyzes open source information to assess the likelihood that the facility possesses a threshold level of COI. If, based on this open source research, the Department believes the facility is likely to have a threshold level of COI, it will contact the facility. Through this approach, as of September 2018, the Department reviewed open source information following incidents and has identified 115 facilities warranting further analysis. From these 115 facilities, the Department ultimately received 34 Top-Screens, resulting in the identification of 8 CFATS facilities determined to be high-risk.

Individuals may also anonymously report potential security issues to DHS regarding the CFATS program through the CFATS Tip Line at 877-394-4347, via email at CFATSTips@hq.dhs.gov, or through U.S. mail. In June 2015, the Department supplemented the telephone message center with a CFATS Tips email address. Facility information received is reviewed and acted upon as appropriate. Since 2015, DHS has received 272 tips.²⁴ Ten tips have resulted in the identification of chemical facilities of interest, which led to the submission of new Top-Screens for 17 facilities. In FY18, DHS received 61 tips—54 via phone, 6 via email, 0 via U.S. mail, and 1 via in-person verbal communication with DHS personnel—that resulted in the registration of 3 facilities.

Table 1 represents progress that DHS has made in meeting five metrics for Goal 1.

Table 1. Progress on meeting metrics for Goal 1

Metric	FY14	FY15	FY16	FY17	FY18	Notes
A. Number of available dataset comparisons completed.	3 datasets	6 datasets	14 datasets	23 datasets	16 datasets	Since program inception, more than 40,000 data points have been compared. Comparisons are completed on a regular basis as datasets are collected.

²³ Individuals may anonymously report a possible security concern regarding the CFATS program to DHS through the Tip-Line at 877-394-4347 or CFATSTips@hq.dhs.gov.

²⁴ This does not take into account any hang-ups, telemarketer calls or emails, unintelligible calls, calls requesting the Tip line number or Tip line email address, or other similar calls and emails received by the Department through the CFATS Tip Line call number or email box.

Metric	FY14	FY15	FY16	FY17	FY18	Notes
B. Number of facilities identified as P-CFOs through data comparisons.	3,587	1,067	1,710	519	439	The number of dataset comparisons, and therefore the number of identified facilities, were smaller in FY18 than in previous years. The Department scaled back analytical efforts to focus on standardizing internal processes and procedures for conducting data comparisons and analysis, as well as on training staff to implement them.
C. Number of first-time Top-Screen submissions.	793	823	660	1,744	1,269	The Department believes that variation in the number of Top-Screen submissions is affected by a number of factors, foremost of which is that most facilities that were required to submit a CSAT 2.0 Top-Screen had submitted the Top-Screen in FY17.
D. Number of Help Desk calls.	11,150	10,540	7,999	29,659	19,885	The Department believes that variation in the number of Help Desk calls is affected by a number of factors, such as an increase in information posted to the CFATS website, rollout of the revised CSAT 2.0, and compliance assistance activities.
E. Maintaining regular contact with State, tribal, and local officials.	Since 2014, the Department contacted 14 types of State and local officials—more than 1800 offices and 1400 Local/Tribal Emergency Planning Committees—in 50 U.S. states and 5 territories. For contact numbers with specific types of state and local officials, please see Appendix A .					Starting in FY18, DHS began conducting outreach with State officials once a year and with LEPCs and TEPCs at least once every three years. By the second quarter of FY19, for 25 percent of all tiered facilities, the Department will also contact LEPCs with the highest population of high-risk facilities in their jurisdiction.

Goal 2: Expand availability of CFATS compliance assistance materials and information on education and training.

To accomplish Goal 2, DHS will continue to engage in the two activities below:

Activity 2.1: Review and make accessible existing CFATS educational and training materials.

The Department continues to review existing materials for completeness, accuracy, and usability. For example, the Department continues to simplify the technical language in existing materials to make them more accessible to potential stakeholders unfamiliar with CFATS. In addition, the

Department created Spanish versions of select fact sheets. A catalog of available materials, including those in Spanish, and presentations can be found in [Appendix D](#).

Accessibility of educational information, materials, and publications is critical to the implementation and success of the CFATS program. DHS utilizes a variety of platforms to make compliance assistance materials available to all CFATS stakeholders.

- The Department has added multiple webpages in FY14 through FY18 to enhance web presence and provide covered chemical facilities with more in-depth, detailed information about the CFATS program.
- The Critical Infrastructure: Chemical Security webpage on DHS.gov²⁵ is the primary platform for hosting CFATS-related information, including information on the regulatory program; fact sheets, presentations, and statistics; and a mechanism to request a CFATS presentation, a webinar, or a CAV. The website also contains compliance assistance materials such as the Risk-Based Performance Standards (RBPS) Guide that includes an extensive list of training resources. By the end of the second quarter of FY16, with stakeholders' input as appropriate, DHS revised and strengthened its web organization and content, to include a core page that captured reporting and compliance obligations, programmatic progress, and announcements. Furthermore, in June 2018, DHS rolled out an updated chemical security web structure with updated mapping to make the navigation more user-friendly. The focus was on improving the webpages' logical flow, continuing to update content as needed, while also making information more searchable and accessible. DHS continues to update the webpages with updated information, building new pages to account for new initiatives and incorporating feedback as available.
- The CFATS Help Desk is available for owners and operators to call or email with questions on the CFATS program.²⁶
- The CFATS Knowledge Center includes Frequently Asked Questions (FAQs), fact sheets, and other guidance documents. Articles address issues that need a broader context and explanation than what is easily confined to a specific FAQ. The Knowledge Center is also the place where periodic updates are posted to inform the CFATS universe on programmatic progress and future initiatives. DHS continuously reviews and updates information posted to the center to ensure it is current. In July 2018, the CFATS Knowledge Center was redesigned to provide a user-friendly new look and layout. The entire site structure was updated, and a new Help Section with useful guidance and contact information was added.
- The CFATS Quarterly is a publication that provides CFATS program updates and compliance resources to CFATS-covered chemical facilities. In addition to being sent to all CFOI four times a year, this communication is also available to the public for those that elect to opt-in.²⁷
- Educational and training materials are provided during the CAV that DHS offers to CFATS-covered facilities. The purpose of these visits is to provide in-depth knowledge of and assistance in complying with CFATS.

²⁵ The DHS Critical Infrastructure: Chemical Security webpage can be found at <http://www.dhs.gov/critical-infrastructure-chemical-security>.

²⁶ Contact information for the CFATS Help Desk is available at <http://csat-help.dhs.gov/>.

²⁷ Individuals can opt-in by going to <https://public.govdelivery.com/accounts/USDHS/subscriber/topics>.

- DHS issues advisory opinions to help clarify CFATS rules, whenever appropriate and in the interest of effective administration of the CFATS program. The advisory opinions are often in response to requests from chemical facilities and industry groups.
- The Department co-hosts a national Chemical Sector Security Summit—an educational forum for government and private sector representatives from the chemical community—with the next Summit expected to occur in summer of 2019. In summer of 2018, DHS sponsored the DHSChemSecurityTalks: a series of three, one-day regional workshops that took place in Oakland, California; Chicago, Illinois; and Philadelphia, Pennsylvania. Sessions addressed regulatory developments and best practices, physical and cyber threats to the Chemical Sector, countering the malicious use of drones, engaging with the regional staff, cybersecurity capabilities, and voluntary programs available to chemical facility owners and operators.

DHS continues to explore other avenues to share information and resources with its stakeholders. The National Working Group on Chemical Facility Security and Safety—a national level working group composed of DHS, EPA, OSHA, and ATF representatives—developed and maintains a public website dedicated to sharing information on chemical safety and security and tracking progress on working group activities. The working group also developed tools, trainings, and resources to strengthen SERCs and LEPCs, and issued guidance documents and chemical safety alerts to educate stakeholders on the best practices for compliance, storage, and handling.²⁸

Additional potential avenues to share information through outreach activities—such as speaking engagements, exhibit booths, and webinars—are described in Goal 3.

Activity 2.2: Develop new materials and resources to assist with compliance and information sharing, as appropriate.

In November 2017, DHS requested members of Sector Coordinating Councils (Chemical, Oil and Natural Gas, Food and Agriculture, and Emergency Sector Services) to provide feedback on existing resources and solicited ideas for new materials. DHS regularly discusses new resources with Council members and demonstrates openness to receiving feedback year-round in regards to outreach materials.

The Department continuously seeks to identify and develop new information and materials to assist chemical facilities with CFATS compliance. For example, to help the regulated community understand some of the factors that are considered within the risk tiering methodology and types of items that may impact high-risk status of covered facilities, DHS released a CFATS Tiering Methodology fact sheet. DHS will evaluate the need to develop new materials and presentations as it conducts outreach with industry segments that have received less outreach in the past. In FY18, DHS developed fact sheets and presentations covering what is CFATS Appendix A and how to access and utilize it; CFATS First Steps; Agricultural Production Facilities extension and examples of applications that would and would not be covered; and how CFATS affects particular industry segments (i.e., pulp and paper, laboratories, etc.) with which the Department is conducting outreach and engagement. Some of these fact sheets have been translated into Spanish. The Department will consider new topics as they become identified; all final products are included in [Appendix D](#).

DHS continues to publish determinations, interpretations, opinions, policy statements, and/or other guidance relating to regulatory compliance, as appropriate, to provide clarity on the rule and

²⁸ For the web-based repository, please visit <https://www.osha.gov/chemicalexecutiveorder/LLIS/index.html>.

the CFATS Act of 2014 and to assist owners and operators with implementing CFATS.²⁹ In FY19, the Department plans to distribute these materials via digital delivery mechanism to better track how these materials are used.

Table 2 represents progress that DHS has made in meeting three metrics for Goal 2.

Table 2. Progress on meeting metrics for Goal 2

Metric	FY14	FY15	FY16	FY17	FY18
F. CFATS Website usage	30,566 visits	24,468 visits	17,431 visits	24,201 visits	39,997 visits ^{a,c}
G. CFATS Knowledge Center usage	64,625 visits	12,374 visits	18,992 visits	14,277 visits	299,749 visits ^{a,c}
H. Number of CFATS compliance assistance materials and educational information developed, and/or updated. ^b	212	227	29 FAQs 5 Fact Sheets	56 FAQs 17 Fact Sheets	27 FAQs 33 Fact Sheets

^a Change in number of facilities that come into compliance with the CFATS program as well as outreach by our chemical inspectors and headquarters staff could have an effect on CFATS website and Knowledge Center usage. Through the CSAT 2.0 rollout initiated in FY17, the Department began conducting outreach to new facilities it expected to come into the program. As a result, the traffic to the website increased as chemical facilities came into compliance and experienced a need to learn more about the program.

^b DHS reported total numbers for FY14 and FY15. In FY16, the Department changed its method for tracking this statistic to focus on FAQs and Fact Sheets.

^c In FY18, DHS redesigned the Knowledge Center to make it more user friendly, consolidating and/or removing duplicate information, such as FAQs. Improved design and content has likely increased CFATS website and Knowledge Center use.

GOAL 3: Continue stakeholder engagement to raise awareness of CFATS requirements and compliance resources and to gather input to make program improvements.

To accomplish Goal 3, DHS has undertaken and will continue to engage in the five activities below:

Activity 3.1: Leverage existing public and private stakeholder relationships.

As part of the ongoing outreach efforts, DHS continues to recognize stakeholders as essential partners in raising awareness of CFATS and its requirements. DHS conducts outreach to members of the chemical industry, other industries whose members routinely use threshold levels of CFATS COI, and other stakeholders with an interest in chemical facility security. In addition to providing program updates to the regulated community, DHS conducts outreach to raise awareness of CFATS requirements among audiences in possession of COI who may not know about the program or do not realize that the program may be applicable to their facilities. The Department remains committed to fostering relationships with public and private stakeholders at national, regional,

²⁹ Such materials will be published following appropriate review procedures which may, in some cases, include review by The White House Office of Management and Budget.

State, and local levels to achieve this goal. From program inception, DHS has made more than 3,500 presentations with our regulated community and attended more than 16,600 meetings with our Federal, State, local, and industry stakeholders.³⁰

DHS continues to strengthen existing relationships and cultivate new relationships with a broad spectrum of stakeholders, to include:

- **Federal agencies and departments.** The Department regularly attends meetings of the Chemical, Oil and Natural Gas, Food and Agriculture, and Emergency Services Government and Sector Coordinating Councils to learn about opportunities for coordination and to provide updates on the CFATS program. To support the Department’s activities for identifying CFOI (discussed in Goal 1 of this Plan), DHS expanded its relationship with other critical infrastructure sectors in FY18, including Critical Manufacturing and Commercial Facilities, among others. DHS plans to engage with Sector-Specific Agencies, such as Departments of Commerce, Education, Energy, Health and Human Services, and Agriculture, to determine the extent to which they can assist with identifying datasets that contain information on P-CFOIs as well as engagement opportunities with particular industry segments that might contain such facilities.
- DHS works with EPA, OSHA, and ATF on the national and regional levels to improve operational coordination with and support to State and local partners as well as enhance Federal agency coordination and information sharing. Additionally, within DHS, coordination and collaboration with the U.S. Coast Guard continues between the CFATS and Maritime Transportation Security Act (MTSA) programs.
- The CFATS program is coordinating across the Infrastructure Security Division (including the Regions) to conduct outreach and engagement, and distribute educational information and materials through each other’s extensive networks.
 - Regional regulatory and voluntary representatives will continue to identify and coordinate opportunities appropriate for joint engagement, such as a panel presentation that provides best practices on cybersecurity or a booth that shares CFATS fact sheets as well as voluntary training information. Through this coordinated outreach, the Department will provide a more comprehensive and efficient service and may gain access to audiences who would not typically consider themselves to be covered by CFATS but nonetheless may possess COI at the STQ. For example, in FY18, voluntary and regulatory DHS personnel coordinated and executed a Chemical Safety, Security, and Transportation Workshop hosted by the Delaware SERC in Dover, Delaware. This workshop shared information on DHS resources and training, fostered relationships between first responders and industry in advance of an incident, and assisted them in planning for an emergency. Based on feedback provided, the workshop and resources provided were well received and will be used by first responders and industry in emergency planning.

³⁰ Presentations include Federal, State, local, or private sector sponsored events at which a Department representative is asked to provide a presentation or participate on a panel related to chemical facility security regulation. Meetings include meetings with Federal, State, local, or private sector partners in which a Chemical Security Inspector or other representative of the CFATS program participates to better familiarize themselves with other programs and activities, inform stakeholders about CFATS, and harmonize with key stakeholders. This category also includes meetings at CFATS regulated facilities at which Chemical Security Inspectors introduce themselves, meet key facility representatives, provide basic outreach materials, and familiarize themselves with the local regulated community.

- In FY17, the Department initiated a pilot program to deliver Infrastructure Security Division voluntary program capabilities, resources, and security preparation and preparedness programs to CFATS covered facilities in Region IV. Through the pilot program, CFATS regional staff facilitated an introduction between an Infrastructure Security Division regional representative and a covered CFATS facility. The Infrastructure Security Division regional representative then provided a standardized briefing to broaden the facility stakeholders' level of awareness of specific voluntary programs available to further secure their facilities. In FY18, DHS developed a concept of operations that implemented this program across the country. In FY19, the Department will continue the implementation of this program in all 10 regions.
- **State, local, tribal, and territorial agencies and departments, including first responders, SERCs, TERCs, LEPCs, and TEPCs.** In addition to the progress described in Goal 1 of this Plan, the Department made CFATS data available via the IP Gateway Portal to improve data-sharing and emergency planning efforts. Those with the need to know are able to see CFATS facilities in their area of responsibility. The Department will highlight this resource during outreach to first responders and Federal, State, local, tribal, and territorial governments. Further, DHS will make it a priority to raise awareness of the IP Gateway with LEPCs, especially those with the highest population of high-risk facilities in their jurisdiction. (See [Appendix B](#) for the list of these 102 LEPCs.)
- **Industry associations and business groups.** The Department regularly engages with Sector Coordinating Councils in multiple sectors to provide program updates and obtain input from a broad cross-section of private industry by leveraging their communication mechanisms. DHS similarly engages with State chemical councils and State agricultural industry associations. In FY19, the Department will conduct this type of outreach in every State where these organizations operate. To reach new audiences, the Department identifies potential industry segments and conducts outreach with their representative trade and professional associations, and relevant professionals—such as risk managers and safety and security specialists. DHS identified and will conduct outreach in FY19 with a number of likely industry segments that may contain CFOIs, which are discussed in Goal 1 of this Plan.
- **Labor organizations.** The Department meets with interested labor organizations on a quarterly basis to discuss CFATS updates and to solicit input on program issues of interest to labor organizations. As a result of these meetings, DHS has created a flyer on “how to report a CFATS violation.” DHS included language in the online web interface that encourages facilities to include their labor organization in the CFATS planning process.
- **Advocacy groups.** The Department shares program updates and invitations to public listening sessions related to CFATS rulemaking and the Chemical Sector Security Summit with environmental, community, and other interest groups as opportunities arise.

A select listing of the stakeholder community DHS has engaged is included in [Appendix E](#). The Department continues to work with the stakeholders identified in [Appendix E](#) to raise awareness of CFATS requirements as well as to broadly distribute compliance assistance materials and information on education and training. DHS found that working with these organizations leads to recommendations for working with other organizations in their particular industry and additional opportunities for presentations and meetings.

The message and method of communicating with specific stakeholder organizations is determined in collaboration with the stakeholder organizations and includes presentations, meetings, webinars, blogs, email communications, and CAVs. During outreach activities, the Department evaluates the extent to which the audience is likely to possess COI at or above STQ and requests leads for additional organizations, engagement opportunities, and possibilities to distribute CFATS information and materials. The primary request DHS is making of each stakeholder group is that it post or distribute the Critical Infrastructure: Chemical Security webpage link through member meetings, websites, newsletters, and email distribution lists. DHS also inquires about speaking engagements, webinar opportunities, and suggestions on additional methods to disseminate CFATS materials.

Activity 3.2: Continue to identify opportunities for outreach and engagement with a diverse group of stakeholders.

DHS continues to identify and prioritize outreach engagement opportunities for the CFATS program with input from stakeholders, as appropriate. Opportunities include, but are not limited to, speaking engagements, informational meetings, listening sessions, webinars, exhibit booths, and tours of industry facilities. This process includes communicating and fostering relationships with stakeholders, reviewing open source conference opportunities, and reviewing requests sent to headquarters and field personnel. Participation in events is determined, in part, by the location, audience size, participating industries (e.g., manufacturing, agricultural, and colleges and universities), scope (national or local) of the audience, opportunities for ancillary meetings, and resources available. DHS compiles and reviews the list of potential outreach engagement opportunities on a weekly basis and adjusts resources as necessary. The Department presented CFATS information as a speaker or booth attendant at more than 600 meetings, conferences, webinars, and other events in FY18.

The Department continues to play a leadership role in encouraging a global culture of chemical security. In support of this, DHS co-chairs the Chemical Security Working Group of the G7 Global Partnership Against the Spread of Weapons and Materials of Mass Destruction, leading the U.S. engagement with the G7 on chemical security and helping ensure cooperation among the international community on chemical security efforts. DHS will continue to promote the CFATS program as a model for developing chemical-security regulatory frameworks internationally and continue to seek lessons learned and best practices from its international partners to help improve CFATS to address the latest terrorist threats, tactics, and techniques. The Department also continues to work closely with representatives from the European Union (EU) and individual EU member states on limiting access to improvised explosive device precursor chemicals. DHS has expanded its coordination with the EU and other international partners on precursor chemicals with a recent focus on collaborating on testing and evaluating explosive precursor chemicals. The Department also worked closely with the State Department on bilateral engagements related to chemical security with various international partners. Further, the Department will co-host with the FBI and INTERPOL a Global Congress on Chemical Security and Emerging Threats in France in October 2018. These activities continue to bring together leaders from around the world to discuss how to strengthen international cooperation in the area of chemical security and to share information about voluntary and regulatory programs and best practices related to chemical security. The Department plans on continuing to engage in these activities to enhance the global culture of chemical security throughout FY19.

Activity 3.3: Cosponsor the Chemical Sector Security Summit with the Chemical Sector Coordinating Council.

Since 2007, the national Chemical Sector Security Summit (the Summit) has served as the premier forum for about 500 chemical security professionals across industry and government to exchange information, share best practices, strengthen partnerships, and renew the commitment to chemical security. The 11th Summit was held in Houston, Texas, from July 19 through July 21, 2017. After the 2017 Summit, the Department and the Chemical Sector Coordinating Council (CSCC) agreed to move the Summit to a biennial schedule and began exploring options and agenda for the summer of 2019. In 2018, to ensure that the Department continues to raise awareness of its regulatory and voluntary security programs across the U.S. each year, DHS hosted the DHSChemSecurityTalks (“ChemTalks”), which were one-day, regional events aimed to reach State and local government stakeholders as well as facility owners and operators. The 2018 ChemTalks were held in Oakland, California; Chicago, Illinois, and Philadelphia, Pennsylvania, with more than 300 participants. Sessions addressed regulatory developments and best practices, physical and cyber threats to the Chemical Sector, countering the malicious use of drones, engaging with regional staff, cybersecurity capabilities, and voluntary programs available to chemical facility owners and operators. The ChemTalks also hosted informational tables with regulatory and voluntary materials, providing an opportunity for attendees to gather, network, and learn about valuable Federal tools and resources available to owners and operators within the infrastructure community.

Activity 3.4: Maintain availability of current CFATS information online and in print media.

The CFATS Communications Strategy outlines the external affairs goals the Department has laid out to support the CFATS mission. The goals address obtaining reauthorization of the CFATS Act of 2014, identifying P-CFOI, providing programmatic updates, and developing an improvised explosive device precursors approach. The strategy details activities to reach key audiences and enhance their knowledge related to the CFATS program.

Activities in support of these goals include:

- Maintaining a CFATS media strategy, to include a publication database that is updated to the most recently identified target industries;
- Developing relationships with journalists and editors in trade and regional news publications relevant to CFATS audiences;
- Facilitating the publication of CFATS-related articles in trade and regional news publications by coordinating interviews, working with reporters on background, and providing quotes;
- Writing blogs and op-eds containing programmatic updates and compliance information;
- Developing CFATS-specific social media content informing the Chemical Sector of events and programmatic updates, as needed;
- Developing fact sheets, flyers and other informational materials containing CFATS compliance information;
- Creating materials—including fact sheets, presentations, and flyers—tailored to the industries identified for P-CFOI outreach;

- Continuing to publish the CFATS Quarterly and contribute to partner organizations' publications, such as the EPA's SERC-TERC update, the Infrastructure Security Partnership Bulletin, and Infrastructure Security Division regional newsletters;
- Revising and strengthening web content on DHS.gov, to include the Critical Infrastructure: Chemical Security webpage and CFATS program content;
- Communicating directly with chemical facilities and corporations;
- Participating in industry association meetings and conferences;
- Working with first responders and law enforcement to encourage communication with local chemical facilities by providing informational materials and other relevant content; and
- Gathering and sharing chemical security best practices from the regulated community and other stakeholders.

Activity 3.5: Implement a systematic approach for soliciting feedback on outreach.

In response to the U.S. Government Accountability Office's 2013 recommendation, the Department developed an optional, self-administered questionnaire to systematically obtain feedback on outreach efforts from government and industry stakeholders to improve the CFATS program's outreach activities and provide better customer service to the regulated community.³¹ Before requesting information from the public, the Paperwork Reduction Act (PRA) requires DHS to submit the proposed collection instrument for review and approval by the Office of Management and Budget. In September 2016, the Department obtained PRA approval³² and implemented the web-based questionnaire in the first quarter of FY17. The Department distributes the questionnaire to the event point of contact via a web link, which can be forwarded or shared multiple times; therefore the Department does not know how many received the questionnaire.

Since inception, DHS received 72 responses, although not all questions were answered. Of 67 who responded to the question, 65 (97 percent) reported that CFATS information received was current and relevant and 68 (87 percent) reported that CFATS information will effectively inform their decision-making regarding chemical facility safety or security. DHS will explore strategies to increase the response rate so that the results can be utilized to identify outreach areas needing improvement.

Table 3 represents progress that DHS has made in meeting six metrics for Goal 3.

³¹ <http://www.gao.gov/products/GAO-13-353>.

³² U.S. Office of Management and Budget Control Number 1670-0027, Expiration Date 01/31/21.

Table 3. Progress on meeting metrics for Goal 3

Metric	FY14	FY15	FY16	FY17	FY18	Notes
I. Number of speaking engagements and participation in exhibit booths.	205	266	264	191	628	In FY18, in conjunction with a streamlined outreach reporting process, DHS changed its methodology for reporting this metric to include participation by HQ and regional staff at all types of speaking engagements (conferences, webinars, meetings, and booths). Data reported for FY14 through FY17 included HQ and regional participation at conferences and booths only.
J. Number of introductions facilitated by CFATS Regional staff between Infrastructure Security Division regional representative and a covered CFATS facility.	Not applicable			17	1,948	In FY18, DHS launched the program to all regions.
K. Number of requests for CAVs completed.	247	478	589	824	1,444	CAVs can be either initiated by DHS or requested by a facility.
L. Positive feedback from the Chemical Security Summit (DHSChemTalks in FY18).	<p>In the 2018 ChemicalSecurityTalks, 309 individuals participated: Oakland, CA (58); Chicago, IL (110); and Philadelphia, PA (141). On average, the audience comprised: 65% facility owners/operators; 12% Federal/State government officials; 4% first responders; 15% other (industry representatives); and 4% did not identify. Of 309 attendees, 47% provided feedback:</p> <ul style="list-style-type: none"> • 88% exchanged or received useful information that will help with security risk management. • 85% have implemented or are planning to implement actions from the event. • 92% indicated they would like to attend future events. • 16% attended previous Summits. • 96% indicated that the information provided was current and relevant. • 96% indicated that the information provided will contribute to the organization's security improvements and preparedness planning. 					

Metric	FY14	FY15	FY16	FY17	FY18	Notes
M. Number of CFATS-related mentions in the media.	711	500	102	113	195	Mentions can be made in blogs, news, and trade publications. During outreach and engagement activities, DHS explores opportunities for developing CFATS-related blogs and articles. The CFATS Act of 2014 passed Congress on December 18, 2014. The CFATS Act of 2014 generated significant media interest in 2014.
N. Positive responses collected via stakeholder feedback questionnaire.	<p>Since the launch of the questionnaire in the first quarter of FY17, DHS received 72 responses; but not all questions were answered. Of the 67 who responded to the questions, 97 percent reported that the CFATS information received was current and relevant, and 87 percent reported that the CFATS information will effectively inform their decision-making regarding chemical facility safety or security.</p> <p>The Department received 10 responses in FY18.³³ 100 percent reported that CFATS information received was current and relevant and 90 percent reported that CFATS information will effectively inform their decision-making regarding chemical facility safety or security.</p>					

4. Conclusion

Communication is a key pillar in the success of the CFATS program. DHS continues to coordinate with stakeholders to build and expand on existing efforts to raise awareness of CFATS requirements and compliance and to provide educational materials through the goals and actions detailed in this Plan over the past several years. The Department’s outreach efforts have consistently incorporated lessons learned and suggestions from program stakeholders, and we look forward to continued discussions and ideas in FY19. As outreach and engagement activities are fluid in nature, DHS continues to review and update this Plan on an annual basis to correspond with the start of a new fiscal year. Progress is measured through the metrics provided for each Goal. The Department continues to seek dialogue on CFATS implementation with the chemical-security community.

³³ DHS is evaluating the circumstances that might contribute to the low response rate, such as the length of the questionnaire, web-based distribution method and accompanying instructions, and whether the most appropriate point of contact is receiving the request.

Appendix A: Historic Outreach to State and Local Officials

In FY18, DHS contacted more than 350 State and local officials and nearly 850 LEPCs.

Table A1. Systematic outreach to State and local officials (08/01/14 – 09/30/18)

State/Local Officials	Number Contacted	Total Number ^a	Percentage Contacted
STATE			
Homeland Security Office	55	56	98%
State Environmental Protection/Quality	55	55	100%
Regional Environmental Protection	56	56	100%
Regional Occupational Safety and Health	56	56	100%
Chemist	30	30	100%
Fire Marshal	55	56	98%
State Emergency Response Commission	56	56	100%
Tribal Emergency Response Commission	31	31	100%
Plant Food Control	41	42	98%
Pesticide	48	49	98%
Fertilizer	51	53	96%
Public Safety	55	55	100%
Food and Agriculture	49	49	100%
First Responder/Emergency Manager	54	54	100%
LOCAL			
Local/Tribal Emergency Planning Committee (LEPC/TEPC)	1403	~2457; Number of LEPC can vary from year to year, and varies from state to state. Therefore, the total number is an approximation.	~ 57%
TOTAL			
State and local officials, excluding LEPC/TEPC	717	754	99%

^a These officials do not exist in every State and locality. DHS identifies and contacts other officials who are performing similar functions, as applicable.

Appendix B: Local Emergency Planning Committee (LEPC) Focused Outreach

In the Government Accountability Office (GAO) report, *DHS Should Take Actions to Measure Reduction in Chemical Facility Vulnerability and Share Information with First Responders*,³⁴ released August 8, 2018, GAO recommended that DHS further promote the IP Gateway and Executive Order (EO) portals and improve information-sharing with first responders and emergency planners. DHS is committed to improving upon current outreach and information-sharing efforts to emergency responders and planning committees. To this end, DHS is expanding focused outreach in FY19 to LEPCs with the highest population of high-risk facilities in their jurisdiction such that 25 percent of the tiered population is covered. This includes 95 LEPCs in 45 counties representing 870 CFATS facilities.

Table B1. LEPC focused outreach

LEPC Name	County	State	Region
Cape Ann Regional Emergency Planning Committee (REPC)	Essex	MA	1
Mystic Region REPC	Essex	MA	1
Northeast REPC	Essex	MA	1
Northern Essex REPC	Essex	MA	1
Topsfield LEPC	Essex	MA	1
Acton LEPC	Middlesex	MA	1
Boston LEPC	Middlesex	MA	1
Boxborough LEPC	Middlesex	MA	1
Cambridge LEPC	Middlesex	MA	1
Greater Lowell REPC	Middlesex	MA	1
Marlborough LEPC	Middlesex	MA	1
Maynard LEPC	Middlesex	MA	1
Metrowest REPC	Middlesex	MA	1
Mystic Region REPC	Middlesex	MA	1
Newton LEPC	Middlesex	MA	1
Northern Middlesex REPC	Middlesex	MA	1
Waltham LEPC	Middlesex	MA	1
Wayland LEPC	Middlesex	MA	1
Carteret Boro LEPC	Middlesex	NJ	2
Cranbury Township LEPC	Middlesex	NJ	2
Dunellen Boro LEPC	Middlesex	NJ	2
East Brunswick Township LEPC	Middlesex	NJ	2
Edison Township LEPC	Middlesex	NJ	2
Helmetta Boro LEPC	Middlesex	NJ	2
Highland Park Boro LEPC	Middlesex	NJ	2
Jamesburg Boro LEPC	Middlesex	NJ	2
Metuchen Boro LEPC	Middlesex	NJ	2

³⁴ <https://www.gao.gov/products/GAO-18-538>.

LEPC Name	County	State	Region
Middlesex Boro LEPC	Middlesex	NJ	2
Milltown Boro LEPC	Middlesex	NJ	2
Monroe Township LEPC	Middlesex	NJ	2
New Brunswick City LEPC	Middlesex	NJ	2
North Brunswick Township LEPC	Middlesex	NJ	2
Old Bridge Township LEPC	Middlesex	NJ	2
Perth Amboy City LEPC	Middlesex	NJ	2
Piscataway Township LEPC	Middlesex	NJ	2
Plainsboro Township LEPC	Middlesex	NJ	2
Sayreville Boro LEPC	Middlesex	NJ	2
South Amboy City LEPC	Middlesex	NJ	2
South Brunswick Township LEPC	Middlesex	NJ	2
South Plainfield Boro LEPC	Middlesex	NJ	2
South River Boro LEPC	Middlesex	NJ	2
Spotswood Boro LEPC	Middlesex	NJ	2
Woodbridge Township LEPC	Middlesex	NJ	2
Erie County LEPC	Erie	NY	2
Bucks County LEPC	Bucks	PA	3
Mobile County LEPC	Mobile	AL	4
Northeast Florida LEPC	Duval	FL	4
Tampa Bay LEPC	Hillsborough	FL	4
Central Florida LEPC	Polk	FL	4
Atlanta-Fulton County LEPC	Fulton	GA	4
Mecklenburg County All Hazards Advisory Committee (AHAC) LEPC	Mecklenburg	NC	4
Hamilton County LEPC	Hamilton	TN	4
Memphis and Shelby County LEPC	Shelby	TN	4
Chicago LEPC	Cook	IL	5
Cook County (Suburban) LEPC	Cook	IL	5
DuPage County LEPC	DuPage	IL	5
Will County LEPC	Will	IL	5
Marion County EMA	Marion	IN	5
Oakland County LEPC	Oakland	MI	5
City of Detroit LEPC	Wayne	MI	5
Wayne County LEPC	Wayne	MI	5
District VI RRC	Dakota	MN	5
District VI RRC	Hennepin	MN	5
Cuyahoga County LEPC	Cuyahoga	OH	5
Franklin County LEPC	Franklin	OH	5
Hamilton County LEPC	Hamilton	OH	5
Summit County LEPC	Summit	OH	5

LEPC Name	County	State	Region
Milwaukee LEPC	Milwaukee	WI	5
Bexar County LEPC	Bexar	TX	6
Dallas County LEPC	Dallas	TX	6
Deer Park LEPC	Harris	TX	6
Galena Park LEPC	Harris	TX	6
Greater Baytown-Chambers County LEPC	Harris	TX	6
Greater Harris County LEPC	Harris	TX	6
Greater Houston LEPC	Harris	TX	6
Jacinto City LEPC	Harris	TX	6
Jersey Village LEPC	Harris	TX	6
Katy LEPC	Harris	TX	6
La Porte LEPC	Harris	TX	6
North Channel Area LEPC	Harris	TX	6
South Houston LEPC	Harris	TX	6
Southeast Regional LEPC	Harris	TX	6
Tomball LEPC	Harris	TX	6
Tarrant County LEPC	Tarrant	TX	6
Travis County LEPC	Travis	TX	6
Saint Louis City LEPC	St. Louis	MO	7
Saint Louis County LEPC	St. Louis	MO	7
Maricopa County LEPC	Maricopa	AZ	9
LEPC Region II	Alameda	CA	9
LEPC Region V	Fresno	CA	9
LEPC Region V	Kern	CA	9
LEPC Region I	Los Angeles	CA	9
LEPC Region I	Orange	CA	9
LEPC Region VI	San Diego	CA	9
LEPC Region IV	San Joaquin	CA	9
LEPC Region II	Santa Clara	CA	9
LEPC Region IV	Stanislaus	CA	9
LEPC Region V	Tulare	CA	9
Multnomah LEPC	Multnomah	OR	10
City of Kent/Puget Sound LEPC	King	WA	10
City of Seattle LEPC	King	WA	10
King County LEPC	King	WA	10

Appendix C: Industries with Potential Chemical Facilities of Interest (P-CFOI)³⁵

- Academia (Colleges and Universities)
- Adhesives Manufacturing
- Aerial Sprayers
- Aerospace Product and Parts Manufacturing
- All Other Miscellaneous Manufacturing
- Amusement and Recreational Facilities (other than Water Parks and Pools)
- Animal Production
- Animal Slaughtering and Meat Processing
- Apparel Manufacturing
- Asphalt Products Manufacturing
- Athletic Goods, Toys, and Game Manufacturing
- Beverage Manufacturers
- Breweries
- Cannabis Products (Butane Hash Oil)
- Cement and Concrete Products Manufacturing
- Chemical Distribution
- Chemical Manufacturing
- Clay Products Manufacturing
- Cold Chain/Refrigeration
- Correctional Facilities and Prisons
- Cosmetics and Cleaning Compound Manufacturing
- Crop Production
- Dairy Product Manufacturing
- Dye and Pigment Manufacturing
- Electronics and Electronic Component Manufacturing
- Elementary and Secondary Schools
- Energy Utilities
- Exploding Targets/Explosives
- Facility or Business Support
- Fertilizer Manufacturing and Distribution
- Fisheries and Hatcheries
- Food Processors
- Fracking and Oil Drilling
- Glass and Glass Products Manufacturing
- Government Facilities
- Hardware and Power Equipment Stores
- Healthcare (Hospitals and Providers)

³⁵ DHS is constantly learning more about how certain industries use COI so this list of industries may not be comprehensive.

- Heavy Construction
- Human Resource Programs
- Industrial Machinery and Equipment Manufacturing
- Jewelers
- Laboratories (non-academic)
- Laundry Services
- Leather Manufacturing
- Lime and Gypsum Products Manufacturing
- Metal Production
- Metal Service Centers and Metal Merchants
- Mining
- Motor Racing
- Motor Vehicle Parts Manufacturing
- Nonprofit Organizations
- Office Supplies Manufacturing
- Other Transportation Equipment Manufacturing
- Paints and Coatings Manufacturing
- Pesticide Manufacturing and Distribution
- Pet Care
- Petrochemical Manufacturing
- Petroleum and Fuel Distribution (Including Propane)
- Petroleum Refining
- Pharmaceutical and Medicine Manufacturing
- Photographic Film, Paper, Plate and Chemical Manufacturing
- Plastics Manufacturing
- Printing and Printing Ink Manufacturing
- Private Households
- Pulp and Paper Mills
- Repair and Maintenance
- Rubbers, Resins, and Artificial Fibers Manufacturing
- Semiconductor Manufacturing
- Sewage Treatment Facilities
- Support Activities for Agriculture and Forestry
- Textile Mills
- Tobacco Manufacturers
- Transportation Services
- Warehouses and Storage
- Waste Services and Remediation
- Water Filtration and Treatment
- Water Parks and Pools
- Wineries
- Wood, Wood Products (other than Paper), and Furniture Manufacturing

Appendix D: CFATS Resources Catalog

These materials are available through the [Critical Infrastructure: Chemical Security webpage](#). They are updated on ongoing basis. Please contact CFATS@hq.dhs.gov to request assistance. **Available in Spanish.

- **Chemical Facility Anti-Terrorism Standards (CFATS) Overview (*presentation*):** Provides basic information about the program, including COI, risk-based tiering, risk-based performance standards, inspections process, compliance and enforcement, and DHS compliance assistance and outreach tools.
- **CFATS Tri-fold (*brochure*):** Provides basic information about the program, including COI, risk-based tiering, risk-based performance standards, inspections process, compliance and enforcement, and DHS compliance assistance and outreach tools.
- **CFATS Region/State/Congressional District Specific (*fact sheet*):** Tailors the general CFATS overview to a region, specific state, or congressional district.
- **What to Expect from a CFATS Authorization Inspection (*presentation*):** Provides information relevant to facilities before, during, and after the CFATS inspection process, including how to prepare for an inspection, what to expect during and after an inspection, lessons learned from updating an Site Security Plan (SSP), and contact information.
- **CFATS: Compliance Inspections (*fact sheet*):** Covers the basics of a compliance inspection, the difference between compliance and authorization inspections, the scheduling and notification of a compliance inspection, corporate cases, how to prepare for a compliance inspection, what to expect during the inspection, and what comes afterwards.
- **CFATS Site Security Plans Lessons Learned: Tips for Improving Your Submissions (*fact sheet*):** DHS has reviewed hundreds of SSPs submitted by high-risk chemical facilities under the CFATS regulation. Based on these reviews, DHS has identified some helpful hints to assist with completing an SSP as a part of the authorization and approval process in this fact sheet.
- **CFATS Tiering Methodology (*fact sheet*)**:** Designed to cover risk-based tiering and the enhanced tiering methodology CFATS follows to focus its resources on high-risk chemical facilities. This process is performed in accordance with the unique circumstances faced by each facility and the specific level of security risk they pose. Highlights vulnerabilities, consequences, and threat factors to be considered and their applicable security issues.
- **RBPS 8 – Cyber (*fact sheet*):** Cybersecurity typically involves policies and procedures that protect a facility’s critical systems. This fact sheet covers the importance of cybersecurity at CFATS-covered facilities, how DHS evaluates cybersecurity measures under CFATS, and additional references and resources related to cybersecurity.
- **RBPS 9 – Response (*fact sheet*)**:** Response is the performance standard that addresses emergency response planning and training. This fact sheet goes over the difference between security and emergency response, developing a crisis management plan, drills and training, and additional references and resources.

- **RBPS 11 – Training (*fact sheet*):** Training is the performance standard that addresses security and response training, exercises, and drills. This fact sheet goes over the requirements, best practices, and additional references and resources.
- **RBPS 12 – Personnel Surety (*fact sheet*):** Under Risk-Based Performance Standard 12, Personnel Surety, vetting facility personnel and unescorted visitors who have or are seeking access to restricted areas and critical assets at high-risk facilities, is a key aspect of chemical security. The program update fact sheet covers frequently asked questions about the program as well as where to find out more information.
- **RBPS 15 & 16 – Reporting Significant Events (*fact sheet*):** RBPS 15 and 16 complement each other and address the importance of high-risk chemical facilities promptly and adequately identifying, investigating, and reporting all significant security incidents and suspicious activities to the appropriate facility personnel, local law enforcement, and/or DHS. This fact sheet goes over the requirements, best practices, and additional references and resources.
- **RBPS 18 – Records (*fact sheet*):** Addresses the creation, maintenance, protection, storage, and disposal of specific security-related records—these must be available to DHS upon request. The fact sheet covers the different types of records (training, drills and exercises, security incidents, maintenance, security threats, audits) and how to properly maintain them. DHS has identified best practices among industry in developing and maintaining these records, and used these to create sample records, which can assist a facility. The sample records are voluntary and can be tailored to a specific facility—the sample records document is also available.
- **CFATS Information for Colleges and Universities (*fact sheet*):** Tailored to the community of colleges and universities involved with the CFATS program, this fact sheet has a similar structure to the CFATS overview, but with several sections more relevant to those specific facilities.
- **Resources for Law Enforcement and First Responders (*fact sheet*):** Together with the Environmental Protection Agency, DHS has provided several resources for law enforcement and first responders in regards to chemical facilities within their jurisdictions.
- **CFATS and the Role of Emergency Responders (*fact sheet*):** Tailored to the emergency responder community, this fact sheet has a similar structure to the CFATS overview, but with several sections more relevant to the role emergency responders may play in ensuring a secure community.
- **Report a CFATS Violation (*fact sheet*)**:** This covers the basic tenets of the CFATS program, what a CFATS violation could entail, and how to contact the Department to report a violation.
- **Shipping/Receiving COI Flyer (*fact sheet*):** This flyer was created in response to stakeholder feedback to the Department as a tool that facilities can choose to use when shipping or transferring COI from their facility. Facilities are not required to share this flyer, but may choose to use it to assist their customers and partners to understand their regulatory obligations.

- **Chemical-terrorism Vulnerability Information (*fact sheet*):** Chemical-terrorism Vulnerability Information (CVI) is the information protection regime used to protect from public disclosure certain sensitive information as defined in the CFATS regulation. The CVI fact sheet covers CVI training, handling, and contact information.
- **Expedited Approval Program (*fact sheet*):** This fact sheet provides an optional process through which high-risk chemical facilities assigned a Tier 3 or Tier 4 may receive expedited approval of the Site Security Plans based on prescriptive guidance. Details on said guidance and more information about this optional program are covered in this fact sheet.
- **CFATS Information for Laboratories (*fact sheet*):** A standard CFATS fact sheet tailored for laboratories and useful for lab-related outreach.
- **CFATS Information for Wineries (*fact sheet*):** A standard CFATS fact sheet tailored for wineries and useful for winery-related outreach.
- **CFATS Information for Breweries (*fact sheet*):** A standard CFATS fact sheet tailored for breweries and useful for brewery-related outreach.
- **CFATS Information for Fisheries and Hatcheries (*fact sheet*):** A standard CFATS fact sheet tailored for fisheries and hatcheries and useful for outreach.
- **CFATS Information for Water Parks (*fact sheet*):** A standard CFATS fact sheet tailored for water parks and useful for water park-related outreach.
- **CFATS Information for Pulp and Paper (*fact sheet*):** A standard CFATS fact sheet tailored for pulp and paper manufacturers and useful for outreach to pulp and paper facilities.
- **CFATS Penalty Policy Overview (*fact sheet*):** This fact sheet is designed to raise awareness of violations that are subject to penalty under the CFATS program. The Penalty Policy Fact Sheet covers violations which are subject to civil penalty, the issuance of a civil penalty, and the range of civil penalty amounts.
- **CFATS Anhydrous Ammonia (*flyer*):** This flyer may be used by chemical facilities when shipping, selling, or distributing ammonia (anhydrous). Ammonia (anhydrous) is a CFATS chemical of interest (COI), and this flyer can be used to notify customers that they may need to report their chemical holdings to DHS.
- **CFATS Nitromethane (*flyer*):** This flyer may be used by chemical facilities when shipping, selling, or distributing nitromethane. Nitromethane is a CFATS chemical of interest (COI), and this flyer can be used to notify customers that they may need to report their chemical holdings to DHS.
- **CFATS Propane (*flyer*):** This flyer may be used by chemical facilities when shipping, selling, or distributing propane. Propane is a CFATS chemical of interest (COI), and this flyer can be used to notify customers that they may need to report their chemical holdings to DHS.

- **CFATS Shipping and Receiving COI (*flyer*):** This flyer may be used by chemical facilities when shipping, selling, or distributing any COI. This flyer can be used to notify customers that they may need to report their chemical holdings to DHS.
- **CFATS Agricultural Production Facilities (*fact sheet*):** This fact sheet explains the Agricultural Facilities Time Extension Notification letter that DHS published on December 9, 2008, that grants a time extension to certain farmers and agricultural facilities who are required to report their chemical holdings under CFATS.
- **CFATS First Steps (*fact sheet*)**:** This fact sheet provides chemical facilities with information on what steps to follow to determine if they must comply with the CFATS program.
- **CFATS Overview (*fact sheet*)**:** This fact sheet provides chemical facilities with basic information on the program, requirements, and resources.
- **CFATS Common COI (*fact sheet*):** This fact sheet provides chemical facilities with information on the most common regulated COI in Appendix A.
- **CFATS COI (*brochure*):** This trifold lists all of the regulated COI in Appendix A along with their quantities and concentrations.
- **CFATS Detect and Delay (*fact sheet*):** This fact sheet covers two overarching security objectives—detection and delay—which include the first seven DHS Risk-Based Performance Standards (RBPS), and address a facility’s ability to deter, detect, and delay an attack. All security measures contained in this fact sheet are possible, nonexclusive examples for facilities to consider as part of their overall strategy to address RBPS under the CFATS program.
- **CFATS and the IP Gateway (*fact sheet*):** This fact sheet provides more information about this centrally managed repository of critical infrastructure information—which includes certain CFATS data on a geospatial map available to emergency responders, law enforcement, and other entities with a need to know.

Appendix E: CFATS Stakeholders

DHS has systematically contacted each of the organizations listed below requesting opportunities for outreach engagement regarding the CFATS program. This list will be continuously updated as DHS becomes aware of new organizations to contact.

Federal Agencies and Departments

- Department of Agriculture
 - Food and Agriculture Sector-Specific Agencies and associated Government Coordinating Council³⁶
- Department of Commerce
- Department of Defense
- Department of Education
- Department of Energy
 - Argonne National Laboratory
 - Federal Energy Regulatory Commission
 - Oil and Natural Gas Sector Specific-Agency and associated Government Coordinating Council
- Department of Health and Human Services
 - Food and Agriculture Sector-Specific Agency and associated Government Coordinating Council
 - Food and Drug Administration
- Department of Homeland Security
 - Customs and Border Protection
 - Cybersecurity and Infrastructure Security Agency
 - Cybersecurity Division
 - Stakeholder Engagement and Cyber Infrastructure Resilience
 - Federal Protective Service
 - Infrastructure Security Division
 - Protective Security Coordination Division
 - Protective Security Advisors
 - Sector Outreach and Programs Division
 - Cross Sector Council
 - Federal Senior Leadership Council
 - Sector-Specific Agencies and associated Government Coordinating Councils
 - Chemical
 - Critical Manufacturing
 - Commercial Facilities
 - Emergency Services
 - Energy
 - Food and Agriculture
 - Information Technology
 - Transportation

³⁶ Note: USDA and HHS/FDA co-chair the Food and Agriculture Sector Specific Agency and Government Coordinating Council.

- State, Local, Tribal, and Territorial Government Coordinating Council
 - Regional Consortium Coordinating Council
 - National Risk Management Center
- Federal Emergency Management Agency
- Office of Intelligence and Analysis
 - Fusion Centers
- Office of Policy
 - Private Sector Office
 - Office of State and Local Law Enforcement (includes Tribal)
- Office of Science and Technology
- Transportation Security Administration
- United States Coast Guard
 - Area Maritime Security Committees
 - Captains of the Port
- United States Immigration and Customs Enforcement
 - National Intellectual Property Rights Coordination Center
- United States Secret Service
- Department of Interior
 - United States Fish and Wildlife Service
- Department of Justice
 - Bureau of Alcohol, Tobacco, Firearms and Explosives
 - Federal Bureau of Investigation
 - Indian Country Federal Law Enforcement Coordination Group
 - United States Attorney's Office
- Department of Labor
 - Occupational Safety and Health Administration
- Department of State
- Department of Transportation
- Environmental Protection Agency

State, Local, Tribal, and Territorial Organizations and Representatives

- Association of American Pesticide Control Officials
- Association of Southern Feed, Fertilizer and Pesticide Control Officials
- Council of State Governments
- County Emergency Management Committees
- Inter-Tribal Council of Arizona
- International Association of Bomb Technicians and Investigators
- International Association of Chiefs of Police
- International Association of Emergency Managers
- International Association of Fire Chiefs
- International City/County Management Association
- Joint Major Cities Chiefs and Major County Sheriffs
- Local Emergency Planning Committees
- Local Fire Departments

- Local Police Departments
- Local Public Safety Departments
- Midwest Alliance of Sovereign Tribes
- National Association of Counties
- National Association of Fertilizer Control Officials
- National Association of Police Organizations
- National Association of Regional Councils
- National Association of SARA Title III Program Officials
- National Association of Secretaries of State
- National Association of State Departments of Agriculture
- National Conference of State Legislatures
- National Congress of American Indians
- National Fraternal Order of Police
- National Fusion Center Association
- National Governors' Association
- National League of Cities
- National Lieutenant Governors Association
- National Native American Law Enforcement Association
- National Sheriffs' Association
- National Volunteer Fire Council
- Northwest Tribal Emergency Management Council
- Police Executive Research Forum
- Southeastern Association of Fish and Wildlife Agencies
- Southern Governors' Association
- State Chemists
- State Emergency Response Commissions
- State Fire Marshals
- State Food and Agriculture Councils
- State Homeland Security Departments
 - State Homeland Security Advisors
- State Occupational Health Professionals
- State Plant Food Control Officials
- The U.S. Conference of Mayors
- Tribal Emergency Planning Committees
- Tribal Emergency Response Commissions
- United South and Eastern Tribes
- United States Conference of Mayors
- Western Governors' Association

Sector Coordinating Councils³⁷

- Chemical Sector Coordinating Council
- Commercial Facilities Sector Coordinating Council
- Critical Manufacturing Sector Coordinating Council
- Emergency Services Sector Coordinating Council
- Food and Agriculture Sector Coordinating Council
- Oil and Natural Gas Sector Coordinating Council
- Freight Rail Sector Coordinating Council

Select Industry Association and Business Groups

- Agricultural Retailers Association
- Alliance of Hazardous Materials Professionals
- American Bakers Association
- American Bar Association
- American Coatings Association
- American Chemical Society
- American Chemistry Council
- American Exploration and Mining Association
- American Exploration and Production Council
- American Fisheries Association
- American Fisheries Society
- American Fuel and Petrochemical Manufacturers
- American Gas Association
- American Hospital Association
- American Industrial Hygiene Association
- American Petroleum Institute
- American Public Power Association
- American Pyrotechnics Association
- American Society for Healthcare Engineering
- American Society for Healthcare Risk Management
- American Society for Industrial Security (ASIS)
- American Society of Crime Laboratories
- American Society of Safety Engineers (ASSE)
- American Trucking Associations
- American Water Works Association
- Ammonia Safety and Training Institute
- Asmark Institute
- Association for Healthcare Resource & Materials Management
- Association of Chemical Industry of Texas
- Association of Higher Education Facilities Officers
- Association of Laboratory Managers

³⁷ Members for each SCC can be found at <http://www.dhs.gov/cipac-sector-charters-and-membership>.

- Association of Oil Pipelines
- Association of Public & Land Grant Universities
- Campus Safety, Health, and Environmental Management Association
- Canadian Energy Pipeline Association
- Chemical Products and Distributors of Agrotechnology
- College and University Hazardous Materials Management
- Community College Risk Management Consortium
- Council of Producers and Distributors of Agrotechnology
- Council on Safe Transportation of Hazardous Articles
- CropLife America
- Dangerous Goods Advisory Council
- District of Columbia Brewers' Guild
- Emergency Services Information Sharing and Analysis Center
- Energy Security Council
- Environmental Technology Council
- Fibre Box Association
- FireArms Import/Export Roundtable Trade Group
- Flavor and Extract Manufacturing Association
- Flexographic Pre-Press Platemakers Association
- Gas Processors Association
- Georgia Air and Waste Management Association
- Global Cold Chain Alliance
- Illinois Fertilizer and Chemical Association
- Independent Cosmetic Manufacturers and Distributors
- Independent Petroleum Association of America
- Institute of Electrical and Electronics Engineers
- Institute of Makers of Explosives
- Institute of Packaging Professionals
- Integrated Agribusiness Professionals
- International Association of Chiefs of Police
- International Chemical Trade Association
- International Institute of Ammonia Refrigeration
- International Liquid Terminals Association
- International Molded Fiber Association
- International Wood Products Association
- Iowa Corn Growers Association
- Kansas Grape Growers and Winemakers Association
- Kansas Society for Clinical Laboratory Science
- Laboratory Safety Institute
- Lucas Oil Drag Boat Racing
- Mid-Atlantic Clean Room Managers Association
- Minnesota Association of School Business Officials

- National Agronomic Environmental Health and Safety School
- National Aquaculture Association
- National Association of Agricultural Aviation Association
- National Association of Chemical Distributors
- National Association of College & University Business Officers
- National Association of Convenience Stores
- National Association of Scientific Materials Managers
- National Association of Surface Finishers
- National Association of Truck Stop Operators
- National Association of Telecommunications Officers and Advisors
- National Council of Information and Analysis Sharing Centers
- National Environmental Health Association
- National Fire Protection Association
- National Hot Rod Association
- National Mining Association
- National Pest Management Association
- National Propane Gas Association
- National Retail Hobby Stores Association
- National Shooting Sports Foundation
- Ohio Association of Metal Finishers
- Oil and Natural Gas Information Sharing and Analysis Center
- Pacific Northwest Fish Health Protection Committee
- Performance Racing Industry
- Pulp and Paper Safety Association
- Refrigerating Engineers and Technicians Association
- Roof Coatings Manufacturers Association
- Security Industry Association
- Semiconductor Environmental Safety and Health Association
- Semiconductor Industry Association
- Small Business Administration
- Society of Chemical Manufacturers and Affiliates
- Society of Petroleum Engineers
- Society of the Plastics Industry
- Southern Aerosol Technical Association
- Specialty Equipment Market Association
- State Agribusiness Associations
 - Agribusiness Association of Iowa
 - Michigan Agri-Business Association
 - Montana Agribusiness Association
 - Nebraska Grain and Feed Association
 - PennAg Industries Association
 - Texas Ag Industries Associations

- State Chemistry Councils
 - Chemical Industry Council of California
 - Chemical Industry Council of Illinois
 - Chemical Industry Council of New Jersey
 - Louisiana Chemical Association
 - Michigan Chemical Council
 - Ohio Chemistry Technology Council
 - Pennsylvania Chemical Industry Council
 - Texas Chemical Council
- State Hospital Associations
 - California Hospital Association
 - Delaware Hospital and Healthcare Association
 - Texas Hospital Association
 - Virginia Hospital and Healthcare Association
- State Mining Associations
 - Illinois Mining Institute
 - Texas Mining and Reclamation Association
 - Utah Mining Association
- State Propane Associations
 - Michigan Propane Gas Association
 - Minnesota Propane Association
 - Missouri Propane Association
 - New York Propane Gas Association
 - Ohio Propane Gas Association
 - Tennessee Propane Association
 - Wisconsin Propane Gas Association
- Technical Association of Pulp and Paper Industry
- The American Institute of Chemical Engineers
- The Chlorine Institute
- The Fertilizer Institute
- The Pesticide Stewardship Alliance
- United Fresh Produce Association
- United States Oil and Gas Association
- University Risk Management and Insurance Association
- Virginia Aquaculture Association
- Virginia Oil and Gas Association
- Western Plant Health Association
- Wheatlands Clinical Laboratory Management Association
- World Aquaculture Society
- World Waterpark Association

Labor Organizations

- International Brotherhood of Teamsters
- International Chemical Workers Union
- United Brotherhood of Carpenters
- United Steelworkers

Environmental and Other Groups

- Association for Community Health Improvement
- BlueGreen Alliance
- Greenpeace

This page is intentionally left blank.



CISA
CYBER+INFRASTRUCTURE