**Public Utility Security Planning and Readiness Self Certification Form**

**Frequently Asked Questions**

**1. Why did my company receive this form?**

You received the Public Utility Security Planning and Readiness Self Certification Form because our records indicate that all or a portion of your business operations fall under the jurisdiction of the PA Public Utility Commission. **If you are unsure about what plans are being referenced for self-certification, please see the answers to questions 8, 9, 11 and 12, below.**

**2. Does my company need to fill out this form?**

If all or a portion of your business operations have been granted operating rights under the jurisdiction of the PA Public Utility Commission, then yes, your company should complete and return this form.

**3. If I am a single vehicle truck/taxi/limousine owner and operator, do I still need to fill out this form?**

Yes, if all or a portion of your business operations have been granted operating rights under the jurisdiction of the PA Public Utility Commission, you must complete this form. Most operators already have the elements of these four plans in place, but they may not have written them down to formalize them. For examples, please see the answers to questions 8, 9, 11 and 12, below.

**4. My company completed and returned this form last year. Does my company have to complete and return another form this year?**

Yes, the Public Utility Security Planning and Readiness Self Certification Form should be submitted annually, even if there are no changes in your answers from last year’s submission.

**5. What do I write in the “Utility/Industry Type” space on the top of the form?**

This line should describe the type of business operations that your company performs that are jurisdictional to the PA Public Utility Commission (e.g., electric distribution company, natural gas distribution company, trucking, taxi, limousine, etc.).

**6. What do I write in the “Year Ended” space on the top of the form?**

For this year’s submission, the “Year Ended” is 2019. The Public Utility Security Planning and Readiness Self‑Certification Form is used to certify compliance during the previous calendar year.

**7. Should my company submit its plans or provide a description of its plans with this form?**

No. Security plans should not be submitted with the Public Utility Security Planning and Readiness Self Certification Form.

**8. What is a Physical Security Plan?**

A Physical Security Plan is designed to safeguard personnel, property, and information. A Physical Security Plan should be a document that characterizes the company’s response to security concerns at mission critical facilities or on equipment. The Physical Security Plan may include the specific features of mission critical equipment or a facility protection program (e.g., fences, surveillance cameras, etc.), and company procedures to follow based upon changing threat conditions or situations.

For a small motor carrier company, a Physical Security Plan could be a plan that ensures the security of the business office and vehicles, such as locking the vehicles and keeping them in a locked garage, or behind locked gates. Also to be considered are any alarm systems installed on vehicles or in the garage or office.

**9. What is a Cyber Security Plan?**

A Cyber Security Plan addresses the measures designed to protect computers, software and communications networks that support, operate or otherwise interact with the company’s operations. A Cyber Security Plan involves maintaining and testing an information technology disaster recovery plan, which includes: (1) critical functions requiring automated processing, (2) appropriate backup for application software and data, (3) alternative methods for meeting critical functional responsibilities in the absence of information technology capabilities, and (4) a recognition of the critical time period, for each information system, before the company could no longer operate.

For a small company with only a few computers, a Cyber Security Plan may include an updated virus protection program and alternative media or location storage of critical data. Routinely backing up key data might also be included. Many businesses that use computers in their regular operations are likely following these procedures.

**10. How should my company answer the cyber security portion of the form if the company does not have any computers or does not utilize computers to perform critical business operations or store critical data?**

If you believe your company falls into this category, please enter an “N/A” response to question numbers 4, 5 and 6 related to cyber security planning and provide an explanation as to why the cyber security planning questions are not applicable.

**11. What is an Emergency Response Plan?**

An Emergency Response Plan describes the actions a company will take if a problem exists at a facility, whether due to a natural causes or sabotage. Actions typically include identifying and assessing the problem, mitigating the problem if possible, and notifying the emergency management system to protect human life and property.

For a small motor carrier company, an Emergency Response Plan could include keeping a list of emergency numbers stored in drivers’ cell phones with a hard-copy backup in the glove compartment. Also, any fire extinguishers or first aid kits stored on the trucks as well as an evacuation plan for a garage or office in case of fire or other event requiring evacuation could be part of an Emergency Response Plan.

**12. What is a Business Continuity Plan?**

A Business Continuity Plan should ensure the continuity or uninterrupted provision of operations and services. As part of its business continuity planning process, a company may review the continuity or recovery of any facilities or operations that are critical to the company’s survival. Business continuity planning is an on-going, comprehensive process with several different but complementary elements. It includes business succession, business recovery, business resumption, and contingency planning.

For a small motor carrier company, a Business Continuity Plan would include a plan ensuring the continuing operation of the business that overcomes the potential loss of the business office, personnel and/or vehicles due to pandemic, accident, fire, terrorism, etc. For most, this is done through insurance on the vehicles or office/garage and with the ability to dispatch from alternate sites, other than the businesses’ main location.

**13. What does it mean to test my Physical Security, Cyber Security, Emergency Response and Business Continuity Plans annually?**

The PA Public Utility Commission requires all our jurisdictional utilities to test their security plans annually; however, we understand that it may not be feasible to test an entire plan each year. In such cases, we request that companies maintain a schedule of testing for each portion of their plans, such that the entire plan is fully tested over some definitive period of time.

**14. Does the form need to be notarized?**

 No. The Public Utility Security Planning and Readiness Self Certification Form does not need to be notarized.

**15. The bottom of the form requests a name, signature, phone number and e-mail of Officer. Who in my company should fill out this portion of the form?**

The individual responsible for ensuring the secure operations of the business should be the person that signs the bottom of the form.

**Pennsylvania Public Utility Code Chapter 101 – Public Utility Preparedness Through Self-Certification**









**Information on the Pennsylvania State Police Criminal Intelligence Center**

