

| | | | | | |
|--|---|-------------------------------------|----------------------|--|----------------|
|  | | Corporate Security Procedure | | CIP CORPSEC-PRCD-018-0608-04 | |
| Lost/Stolen and Damaged Badge Reporting Procedure | | | Issue Date: | 6/30/08 | |
| | | | Reissue Date: | 08/26/11 | |
| Author: | Linda Lowe, Security & Compliance Specialist | | |  | 8/26/11 |
| Approval: | Jason Shaver, Manager, System Operations Support | | |  | 8/26/11 |

1. Overview

1.1 Purpose

- 1.1.1 American Transmission Company (ATC) understands that upholding high corporate standards for security and a safe work environment requires that its employees and service vendors follow defined procedures when security identification badges are lost, stolen or damaged.
- 1.1.2 The purpose of this document is to establish a formal Corporate Security procedure for employees and service vendors who need to replace a lost, stolen or damaged badge. This procedure applies to badges issued for use at ATC office facilities and substations with enhanced security.
- 1.1.3 This procedure is also intended to define how ATC meets the requirement for NERC Standard CIP-006 Requirement R1.4 for response to badge loss.

2. Applicability

2.1 NERC Applicability

- 2.1.1 The requirements identified in this procedure are applicable to ATC as a Transmission Owner and Operator.

2.2 Impacted ATC Job Titles and Functions

- 2.2.1 ATC Employees and Service Vendors - responsible for proper use and control of ATC issued identification badges and reporting badge issues (lost, stolen or damaged) immediately to Corporate Security.
- 2.2.2 ATC Receptionists – responsible for obtaining damaged badges and delivering replacement badges.
- 2.2.3 Corporate Security – responsible for disabling damaged or lost/stolen badges and issuing replacement badges.



Corporate Security Procedure

CIP
CORPSEC-PRCD-018-0608-04

Lost/Stolen and Damaged Badge Reporting Procedure

Issue Date: 6/30/08

Reissue Date: 08/26/11

2.2.4 System Control Operators – responsible for issuing a temporary PIN code to individuals who require access to substations with enhanced security who are awaiting a replacement badge.

3. Procedures

3.1 Reporting a Lost, Stolen or Damaged Badge

3.1.1 Employees and service vendors shall notify the Corporate Security hotline (262-506-6199) upon discovery if their security identification badge is lost, stolen or becomes damaged or inoperable. The Corporate Security hotline is available 24 hours a day, 7 days a week, 365 days a year.

3.1.2 Corporate Security shall deactivate the badge immediately upon notification.

3.1.3 To request a replacement badge, the individual will complete a Lost/Stolen/Damaged Badge Replacement Form (CS021) and scan/email the form to Corporate Security (cssupport@atcllc.com). The form is available electronically via:

3.1.3.1 Powerline (ATC's intranet) – Core Business\Business Practices\Forms\Security forms


3.1.3.2 ATC's External Website (atcllc.com) – About Us\Supplier Processing\Forms/Information

3.1.3.3 Upon request, Corporate Security will email the form to the badge holder for completion.

3.1.4 Corporate Security will create a new badge, mark it “disabled” and distribute it as follows:

3.1.4.1 ATC Employees and service vendors (who perform services at an ATC office): the new badge will be sent to the receptionist at the primary work site for the employee/service vendor. When the employee or service vendor arrives to pick up the new badge, the receptionist will contact ATC Corporate Security to have the badge activated. The damaged badge (if applicable) will be sent to Corporate Security.

3.1.4.2 Service Vendors (who have unescorted access badges for substations with enhance security): the new badge will be sent to the primary point of contact for the respective service vendor's company. The

| | | | |
|--|-------------------------------------|---|-----------------|
|  | Corporate Security Procedure | CIP CORPSEC-PRCD-018-0608-04 | |
| Lost/Stolen and Damaged Badge Reporting Procedure | | Issue Date: | 6/30/08 |
| | | Reissue Date: | 08/26/11 |

designated person will be responsible for acknowledging receipt and distributing the badge to the badge holder. Upon receipt by the badge holder, they shall contact ATC Corporate Security to have the badge enabled. The badge holder will be required to successfully answer one of the “challenge questions” in order for the badge to be activated.

3.1.5 If the badge is later found, it must be returned to Corporate Security to be documented in the security records and properly destroyed.

3.2 Requesting Temporary Access – ATC Offices

3.2.1 During the interim while the employee or service vendor is awaiting a replacement badge, the receptionist may issue a temporary badge which is handed out on a daily basis until the new badge has been received.


3.2.2 The receptionist logs the temporary badge in the Visitor Management Register.

3.2.3 Badges must be returned into the reception desk at the end of the work shift each day. During the morning badge audit process, badges not returned from the previous day will be disabled.

3.3 Requesting Temporary Access – Substations with enhanced security

3.3.1 If access is required to a substation with enhanced security while the individual is awaiting a replacement badge, the employee or service vendor will contact System Control Operations (using the telephone number posted at the site) and request a PIN code. After successfully answering one of the “challenge questions”, the PIN code will be provided.¹

¹ Reference *Access Control Procedure for Substations with Enhanced Security* CORPSEC-PRCD-040-0911

| | | | |
|--|-------------------------------------|---|-----------------|
|  | Corporate Security Procedure | CIP CORPSEC-PRCD-018-0608-04 | |
| Lost/Stolen and Damaged Badge Reporting Procedure | | Issue Date: | 6/30/08 |
| | | Reissue Date: | 08/26/11 |

4. Appendices

4.1 Definitions

- 4.1.1 Annual: All uses of the terms “annual” or “annually” shall be interpreted to mean “occurring once each calendar year (i.e. once during the period beginning January 1st and ending December 31st).”
- 4.1.2 Service Vendor: An employee of a company that performs services to ATC. This includes those classified as Local Distribution Companies (LDC’s).
- 4.1.3 Substations with Enhanced Security (SES): A substation that has additional security measures (e.g., card readers, cameras, etc) and protocols installed and is designated as having a PSP).

4.2 Sample Forms

- 4.2.1 CS021 Lost/Damaged Badge Replacement Form (see Attachment A)

4.3 ATC Procedures

- 4.3.1 ATC Cyber Security Policy
- 4.3.2 CORPSEC-PRCD-040-0911 Access Control Procedure for Substations with Enhanced Security

5. APPLICABLE NERC, MRO, AND RFC STANDARDS

5.1 References

- 5.1.1 North American Electric Reliability Corporation (NERC)–Critical Infrastructure Protection–CIP–Cyber Security–Physical Security (CIP-006)

5.2 Data Retention

- 5.2.1 Completed forms will be maintained for a minimum of three years.



**Corporate Security
Procedure**

**CIP
CORPSEC-PRCD-018-0608-04**

**Lost/Stolen and Damaged Badge Reporting
Procedure**

Issue Date: 6/30/08

Reissue Date: 08/26/11

6. Review and Revision History

6.1 Periodic Review. On an annual basis, this procedure shall be reviewed and revised in accordance with the *ATC Cyber Security Policy*.

6.2 Revision History.

| Revision Number: | Reason: | Author/ Reviewers: | Approved by: | Effective Date: |
|-------------------------|--|---|---------------------|------------------------|
| 01 | Procedure Creation | Linda Rosenberg | Eric Solberg | 6/30/08 |
| 02 | Updated Corporate Security name and other information. | Linda Lowe | Eric Solberg | 6/30/09 |
| 03 | Updated CIP006 reference and changed "suppliers" to "service vendors". Annual procedural review. | Linda Lowe (author), Corporate Security Team | Eric Solberg | 9/13/10 |
| 04 | Updated procedure to add in references to Substations with Enhanced Security (SES). Combined section 3.2 with 3.1. Added section 3.3 for temporary access to an SES. Annual procedural review. | Linda Lowe, Corporate Security Team, Sally Tinberg, Jennifer Walker | Jason Shaver | 08/26/11 |



Corporate Security Procedure

CIP
CORPSEC-PRCD-018-0608-04

Lost/Stolen and Damaged Badge Reporting Procedure

Issue Date: 6/30/08

Reissue Date: 08/26/11

7. Attachment A: Lost/Stolen/Damaged Badge Replacement Form (sample)

| ATC Badge Holder Information | | | |
|---|---|--|--|
| REQUEST DATE | LAST NAME | First Name | M.I. |
| BADGE STATUS (please check one) | | Date Occurred: | Date Reported to Corporate Security: |
| <input type="checkbox"/> Lost <input type="checkbox"/> Stolen <input type="checkbox"/> Damaged | | | Reported Via: <input type="checkbox"/> Phone Call <input type="checkbox"/> Email <input type="checkbox"/> Site Receptionist <input type="checkbox"/> Other |
| Badge Holder Comments: Please explain the circumstances regarding the lost/stolen badge or describe the issue with the badge if damaged. | | | |
| ATC Badge Holder Signature: I understand # the badge is found after being reported lost/stolen. I will return the badge immediately to ATC Corporate Security for proper destruction. | | | Date signed: |
| Please scan/email this form to: cssupport@atcllc.com or fax to 262-506-6180. If faxed, please contact ATC Corporate Security @ 262-506-6199 for receipt confirmation. For assistance please contact 262-506-6199 | | | |
| For Corporate Security Use Only | | | |
| Request Received: | Received via: <input type="checkbox"/> Email <input type="checkbox"/> Fax | SES SV Badge?: <input type="checkbox"/> Yes | |
| Processed By: | Lost/Stolen/Damaged Badge # | C*Care Access Level Verified: | |
| Existing PID: | New PID (if applicable): | New Badge Number Issued: | |
| Badge Prepared/Sent to: | Date: | Site Receptionist Receipt Confirmed: | |
| <input type="checkbox"/> Badge Holder <input type="checkbox"/> Site Receptionist(Site) <input type="checkbox"/> For SES: Service Vendor POC (Badge Receipt Form must accompany badge(s)) | | <input type="checkbox"/> Yes - Name _____ Badge Enabled Date: _____ | |
| For SES Badge Replacements | | | |
| SV POC Name Sent To: | Badge Receipt Returned: | SES SV Call Received: | |
| | | Answered "Challenge Question Successfully?" <input type="checkbox"/> Yes <input type="checkbox"/> No Badge Enabled: <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| RECORDS MANAGEMENT | | | |
| Old Badge Received Date: | Old Record in C*Care Deleted Date: (if duplicate record created): | Old Badge Logged on spreadsheet: <input type="checkbox"/> | |
| | | Old Badge Destroyed: <input type="checkbox"/> | |
| The signed copy of this form will be placed in the badge holder's security file. | | | |
| Form C 021-5 (dated 08/26/11) | | | |