**FERC SECURITY CHECKLIST (v5)**

**Field Security Inspection Form 1**

**Project No.: Project Name: Dam: .**

**Owner: Security Group: Date: .**

**Inspector: Accompanied by: .**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Field Observations: (Provide detailed supplemental information to the right)** | **Y** | **N** | | **NA** | | **Comments**  **(Provide additional details – especially any “No” answers – here and separate sheets, if necessary.** **Indicate NA if not appropriate to site.)** | |
| **DETECTION AND ASSESSMENT**  1. Is the site manned? Dam? |  |  | | Days/week Hours/day . | | | |
| Powerhouse? |  |  | | Days/week Hours/day . | | | |
| 2. Are there surveillance Dam?  cameras in use? |  |  | |  | |  | |
| Powerhouse? |  |  | |  | |  | |
| Other? |  |  | |  | |  | |
| How are they viewed/checked? |  | | | | | | |
| 3. Is the frequency of walking inspections  appropriate (safety and/or security)? |  |  | |  | | Note the frequency of these inspections: | |
| Personnel control/ID badges used? |  |  | |  | |  | |
| **DELAY**  4. Is the dam site fenced with gates/doors  locked (if appropriate to the site)? |  |  | |  | |  | |
| 5. Is access restriction to the Foot?  dam/facilities appropriate  and in-place? |  |  | |  | |  | |
| Vehicle? |  |  | |  | |  | |
| Boat? |  |  | |  | |  | |
| 6. Are spillway/gate controls secured  against unauthorized access? |  |  | |  | |  | |
| 7. Are powerhouse doors/  windows locked? |  |  | |  | |  | |
| Alarms/motion detection/cameras? |  |  | |  | | Specify details: | |
| Can systems be easily bypassed? |  |  | |  | |  | |
| 8. Water conveyance Access restricted?  system: |  |  | |  | |  | |
| Surveillance? |  |  | |  | |  | |
| 9. Is critical performance monitoring  equipment secured against tampering? |  |  | |  | |  | |
| **Field Observations** | **Y** | **N** | | **NA** | | **Comments** | |
| **RESPONSE**  10. Are law enforcement phone numbers  posted? |  |  | |  | |  | |
| 11. Are there redundant communications? |  |  | |  | |  | |
| 12. How long it takes the operator if detected to respond to unauthorized access? | How is detection made? | | | | | | |
| What is that response? |  | | | | | | |
| 13. Can law enforcement be quickly  notified? |  | |  | |  | | Identify enforcement agenc(ies): & capabilities: |
| Estimated time for arrival? |  | | | | | | |
| **INTEGRATION & RISK MANGMT.**  14. Describe assessment of threats, vulnerable features and potential impacts. Include switchyards & transmission lines, etc. Also consider elements of operations that could be subject to cyber attack. | Last time consultation with law enforcement was made to determine threat: | | | | | | |
| 15. Steps taken to improve Past year:  security: |  | | | | | | |
| Long term plans: |  | | | | | | |
| 16a. Is there a Security Plan  (Group 1 or 2) |  |  | |  | | If “Yes” is it acceptable?  Is there a Response/Recovery Plan component? | |
| Are there different site-specific  response levels covered in the  Security Plan for varying threat? |  |  | |  | | Summarize levels/activities: | |
| Are the measures on the day of  inspection consistent with the  current threat level? |  |  | |  | | If “no” explain: | |
| 16b. Has Security plan been revised since  last field change? |  |  | |  | | When it was last exercised & what type? | |
| 17. Is there a Vulnerability Assessment?  (Group 1) |  |  | |  | | If “Yes” is it compliant? | |
| 18. Is there a Security Assessment?  (Group 1 or 2) |  |  | |  | | If “Yes” is it compliant? | |
| 19. Are all actions an plans fully  integrated? |  |  | |  | |  | |
| 20. Do any security measures conflict  with any license requirements? |  |  | |  | | | |
| 21. Is there HAZMAT/fuel storage on-site? |  |  | | Describe: | | | |
| If so, is access secured? |  |  | |  | | | |
| 22. Are critical drawings/plans/records  secured from unauthorized access? |  |  | |  | |  | |
| 23. We have no comments about the  Security Measures observed: |  |  | | If no comments, check “No”; if comments needed, check “Yes”. | | | |
| If comments needed, follow-up  actions will be made and tracked | List potential remediation discussed: | | | | | | |

**Project Security Summary Information – Form 2**

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| **Security Information** | **Comments**  **(Provide detailed information on separate sheet, if necessary)** |
| A. Number of security/surveillance incidents  in past year. | Description (indicate if it was it reported to FERC) |
| B. Owner expressed specific security concerns or questions. |  |
| C. Number (description) of data requests or  site visits by DHS PSA or other  assessment groups |  |
| D. Changes made to None made:  security since  last inspection | Indicate “None” by checking here: .  Do previous studies show prior posture was adequate?(y/n) . |
| Following changes were made  to physical site security: | If so, describe changes: |
| Following changes made to  procedural operations (incl.  threat level increase additions,  employee actions, etc.): | If so, describe changes: |
| Following changes/additions  made to cyber/SCADA  operations: | If so, describe changes: |
| Overall Risk to security  reduced due to above  modifications because of: | (Cite critical pre-modification ASR value(s) and show if modifications decreased the ASR Risk value.) |
| E. A discussion was made with site personnel regarding no security materials submittal, and hard-copy only submittal of annual security compliance certification letter | Yes, discussion was made (check if so): .  No, discussion was not made (reason why) . |