Guiding Principles for the Nation's Critical Infrastructure

ASCE

Guiding Principles for the Nation's Critical Infrastructure



Library of Congress Cataloging-in-Publication Data

Guiding principles for the nation's critical infrastructure / prepared by the ASCE Critical Infrastructure Guidance Task Committee.

p. cm. Includes bibliographical references and index.

ISBN 978-0-7844-1063-9

1. Construction projects—Management—Standards. 2. Public works—United States. 3. National security—United States. 4. Infrastructure (Economics) I. ASCE Critical Infrastructure Guidance Task Committee.

TA23.G85 2009 363.1—dc22 2009020356

Published by American Society of Civil Engineers 1801 Alexander Bell Drive Reston, Virginia 20191 www.pubs.asce.org

The material presented in this publication has been prepared in accordance with generally recognized engineering principles and practices, and is for general information only. This information should not be used without first securing competent advice with respect to its suitability for any general or specific application.

The contents of this publication are not intended to be and should not be construed to be a standard of the American Society of Civil Engineers (ASCE) and are not intended for use as a reference in purchase specifications, contracts, regulations, statutes, or any other legal document.

No reference made in this publication to any specific method, product, process, or service constitutes or implies an endorsement, recommendation, or warranty thereof by ASCE.

ASCE makes no representation or warranty of any kind, whether express or implied, concerning the accuracy, completeness, suitability, or utility of any information, apparatus, product, or process discussed in this publication, and assumes no liability therefor.

Anyone utilizing this information assumes all liability arising from such use, including but not limited to infringement of any patent or patents.

ASCE and American Society of Civil Engineers—Registered in U.S. Patent and Trademark Office.

Photocopies and reprints. You can obtain instant permission to photocopy ASCE publications by using ASCE's online permission service (http://pubs.asce.org/permissions/requests/). Requests for 100 copies or more should be submitted to the Reprints Department, Publications Division, ASCE (address above); e-mail: permissions@asce.org. A reprint order form can be found at http://pubs.asce.org/support/reprints/.

Copyright © 2009 by the American Society of Civil Engineers. All Rights Reserved.
ISBN 978-0-7844-1063-9
Manufactured in the United States of America.

17 16 15 14 13 12 11 10 09 1 2 3 4 5

[TABLE OF CONTENTS]



FOREWORD 4
EXECUTIVE SUMMARY 5

CHAPTER 1: Critical Infrastructure 8

What Went Wrong in New Orleans 9

The Value Proposition 10
Who Leads the Charge? 12

CHAPTER 2: Guiding Principles for Critical Infrastructure 13
CHAPTER 3: Quantify, Communicate, and Manage Risk 15

Risk Management 15 Understanding Risk 16 A Shift in Thinking 16

CHAPTER 4: Employ an Integrated Systems Approach 20

Sustainability, Redundancy, and Resiliency 20

Integral Solutions 21

CHAPTER 5: Exercise Sound Leadership, Management, and Stewardship 24

The Infrastructure Leader 24
Strong, Flexible Organizations 25

CHAPTER 6: Adapt to Dynamic Conditions and Practice 29

Knowns and Unknowns 30

Overcoming the Resistance to Change 30

CHAPTER 7: Strategies for Change 33

Strategies for End-Users, Voters, and Citizens 33

Strategies for Design and Construction Professionals 33

Strategies for Elected Officials 34 Strategies for Regulators 34

Strategies for Owners 34

ACKNOWLEDGEMENTS 37

CREDITS 40

On the Cover:

(top) Los Angeles's Four Level Interchange between the Hollywood Freeway (US 101) and the Pasadena Freeway (SR 110) was the first stack interchange in the world and is today one of the busiest, with more than 455,000 cars per day passing through it.

(bottom) Considered an engineering marvel at the time, the Eads South Pass Navigation Works, New Orleans, Louisiana, opened a channel (in 1879) at the mouth of the Mississippi River that allowed large boats easy access to the Port of New Orleans.



[FOREWORD]

The devastating consequences of the levee failures in New Orleans focused the nation's and the civil engineering profession's attention on the root causes of what is considered one of the worst infrastructure disasters in our nation's history. As reported in the American Society of Civil Engineers (ASCE) *Report Card for America's Infrastructure*¹, the nation is beginning to acknowledge the fact that its aging infrastructure is in need of repair or, in some cases, replacement.

After months of intense analysis of the New Orleans disaster, the ASCE Hurricane Katrina External Review Panel urged that "organizations responsible for critical life-safety facilities be organized and operated to enable, not to inhibit, a focus on safety and that engineers continually evaluate the appropriateness of design criteria, always considering how the performance of individual components affects the overall performance of a system."²

These insights have become an imperative to all organizations and individuals involved in planning, funding, designing, constructing, and operating critical infrastructure. This report is an important step in addressing the types of engineering and institutional failures that were brought to light by the studies following Hurricane Katrina and other recent infrastructure disasters.

The ASCE Board of Direction established the Critical Infrastructure Guidance Task Committee to develop this guide to ensure quality in critical infrastructure systems that may involve multiple constituents, multiple jurisdictions, and complex financing. The Critical Infrastructure Guidance Task Committee formulated the guiding principles that are the focus of this document. Although this document uses critical infrastructure to illustrate the importance of the guiding principles, they apply to all infrastructure systems.

I am grateful to all of the individuals involved in this effort for their hard work, initiative, and insight. Success in working with critical infrastructure depends on each one of us.

D. Wayne Klotz, P.E., F.ASCE, D.WRE ASCE President 2008-2009

¹ American Society of Civil Engineers, Report Card for America's Infrastructure (Reston, Virginia, ASCE).

² American Society of Civil Engineers Hurricane Katrina External Review Panel, "The New Orleans Hurricane Protection System: What Went Wrong and Why," (Reston, Virginia: ASCE Press, 2007), p. vii.