

Key Features of an Active and Effective Protective Program

Example Self-Assessment Measures

The Features establish the expectation that utilities should self-assess to measure progress and adjust their protective program based on performance data.

The water sector has developed measures of utility activities that roughly correspond with the activities described in the Features. These measures are provided as examples for utilities to consider as a starting point as they develop their own self-assessment measures.

- 1. Have you integrated security and preparedness into budgeting, training, and manpower responsibilities (Y/N)?
- 2. Have you incorporated security into planning and design protocols applying to all assets and facilities (Y/N)?
- 3. Do you routinely conduct supplemental monitoring or more in-depth analysis beyond what is required to identify abnormal water quality conditions (Y/N)?
- 4. Have you established relationships with public health networks to interpret public health anomalies for the purposes of identifying waterborne public health impacts (Y/N)?
- 5. Do you monitor and evaluate customer complaints for possible indications of water quality or other security threats (Y/N)?
- 6. Have you established protocols (i.e., consequence management plans) for interpreting and responding to indications of water quality anomalies (Y/N)?
- 7. Do you review your vulnerability assessment (VA) annually (Y/N)?
 - How frequently do you update your VA to adjust for changes in your system that may alter the risk profile of your utility? (never update; annually; every 2-3 years; every 3-5 years; every 5-10 years; no defined cycle)?
- 8. Does your utility receive screened, validated, and timely (e.g., in time to inform decisions or take action) threat information from one or more of the following sources (Y/N)?
 - WaterISAC
 - FBI
 - Local police
 - DHS
- 9. Do you have a plan in place to increase utility security in response to a threat (Y/N)?
- 10. Do you have a written business continuity plan (Y/N)?
- 11. Do you:
 - Have an emergency response plan (ERP) (Y/N)?
 - Conduct training on the ERP (Y/N)?
 - Carry out exercises on the ERP (Y/N)?
 - If so, which type:
 - Table top (Y/N)?
 - Functional (Y/N)?
 - Full field (Y/N)?
 - Review and update ERP on a periodic basis (Y/N)?
- 12. Has your utility adopted National Incident Management System (NIMS) as part of its emergency response plan?
 - Is the Incident Command System (ICS) being used in your organization to manage incidents and/or preplanned events?
- 13. Is your utility a signatory to written agreements for requesting aid or assistance, such as an MOU for mutual aid and assistance or Water/Wastewater Agency Response Network (WARN) membership (Y/N)?
 - If no, are you in the process of creating an agreement (Y/N)?
- 14. Has your utility responded to an emergency request to provide mutual aid and assistance (Y/N)?
- 15. Do you have a crises communication plan (Y/N)?
- 16. Do you engage in networking activities regarding emergency preparedness and collaborative response in the event of an incident (Y/N)?