



# Cyber-Physical Attack Recovery Procedures

A Step-by-Step Preparation  
and Response Guide

—  
Luis Ayala

Apress®

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Response Guide



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## *Cyber-Physical Attack Recovery Procedures: A Step-by-Step Preparation and Response Guide*

Luis Ayala  
Fredericksburg  
Virginia, USA

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*I want to thank my wife, Paula, who has been with me through thick and thin for the last 35 years.*

*I also thank our son, Christopher.*



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# About the Author

**Luis Ayala** worked for the US Department of Defense for more than 25 years, with the past 11 years at the Defense Intelligence Agency. Prior to his appointment as a defense intelligence senior leader in 2008, he held several leadership positions at the branch and division levels.

His tenure culminated with the position as senior technical expert (facilities/construction). Mr. Ayala earned his Bachelor of Architecture degree from Pratt Institute and he received his Master of Science and Technology Intelligence from the National Intelligence University. NIU is the intelligence community's sole accredited, federal degree-granting institution. His master's thesis, titled "Cybersecure Facilities for the Intelligence Community," is classified. Mr. Ayala was awarded the DIA Civilian Expeditionary Medal and the Civilian Combat Support Medal.



# About the Technical Reviewer

**William Beck** has a BS in engineering from the University of South Carolina, majoring in structures and mechanics, and NROTC. He served six years in the US Navy as a lieutenant and naval aviator with a multi- and single engine, land, instrument, and commercial license. After earning an MBA from Webster University in 1980, Mr. Beck was hired by Exxon Co. USA as a subsurface engineer, where he worked his way up to senior engineer and also earned his professional engineer's license in 1985. For 31 years, he worked for the federal government as an engineering branch chief for the General Services Administration's Public Building Service Property Development in Fort Worth, TX.

Mr. Beck is married with two sons and two grandsons. He is an active pilot, scuba diver, traveler, and golfer.





# Introduction

You need to accept as fact that eventually your facility will be the target of a cyber-physical attack. The only choice you have in this matter is how your building will be attacked by reducing the number of possible attack vectors. The best you can hope for is a situation where a cyber-physical attack is detected quickly, building equipment automatically shuts down gracefully (before any damage is done or anyone is injured), and building systems can be rapidly restored to normal operation.

This book does not focus on how hackers can get in to your BCS. I don't explain how hackers can overcome firewalls or defeat sophisticated security software. I leave that to others to explain. I don't spend a lot of time discussing how to tell if a cyber-physical attack is underway (when everything shuts down—especially unrelated building systems, you know something's wrong). The objective of this book is to plan how best to respond to a cyber-physical attack so you can make decisions quickly and take proper action to mitigate the impact of the attack. When a cyber-physical attack occurs, the last thing you want to do is make things up as you go. This book advocates a *dynamic attack surface*—automated on-the-fly changes of a building control system's (BCS) characteristics and defensive counter-cyber operations to thwart actions of an adversary.

You can spend millions of dollars beefing up the secure perimeter of a building against a physical attack, but that can all be defeated by a hacker causing equipment already inside the facility to destroy itself or even explode simply by executing a well-planned cyber-physical attack. Having an active and effective malware detection program in place to protect your facilities is great, but it would be meaningless without a well-designed plan that tells building maintenance personnel what to do when a cyber-physical attack is underway.

---

■ **Cyber-physical attack** A classic cyber-physical attack would be when a hacker is able to damage building equipment by sending destructive commands over the BCS to the equipment that changes the configuration setpoints above dangerous levels for which the equipment has not been designed, such as too high pressure or dangerously high temperature. A second type of cyber-physical attack is an attack that does actual physical damage or a coordinated cyber and physical attacks on vulnerable physical systems. For example, in 2013, a sniper shot at and damaged 17 electrical transformers in California, causing them to leak coolant, overheat, and shut down (physical component).<sup>1</sup> The cyber component to this attack was the fact that the attacker also disabled the utility controls system ability to signal an alarm.

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<sup>1</sup>Smith, Rebecca. "Assault on California Power Station Raises Alarm on Potential for Terrorism" *Wall Street Journal*, February 5, 2014.

Of course, building engineers assume a cyber-physical attack can't happen because of safety devices installed to prevent catastrophic events. It's true that many building control systems have hard-wired safeties designed to shut down equipment and these hard-wired safeties typically are not controlled by the BCS. However, a hacker can use these safety devices as part of the attack—in fact, the hacker is counting on safety devices turning things off. Keep in mind that the Chernobyl nuclear plant also had safety devices that were turned off—by insiders.<sup>2</sup> Sad to say, 40 percent of cyber-attacks are carried out by insiders. In addition, it is not uncommon for insiders to turn off safety features that tend to set off frequent false alarms. The first thing a hacker does after he installs a backdoor is disable safety devices. A second factor to consider is that multiple pieces of equipment will be attacked simultaneously in a well-planned cyber-physical attack. A hacker won't just disable your boilers—he'll disable everything that he can.

Facility engineers rely on equipment alarms to warn when equipment and processes approach dangerous situations and to (hopefully) allow equipment to power down gracefully. Generally, that is the case—unless of course if a hacker changed the configuration setpoints so the building controls “thinks” that a boiler's 322°F water temperature and 1,500 psi pressure in a gas line designed for 400 psi are “normal” setpoints.

Of course, not every equipment failure or power outage is a cyber-physical attack. When your building is attacked, you probably won't suspect it was a hacker—until you see a pattern. Lots of equipment will act “squirrely” and you'll know—it's a *cyber-physical attack!*

When a cyber-physical attack occurs, it can mean years of court cases, job losses, higher insurance rates, and criminal litigation. Organizations with a high profile in the community have a responsibility to assess the vulnerability of their facilities to disruption by hackers. For example, it is not enough for a hospital to say that they took the normal standard of care in their industry—they will be called upon to show that they took every reasonable precaution. It also takes years to overcome the loss of safety credibility to employees and the local community.

Taking the right steps ahead of time, and equipping your facility and employees with the training, knowledge, and tools they need to prevent an attack and deal with one when it occurs may save lives. If you think I'm kidding, read about how a hacker can degrade or destroy your building equipment in the following chapters. If your building is connected to the Internet (directly or indirectly), a hacker may be able to install ransomware and take complete control of your building.

Take my advice and do the following:

- Completely disconnect your building controls system from the Internet immediately.
- Segregate the BCS from all other computer networks.
- Remove all modems and wireless cards from all computers, printers, and servers.
- Stop vendors from connecting remotely to your BCS. If they must connect to the BCS for maintenance, allow vendors to only use your laptops. These are laptops that stay in the building under lock and key and that are scanned for malware before and after they are used.

Have a professional perform a vulnerability assessment and report the results directly to top management. If you do these things, you will be able to sleep at night. Don't be “that guy.”

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<sup>2</sup>Shanker, Thom. “Test Errors Caused Chernobyl, Soviets Say” *Chicago Tribune*, August 22, 1986.

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■ **Hand-Off-Auto Switch (H-O-A)** A device that has switches that maintain their position. Start and Stop buttons have momentary actions. The Off position prevents any operation. Used in a situation that has a single point of manual control to allow the motor (or other device) to (A) operate from an automated building control system, (O) not operate, or (H) operate with no safeguards or automated control. The Hand position is used to bump the motor or to operate for short times while observed by operating personnel.

---

I wrote this book because I searched unsuccessfully for cyber-physical attack recovery procedures specifically written for building controls or SCADA. I only found recovery plans when a hacker steals information or defaces websites. I did not find any that specifically address how to stop a cyber-physical attack intended to damage building equipment or how to react after a building has been attacked. This book should give you an idea how bad things can get, and how serious a problem a well-planned cyber-physical attack can be. Throughout this book, I use jargon taken from electrical and mechanical engineering fields as well as information technology and physical security environments. I include a definition of some terms that readers may not be familiar with in a text box or footnote. Otherwise, most definitions can be found in another book I wrote, the *Cybersecurity Lexicon* (Apress, 2016).

This book contains step-by-step instructions, checklists, and forms that you can use to develop your own Cyber-Physical Attack Recovery Procedures. Just as no two buildings are alike, no two Recovery Procedures are alike. Only a Recovery Procedures document that has been prepared by qualified engineers for your specific facility should be implemented. The appendix is merely a suggested template to be customized for your specific facility. A soft copy of the template is available for download (with fillable fields) on the Apress web page for this book ([www.apress.com/9781484220641](http://www.apress.com/9781484220641)).

This book is not a crisis management plan. It is not a COOP plan (Continuity of Operations Plan). It is not a business continuity plan, IT application response plan, or an IT infrastructure response plan. Those are designed to prepare for a cyber-attack on an enterprise IT system (database) or organize a response team prior to a natural disaster. Other folks have already written those.

This book assumes hackers have already gained entry to your building controls. I describe the damage hackers can do, and suggest how maintenance personnel should respond to avoid prolonging the attack, and how to recover from the attack. The Recovery Procedures document is a *template* for you to modify based on the specific equipment in your facility with instructions on how to restore building equipment to normal operation when systems begin to act erratically, or fail completely. When hackers shut off the building water, turn off the power, disable the sewage effluent pumps, and activate the fire alarm, you have to do something quick. You won't have time to figure out the proper Sequence of Operations for your boilers and chillers. You need to quickly turn things off before a hacker can do any more damage. And, hackers can damage multiple systems in multiple buildings at the same time—from the other side of the planet. This book will help you create custom checklists for your equipment.

Normally, the response to a physical attack and the speed with which security staff reacts is a function of the type of attack. For example, a well-trained security force is able to respond to an active shooter in mere seconds. Unfortunately, a professional hacker can disable multiple pieces of critical building equipment in milliseconds, so monitoring the BCS for precursors of a cyber-physical attack, and an automated response based on intrusion detection is essential to prevent damage to expensive building equipment.

To make matters worse, unlike an active shooter who is no longer a threat once he has been dealt with, a hacker's handiwork persists long after you've cut the cord, and a hacker can continue to damage your equipment even if he no longer is in direct communication with the building controls system. A "sneaky" hacker (as Jack Nicholson says, "Is there another kind?") will install cyber booby-traps before making his presence known. Before maintenance personnel sound the all-clear, they will have to isolate each and every piece of equipment from the BCS and be prepared to operate all systems manually—just like the old days. Maintenance personnel will have to go to the equipment to read dials, turn valves and open dampers to bring the building back on line—safely.

## ■ INTRODUCTION

Lastly, I want to mention the business case for putting Recovery Procedures in place for when a cyber-physical attack occurs. The cost to replace a 2 MW diesel backup generator is at least \$2 million. An average chiller costs \$200,000; a medium-size boiler probably \$600,000. Normally, replacing any of these would take six months because these are long lead items. You may be able to repair some damaged equipment—provided you can get parts. Another thing to consider is that you will likely not be the only one attacked. Once the floodgates open and all-out cyber warfare begins, you will be ordering equipment at the same time as other victims of cyber-physical attacks.

---

■ **Blamestorming** Figuring out who to blame when something goes wrong.

---

Oh, one more thing that I forgot to mention. An adversary can cause physical damage to your facilities, but there is another aspect to their activities that needs attention. The fact is, hackers are monitoring your company activities using your building controls and other building-related systems that your IT and security staff are probably unaware even exist.

## CHAPTER 1



# Cyber-Physical Attack Recovery Procedures

Many industrial facilities can have downtime costs of more than one million dollars per day. Equipment replacement times can easily be months. SCADA (Supervisory Control and Data Acquisition) systems, Building Control System (BCS), Industrial Control Systems (ICS), and Utility Control Systems (UCS) are extremely complex systems that require engineers and maintenance personnel to learn a new language. It's not enough anymore to simply know what a centrifugal chiller does and how a boiler works. Today, building maintenance personnel also need to know how hackers can attack critical equipment and damage critical infrastructure. Why? Because most building equipment today is computer-controlled and SCADA protocols are insecure by design. That means:

- Control systems protocols have little or no security safeguards
- Migration to TCP/IP networks with its inherent vulnerabilities
- Increased demand for remote diagnostics and maintenance access
- Interconnection with enterprise networks
- Legacy operating systems and applications with poor patching procedures
- Little monitoring of control systems for evidence of hacker presence
- Vendors not securing their product offerings adequately
- The majority of PLCs are ordered with web services enabled and most users leave unused web servers active (not configured), with factory default passwords
- Increased interest in control systems by foreign governments and terrorists
- Evidence that nation-states have already penetrated control systems
- Legacy industrial controls do not have the chip sets and processing capability to authenticate commands or identify malware

Historically, ordinary *cyber-attacks* were often undetectable and untraceable. A major *cyber-physical attack*, on the other hand is difficult to hide because building equipment is failing in real time. This is what happens if you want all the benefits of being “connected.” This book focuses on the damage hackers that *can do* to building equipment and how they can really ruin your day. I describe potential ways to stop a cyber-physical attack, and then how to restore equipment operation without doing further damage.

**Electronic supplementary material** The online version of this chapter (doi:[10.1007/978-1-4842-2065-8\\_1](https://doi.org/10.1007/978-1-4842-2065-8_1)) contains supplementary material, which is available to authorized users.

Most companies cannot function without a physical presence—be it an office or a manufacturing facility. Large companies tend to link their facilities together in the “cloud,” not realizing that an attack on one facility can quickly spread to many others. The Repository of Industrial Security Incidents (RISI) claims that the number of incidents directly affecting SCADA controls systems (accidental and malicious) has increased by 20 percent over the last ten years.

In 2005, the Zotob worm attacked 175 companies, including Caterpillar, General Electric, UPS, and Chrysler. At Chrysler, the Zotob worm shut down 13 assembly lines, idling 50,000 employees. Chrysler had professionally installed firewalls between the Internet and the company’s network, but the worm was able to travel from plant to plant in seconds. Poor systems design and a failure to contain communications are other key problems. For example, upgrading the business system at the Hatch nuclear reactor zeroed out the control system database, causing the reactor safety system to interpret this as a drop in water cooling levels and triggering a shutdown that took two days to restore.

If your facilities controls systems are not segregated, it’s only a matter of time before they *all* go down. Hackers only need to find vulnerabilities at one site to take them all down. It goes without saying that it is a crime to commit a cyber-physical attack, so preservation of evidence is important, but in my world (facilities), it is more important to restore normal building operations quickly.

## Purpose of the Recovery Procedures

The purpose of the Cyber-Physical Attack Recovery Procedures (hereinafter referred to as the “Recovery Procedures”) is to stop a cyber-physical attack and restore mission-critical processes (and the controls system) when an attack causes equipment to fail. I assume that you did *not* take my advice and your BCS is still connected to the Internet; it has modems, embedded web servers, and wireless routers; and vendors happily log in remotely to equipment (that I recommended you secure) or they regularly bring personal laptops to your mechanical rooms and plug into your BCS with little or no supervision. This book presents examples of cyber-physical attacks that hackers will attempt against your building equipment, so that your maintenance personnel understand the vulnerabilities and are prepared to respond to a cyber-physical incident.

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■ **Embedded web server** Web server software built into a building control system device that is provided to configure the device from a web browser. Also used remotely by equipment vendors to update software or troubleshoot problems.

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*This is an important point* because when you ask a maintenance engineer if it is possible to *disable the safety controls* on a steam boiler so the fuel doesn’t cut off automatically when the flame goes out or when the feedwater is stopped, the reply is usually: “Sure, but why would you want to?”

The Recovery Procedures Template in the Appendix contains generic forms to be customized for your specific building controls. They serve as the central repository for the information, tasks, and procedures that would be necessary to restore critical equipment functions. Having this information readily at hand is especially important because a cyber-physical attack on a building control system is engineered such that a prompt resumption of operations cannot be accomplished by employing normal daily operating procedures. This is not business as usual.

When a cyber-physical attack strikes, you won’t be able to simply log on to a vendor website and download the latest drivers. Vendor websites will experience denial of service attacks to prevent you and others like you from recovering after the attacks. If you don’t have hard copy of the network diagrams, equipment operation manuals, rescue CD-ROMs and original vendor software, you will be out of luck.

Why do I need Cyber-Physical Attack Recovery Procedures? Can’t we just disconnect the Internet and turn the equipment back on?

First of all, when a cyber-physical attack is verified, I recommend you *physically pull the computer's power plug from the wall* rather than gracefully shutting down. Forensic data can be destroyed if the operating system executes a normal shutdown process. Also, avoid running any antivirus software “after the fact” as the antivirus scan changes critical file dates and impedes discovery and analysis of suspected malicious files and timelines. Secondly, a well-designed and coordinated cyber-physical attack will include *cyber booby-traps* intended to continue to cause damage when maintenance personnel attempt to restore normal equipment operation.

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■ **Cyber booby-trap** When a hacker embeds malware that is triggered by actions of the building maintenance staff. For example, the initial indication of a cyber-attack may be that the hacker turned off the water to a boiler. The maintenance personnel in the control room are unaware that the malware pumped all the water out of the boiler and turned up the heat. Once the boiler is superheated, the action of turning on the water triggers an explosion. The hacker needed the triggering action by building maintenance personnel to maximize the damage.

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Cyber booby-traps are “scripts” (similar to a macro) planted by a hacker that are unknowingly triggered by the actions of the building maintenance personnel such as switching something on or off triggering hidden malware. A hacker is counting on maintenance personnel to behave in a way that allows the cyber-physical attack to continue well after the back door access has been lost. If you put *your* Recovery Procedures on a server that can be hacked, the exact sequence of operations maintenance personnel plan to follow will be known by hackers well in advance. The hacker will then use your procedures against you. In essence, your maintenance personnel would be doing his work for him after you think you are safe.

With this foreknowledge in hand, a hacker “engineers” a *specific* cyber-physical attack scenario for your facility, and he is depending on the triggers that he “scripted” to continue the attack. *Without those triggers, the cyber-physical attack can be halted.* Don’t waste time trying to find the hidden triggers. Unplug the BCS server and return to a fully manual operation, and you disrupt scripted cyber booby-traps.

It’s important to understand that the goal of a hacker is to cause severe damage to critical systems and the malware used is very sophisticated. Simply powering equipment back up after disconnecting the BCS from the Internet does not mean you are out of the woods. *You’ve been hacked* and the Barbarians are no longer outside the gates. They are already inside your controls system and they depend on you to follow their script to prolong the attack after the back doors they planted have been shut.

Cyber booby-trap designs vary depending on the trigger mechanism, the payload and the amount of damage a hacker intends to cause (and when). A cyber booby-trap can react with zero delay or it can be programmed with time delays to confuse maintenance personnel. Unlike standard ordnance, such as an artillery shell, grenade, or high explosive, cyber booby-traps use your building equipment as the “payload” to do the damage. Part of the skill in placing cyber booby-traps lies in exploiting natural human behaviors such as habit, curiosity, or inquisitiveness, or by providing maintenance personnel what appears to be a simple solution to a vexing problem.

Almost any piece of building equipment can be cyber booby-trapped in some way. The only limits to the intricacy of cyber booby-traps are the skill and inventiveness of the hackers placing them. For example, fake pressure reading displays on a natural gas line can be used as “bait.” The “bait object” that lures victims into a cyber booby-trap in the sequence of operations to restart a boiler may not even be designed to affect boiler operations at all. Instead, the boiler restart attempt may activate other hidden cyber booby-traps designed to damage chillers, air-handling units, building lighting, or set off false fire alarms.

Cyber booby-traps are planted in any situation where there is a strong likelihood of them being encountered and triggered by maintenance personnel—especially on critical systems or equipment maintenance personnel are forced to use. In order to ensure damage to critical pieces of equipment, a hacker will install many cyber booby-traps, each one initiates a particular set of “undesirable events.” You will have multiple attacks simultaneously.



When a cyber booby-trap is triggered, it can cause equipment to go into “defect” mode. It can turn equipment on or off, change configuration set points, change motor speeds, increase or decrease fluid pressure, or any number of things. A cyber booby-trap can cause computer displays to go blank or indicate false information about equipment performance. Equipment can be made to operate erratically; software can be modified so when maintenance personnel enter a command to decrease water pressure, the BCS actually increases the water pressure. Or, an attempt to silence one alarm causes other alarms to annunciate. Knowing that hackers are capable of planting cyber booby-traps in a BCS is only the first step in determining how to respond to a cyber-attack.

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■ **Canary** Anything that can send up an observable alert if something happens. For example, you can set up a computer on a subnet such that no other computer should ever access that. If something touches it, you know it's from outside normal behavior. Also called a *tripwire*.

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On the flip side, you can *set some “traps” of your own* to alert you when hackers are lurking in the shadows such as a canary or a honeypot. You can program setpoint traps, such as a specific temperature range for a certain area, to restrict override changes from going outside of set parameters and include PIN control on user access to system changes. You can also use a timed feature to automatically revert to original settings after a temporary override period.

In terms of personnel and financial resources, the information, tasks and procedures detailed in this Recovery Procedure represents a commitment to response, resumption, recovery, and restoration planning. Therefore, it is essential that the information and actions in this Recovery Procedure remain viable and it be maintained in a state of currency in order to ensure the accuracy of its contents. The Recovery Procedures must be stored securely. It is incumbent upon every individual who is in receipt of the Recovery Procedures, or who has a role in implementing them ensure that sufficient attention is given to the security of the document. Since the information contained in the Recovery Procedures describes planning assumptions and objectives, it should be considered a sensitive document.

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■ **Honeypot** A system (e.g., a web server) or a system resource (e.g., a file on a server) that is designed to be attractive to potential crackers and intruders and has no authorized users other than its administrators. (Source: CNSSI-4009)

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The Recovery Procedures are intended to provide a framework for constructing plans to ensure the safety of employees and the resumption of time-sensitive operations and services. Although the Recovery Procedures provides guidance and documentation upon which to base emergency response, resumption, and recovery planning efforts, it is not intended as a substitute for informed decision-making. Customized Recovery Procedures should include detailed responsibilities and specific tasks for emergency response activities and building resumption operations based upon pre-defined time frames.

Preparing Recovery Procedures and presenting them to management may satisfy the immediate need of having a documented plan. However, this is not enough if the goal is to have a viable response, resumption, recovery, and restoration capability. In order to establish that capability, plans and the activities associated with their maintenance (i.e., training, revision, and exercising) must become an integral part of building maintenance operations.

A Recovery Procedures document is not a one-time commitment with a fixed start and end date. It should be an ongoing, properly funded security activity intended to provide required resources to:

- Perform activities required to construct recovery and restoration plans
- Train and retrain employees

- Develop and revise policies and standards as the cyber threat environment evolves
- Exercise strategies, procedures, team, and resources requirements
- Re-exercise unattained exercise objectives
- Report ongoing continuity planning to senior management
- Research processes and technologies to improve resumption and recovery efficiency
- Perform plan maintenance activities

Developing Recovery Procedures that encompass activities required to maintain a viable continuity capability require a consistent planning methodology. Recovery Procedure elements necessary to create a viable, repeatable and verifiable continuity capability include:

- Implementing accurate and continuous vital records, data backup, and off-site storage
- Implementing capabilities for rapid disconnect of communication circuits
- Providing alternate manual controls for equipment operations
- Constructing a contingency organization
- Implementing contingency strategies

## Cyber-Physical Attack Timetable

This is the timetable hackers follow in preparation for a cyber-attack. They begin with reconnaissance of the target. The adversary decides to target your facilities and investigates the attack surface looking for vulnerabilities. Open source web mining against your corporate websites, those of vendors that support your facilities, as well as online conference attendee lists gives the attacker as much information about your facilities as your maintenance personnel have. The adversary maps your building controls network and formulates an attack strategy using open source information about your organization, your facilities and your personnel. If you are a Fortune 500 company in the United States, *this step is already complete*, especially if your business is a direct competitor or if you support the Department of Defense.

Once the adversary has an attack strategy, he will begin to weaponize a set of attack tools and develop a package for delivery and execution on your building controls network. The adversary creates a repository of cyber-physical attack tools that use several zero-day vulnerabilities specifically designed to cause significant damage to your facilities and ensure that your buildings take months to repair. Again, if you are a Fortune 500 company in the United States, *this step is already complete* and the adversary established a regimen to check his back doors periodically to ensure his ability to deliver the payload on demand.

When the adversary gets the green light to deliver the packaged attack tool or tools to the target, he is ready to commence the attack. He may already have installed the attack tools (malware) in your system without your knowledge. Although not easily hidden, it can be overlooked by understaffed personnel not looking for hidden malware that has not been activated yet.

When the adversary gets a green light to commence an initial attack the malware is executed. The attack can be a test to see if your staff is able to detect their presence or it could be designed to solicit a ransom. If it is a full-scale attack intended to destroy costly equipment at multiple locations, it's probably a nation-state and not script kiddies. Welcome to the Big Leagues.

When a full-scale cyber-physical attack occurs, a sneaky adversary will have designed the cyber-physical attack in a manner that relies on the victim's maintenance personnel following the response or recovery plan that he already stole. The attack is scripted so your maintenance personnel will cause more damage to the equipment, spread the attack to other facilities, and possibly create more back doors. Your facilities will be down for months and cost millions to repair.

## Recovery Procedures Information

The Recovery Procedures contain static information (information that remains constant and not subject to frequent revisions) and dynamic information (information that must be updated regularly). The static information should be read and understood by all employees, users, and building administrators, and by all individuals involved in any phase of emergency response, resumption, recovery, or restoration. The dynamic information requires frequent review and modification to keep up with the changing cyber-threat environment.

The dynamic information should reside in a Computer-Aided Facility Management (CAFM) database and printed as output for your Recovery Procedures. By using the CAFM database, dynamic information that is vital to the survival of the building control system will be easy to manage and update. The CAFM database often includes unencrypted contact lists, emergency procedures, and technical components and as such, the CAFM database *must not* be accessible from the Internet. Why make it easy for hackers to know what you intend to do and how you plan to respond to a cyber-physical attack?

Although it is necessary to be familiar with the static information during recovery, it should not be necessary to read that information at the time of the event. The completed Recovery Procedures should provide all of the necessary lists, tasks, and reports used for response, resumption, or recovery.

## Applicable Directives

In the federal government, the development of Recovery Procedures is required by executive directives and must meet regulatory mandates. Management must maintain an information assurance infrastructure that ensures that its information resources maintain availability, confidentiality, integrity, and non-repudiation of its data. Furthermore, management must protect their strategic information resources management capabilities. Therefore, this Cyber-Physical Attack Recovery Procedure was developed in accordance with the following executive decisions, regulatory mandates, provisions, and directives:

- Office of Management and Budget Circular A-130, Revised (Transmittal Memorandum No. 4), Appendix III, Security of Federal Automated Information Resources, November 2000.
- Computer Security Act of 1987, Public Law 100-235, January 1988.
- Presidential Decision Directive 63, Critical Infrastructure Protection, May 1998.
- Presidential Decision Directive 67, Enduring Constitutional Government and Continuity of Government Operations, October 1998.
- Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, November 1988.
- Federal Information Processing Standards (FIPS) Publication 87, Guidelines for ADP Cyber-Attack Recovery Planning, March 1981.
- DOJ Order 2640.2D, Information Technology Security, July 12, 2001.

## Objectives for a Plan

Organizations are dependent on a variety of IT systems classified as a general support system (GSS), which provide mission-critical functions of connectivity, Internet access, and email, or Major Applications (MAs) which are specific software programs written to produce output to fulfill the agency's service to its customers. Although many threats and vulnerabilities can be mitigated, some of the threats cannot be prevented. Therefore, it is important that the organization develop Recovery Procedures to ensure the uninterrupted existence of its business functions and in the case of government, continued service to the agency and the public.

The primary focus of a Recovery Procedure revolves around the protection of two important assets of any organization: personnel and equipment. All facets of Recovery Procedures should address the protection and safety of personnel and the protection and recovery of equipment to full operation. This includes establishing an operational capability to process pre-designated critical applications, recovering data from off-site backup data sets, and restoring the affected building systems to normal operational status. The Recovery Procedures seeks to accomplish the following additional objectives:

- Minimize the number of decisions that must be made during a cyber-physical attack
- Identify the resources needed to execute the actions defined by this plan
- Identify actions to be undertaken by pre-designated recovery teams
- Identify critical data in conjunction with customers that will be recovered during the Hot Site phase of recovery operations
- Define the process for testing and maintaining the procedures and training for contingencies

## Incident Response Teams

In the event of a cyber-physical attack, the normal operation of the organization will shift into that of a contingency organization. The focus of the building control system will shift from the current structure and function of “business as usual” to the structure and function of a building control system working toward the resumption of time-sensitive building operations. In this Recovery Procedure, the organization’s building maintenance personnel, IT staff and security personnel will operate in Incident Response Teams (IRT) through the phases of detection, mitigation, and recovery. Each phase requires the teams executing those procedures to work together closely. Each of the teams is comprised of individuals with specific responsibilities, which must be completed to fully execute the plan. There will be at least four teams: the Recovery Management Team, the Facilities Team, the Security Team, and the Tech Support Team. Primary and alternate team leaders are named during the preparation of the Recovery Procedures documents to lead each team.

Each team becomes a sub-unit of the organization’s contingency organization and the teams are structured to provide dedicated, focused support in the areas of their particular experience and expertise for specific response, resumption and recovery tasks, responsibilities, and objectives. Each team’s eventual goal is the resumption/recovery and the return to stable and normal building operations. Status and progress updates will be reported by each team leader to a Recovery Procedures Coordinator.

The Incident Recovery Team’s primary duties are as follows:

- To protect employees and equipment until normal building operations are resumed.
- To ensure that a viable capability exists to respond to a cyber-physical attack.
- To manage all response, resumption, recovery, and restoration activities.
- To support and communicate with employees, system administrators, security officers, and managers.
- To accomplish rapid and efficient resumption of time-sensitive building operations, technology, and functional support areas.
- To ensure regulatory requirements are satisfied.
- To exercise resumption and recovery expenditure decisions.
- To streamline the reporting of resumption and recovery progress between the teams and management of each system.

## Recovery Management Team (MGMT)

The Incident Recovery Management Team is headed by the Recovery Procedures Coordinator and is responsible for the administrative, supply and public relations portions of the recovery process. The sub-team leaders report to this team during a cyber-physical attack. Each of these responsibilities should be headed by a member of the MGMT.

### General Activities

The Incident Recovery Management Team is responsible for the following:

- Assess the damage and if necessary, declare a cyber-physical attack (damage assessment forms are included in this plan)
- Coordinate efforts of all teams
- Approve all actions that were not preplanned
- Give strategic direction
- Be the liaison to upper management
- Expedite matters through all bureaucracy
- Provide counseling to those employees that request or require it.

### Procedures by Phase

The Incident Recovery Management Team performs the following duties in these phases:

#### Phase 1: Detection

- Activate Incident Response Teams
- Initiate Rapid Inspections of building and systems
- Declare a Cyber-Physical Attack and notify upper management
- Decide whether building is safe to occupy or if it should be evacuated

#### Phase 2: Mitigation

- Establish the command center
- Evacuate the building if necessary
- Prioritize recovery efforts
- Coordinate activities of Incident Response Teams

#### Phase 3: Recovery

- Coordinate activities of Incident Response Teams
- Reoccupy the building and resume normal operations
- Inform management

## Recovery Facilities Team (FAC)

The Facilities Team is responsible for minimizing the damage at the primary site once the Tech Support Team has pulled the plug on the BCS. The Facilities Team also makes a quick determination of what equipment is salvageable and what is not. Repair and replacement orders will be filed for what is not in working condition. The Facilities Team is responsible for locating the new building equipment needed and overseeing the replacement and construction.

### Procedures by Phase

The Facilities Team performs the following duties in these phases:

#### Phase 1: Detection

- Mobilize Facilities Team
- Initiate Rapid Engineering Inspections of building and BCS devices

#### Phase 2: Mitigation

- Perform damage assessment
- Assist in the immediate salvage operations
- Determine the requirements for building equipment replacement
- Help determine what new computer and network hardware is needed
- Inventory all equipment in the building. If necessary, involve the equipment vendors

#### Phase 3: Recovery

- Salvage equipment and supplies
- Order new building equipment and computer hardware
- Arrange for installation and testing of the new hardware
- Work with contractors and agency staff to restore operations
- Oversee the installation of the new building equipment
- Ensure building equipment and controls are working as designed

## Recovery Tech Support Team (TECH)

The Tech Support Team is responsible for the operation and maintenance of the BCS. The responsibility of the TECH Team is to acquire (along with the Facilities Team), configure, and install servers and workstations for the BCS. The TECH Team shall reconstruct and reconfigure the BCS software at the primary site. In addition, the TECH Team will provide technical support to the other teams.

## Procedures by Phase

The Tech Support Team performs the following duties in these phases:

### Phase 1: Detection

- Mobilize Tech Support Team
- Initiate Rapid Inspections of building control system

### Phase 2: Mitigation

- Test the hardware and software
- Determine scope of damage for BCS servers and workstations
- Work with appropriate vendors

### Phase 3: Recovery

- Order appropriate equipment and supplies (coordinate and work with the Facilities Team for this activity)
- Build servers and workstations
- Install and configure systems at the primary site
- Test the hardware and software
- Work with appropriate vendors to assist in recovery
- Verify that the systems are performing as expected

## Recovery Security Team (SEC)

The Security Team (SEC) responsibilities include the physical security operations of the building and collecting, transporting and securing all IT servers and recent backup tapes for forensic examination. When a cyber-physical attack is declared, the security team must establish a chain-of-custody and secure the IT equipment and backup tapes for transport to the forensics facility. This team is also responsible for securing the building for the duration of the incident.

## Procedures by Phase

The Security Team performs the following duties in these phases:

### Phase 1: Detection

- Mobilize Security Team
- Initiate Rapid Inspections of building and secure building control system

## Phase 2: Mitigation

- Inventory and secure the correct backup tapes
- Transport the servers and tapes to the forensics facility

## Phase 3: Recovery

- Provide physical for security at the building
- Assist all teams in restoring the production environment
- Provide security escorts to construction personnel
- Provide temporary badging service for vendors and contractors
- Assist in reestablishing security and CCTV system to normal operation
- Monitor the building for unusual anomalous behavior
- Monitor deliveries
- Provide security escorts to movers

## Recovery Phases

The Recovery Procedures Coordinator, in conjunction with building management determines which teams/team members are responsible for each function during each phase. As tasking is assigned, additional responsibilities, teams, and task lists need to be created to address specific functions during a specific phase.

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■ **Incident detection** Ways in which a cyber-incident is identified and reported. Detecting most incidents requires automated analysis tools, system behavior patterns, and an awareness of what to look for among operators, supervisors, and other staff. The building equipment operators and the process engineers are usually critical to detection of unusual operations and are the first to note a difference in system behavior. Also called *discovery*.

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## Phase 1: Detection

- When anomalous behavior is observed such as multiple equipment failures, Intrusion Detection System alerts are sounded, or a catastrophic event occurs, the Incident Response Team consults the Event Diagnostics Table to determine if the “event” is a possible cyber-physical attack.
- The Incident Response Team then consults the Integrity Checks Table to verify if a cyber-physical attack is underway.
- To provide management with the facts necessary to make informed decisions regarding subsequent resumption and recovery activity.



■ **Intrusion Detection Systems (IDS)** There are two types of IDS:

**Host-based IDS** operates on information collected from within an individual computer system. This vantage point allows host-based IDSs to determine exactly which processes and user accounts are involved in a particular attack on the Operating System. Furthermore, unlike network-based IDSs, host-based IDSs can more readily “see” the intended outcome of an attempted attack, because they can directly access and monitor the data files and system processes usually targeted by attacks. (Source: SP 800-36; CNSSI-4009)

**Network-based IDS** detects attacks by capturing and analyzing network packets. Listening on a network segment or switch, one network-based IDS can monitor the network traffic affecting multiple hosts that are connected to the network segment. (Source: SP 800-36; CNSSI-4009)

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## Phase 2: Mitigation

- The Incident Response Team’s first priority is to isolate any compromised devices and protect the building and personnel through segmentation. The segmentation must be based on a predetermined strategy taking into account specific equipment and building mission realities. After this step is complete, the Incident Response Team ensures that local control has been achieved.
- The facilities Incident Response Team conducts a preliminary assessment of incident impact, known injuries, extent of damage, and disruption to the building services and operations.
- The Incident Response Team informs the Recovery Procedures Coordinator who determines if or when access to the facility will be allowed.
- The Recovery Procedures Coordinator establishes and organizes a management control center and headquarters for the recovery operations.
- The Recovery Procedures Coordinator implements procedures necessary to mobilize operations, support and department relocation as well as employee and external individuals and organizations notification before, during, and after relocation.
- The Recovery Procedures Coordinator notifies and appraises management of the situation.

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■ **Safety instrumented system** A building control system that uses control devices and sensors designed to put the system in a safe state when predetermined conditions are violated. Also called an *emergency shutdown system* (ESS), a *safety shutdown system* (SSD), and a *safety interlock system* (SIS).

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## Phase 3: Recovery

- The Incident Response Teams execute investigations, incident response plans, and various other overarching command guidelines prior to executing any recovery actions. They implement procedures necessary to facilitate and support the recovery of time-sensitive building operations.

- The Recovery Phase begins once the system under attack has been stabilized and infected equipment has been isolated from the BCS network. Replacement of infected devices with off-the-shelf replacements ensures that recovered devices are uncontaminated when reintegrated into the network and will aid in preservation of forensic evidence of the cyber-attack.
- The Incident Response Teams coordinate with employees, vendors, and other internal and external individuals and organizations.

## Assumptions

All assumptions that the Recovery Procedures will hinge on must be documented. This could range from absolutely necessary conditions to helpful information in support of the Recovery Procedures phases such as that all necessary Memorandums of Agreement (MOAs) and Memorandums of Understanding (MOUs) have been executed.

## Critical Success Factors

This section addresses the factors and issues that specifically apply to the Recovery Procedures that have been identified to be critical to the successful implementation of the Recovery Procedures. These factors are as follows:

- Commitment by senior management to Cyber-Physical Attack Planning and Recovery.
- Budgetary commitment to Cyber-Physical Attack Planning and Recovery.
- Modifications and improvements to the current scheduling procedures for the retention and transportation of back up files to the offsite storage facility.
- Development and execution of the necessary memorandums of agreement (MOAs), memorandums of understanding (MOUs), and service level agreements (SLAs).
- Procurement of an alternate power source.

## Mission Critical Systems

Table 1-1 lists essential mission critical systems/applications/services that must be recovered at the time of disaster in the following order due to critical interdependencies.

**Table 1-1.** *Essential Systems*

| Systems Acronym | System Name                                |
|-----------------|--|
| BCS             | Building Control System                    |
| UMCS            | Utility Management Controls System         |
| EMCS            | Energy Management Controls System          |
| CMMS            | Computerized Maintenance Management System |
| CAFM            | Computer-Aided Facility Management         |

Figure 1-1 indicates the recovery process.

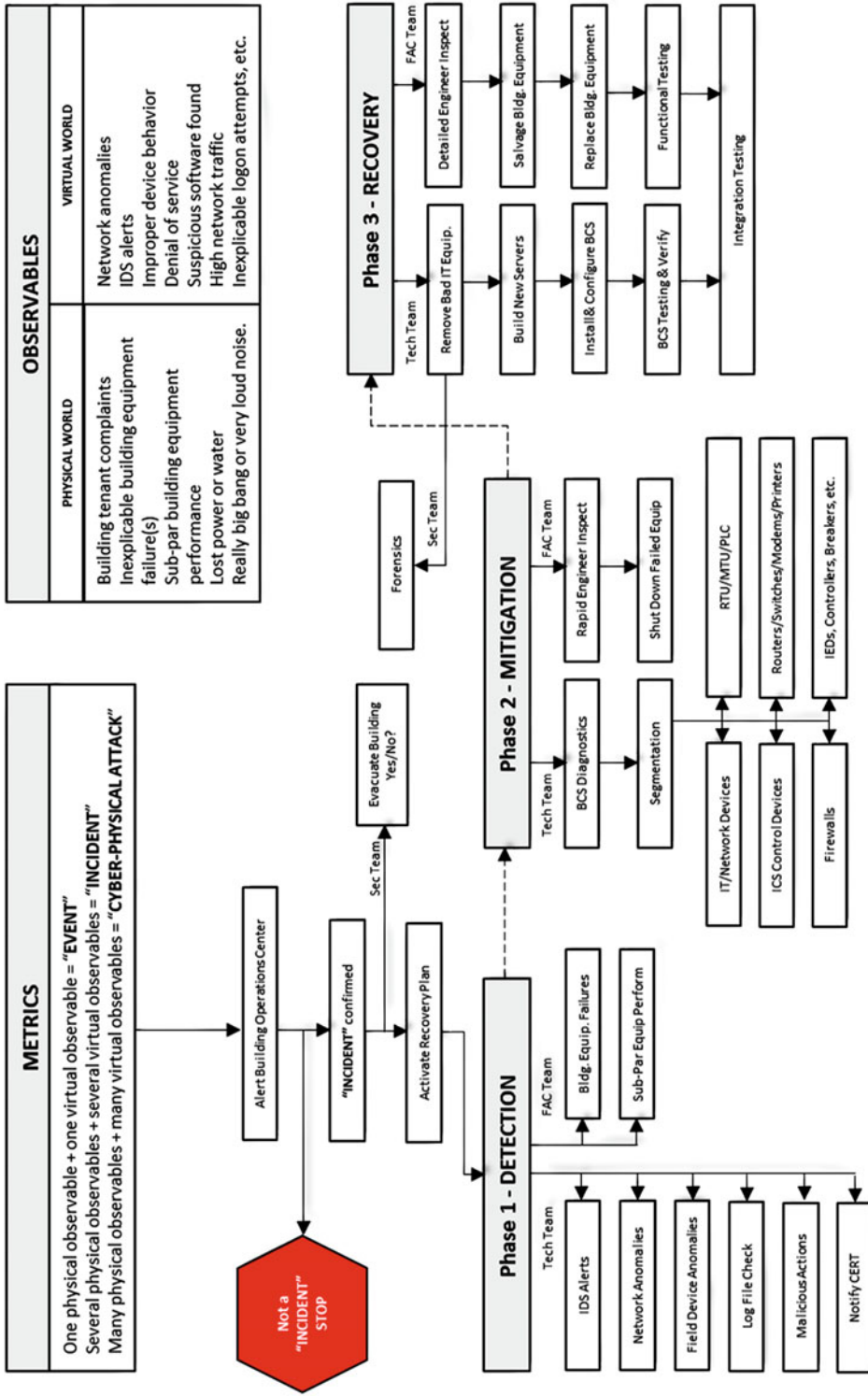


Figure 1-1. The recovery process Mission critical systems

## CHAPTER 2



# Threats and Attack Detection

When developing strategies for Recovery Procedures, it is helpful to consider the entire range of possible and probable cyber-physical attack vectors that present a risk to an organization. From that range of threats, likely scenarios can be developed and appropriate strategies applied. Any Recovery Procedures should be designed to be flexible enough to respond to extended building interruptions, as well as major natural disasters.

The best way to achieve this goal is to design Recovery Procedures that could be used to address a major natural disaster, but is divided into sections that can be used to address extended building interruptions. While each of the identified attack vectors could result in a disaster by itself, in a major cyber-physical attack, several attack vectors will be used concurrently or occur sequentially, depending on the circumstances.

As a result, it is advisable to develop several levels of strategies that can be applied as needed. For example, a power outage in the computing center may render that equipment unusable. An appropriate strategy for that event may be temporary relocation of personnel to another building. An event that requires temporary evacuation of the computer center, such as a loss of chilled water to the cooling system that may take several days to resolve, may necessitate switchover capabilities and possible regional mirrored redundancy capabilities that would be transparent to the users.

An event of greater magnitude, such as an explosion, may render the entire building unusable for an extended period of time and might necessitate a strategy based on mirrored redundancy as well as a secondary strategy involving a secondary hot site. Time sensitivity and mission criticality in conjunction with budgetary limitations, level of threat and degree of risk will be major factors in the development of recommended strategies.

## Probable Threats

You will hear security professionals say it's impossible to prevent a committed adversary from penetrating your defense, but you need to consider who the adversary could be. There are several classes of adversaries in the cyber-physical realm with varying degrees of expertise.

- *Script kiddies*: Amateurs capable of downloading “canned” attack tools. Relatively unsophisticated, but dangerous nonetheless. Easily defeated by an effective patch management protocol and basic cyber-hygiene.
- *Criminals*: Seasoned IT professionals capable of hacking into enterprise networks and carrying out denial of service attacks, stealing bank account information or locking a hard drive for ransom.
- *Foreign security service (FSS)*: Advanced persistent threat, not interested in denial of service attacks or bitcoin ransom pocket change. Their goal is intelligence, surveillance, and reconnaissance (ISR)—however, a future goal may be to take down an entire nation's power grid or energy infrastructure.

Air-gap computers, firewalls, DMZ, network nodes, multi-factor authentication, and encrypted communications should prevent script kiddies from taking out your building equipment. Those defenses will probably also discourage criminals from trying to get in because it's easier to try the doorknob next door than invest time and energy in trying to defeat a well-defended network.

The only one you need to worry about is the foreign security service. These defenses may not be 100 percent effective against well-trained and well-funded nation states, but the number of nations capable of defeating all these defenses can probably be counted on one hand. These defenses will stop or slow down second-tier nation-states from getting into your network long enough for you to react to an attack.

■ **Cyber-attack tree** A conceptual diagram showing how a computer system might be attacked by describing the threats and possible cyber-attacks to realize those threats. Cyber-attack trees lend themselves to defining an information assurance strategy and are increasingly being applied to industrial control systems and the electric power grid. Executing a strategy changes the cyber-attack tree.

Depending on the type of facility being attacked, the biggest targets of a cyber-attack are the building utilities (electricity, water, gas, sewer), and heating, ventilation, and air conditioning (HVAC) systems. Other targets listed in Table 2-1 are secondary in that they are less likely to result in catastrophic failure and a life safety consideration.

**Table 2-1.** *Probability of Attacks<sup>1</sup>*

| Probability of Threats: Cyber-Attack Trees |      |        |     |
|--|------|--------|-----|
|  | High | Medium | Low |
| Boiler Explosion                           |      |        | X   |
| Power Interruption                         | XX   |        |     |
| Air Conditioning Failure                   | XX   |        |     |
| Loss of Water                              |      | X      |     |
| Communications Loss                        | X    |        |     |
| Fire                                       |      | X      |     |
| Loss of Office Lighting                    | X    |        |     |
| Interrupt Security Cameras                 |      | X      |     |
| Set Off Alarm Systems                      | X    |        |     |
| Unlock Doors                               |      |        | X   |
| Heating System Failure                     | X    |        |     |
| Data Destruction                           | X    |        |     |
| Gas Pressure Vessel Failure                |      |        | X   |
| Carbon Monoxide Poisoning                  |      | X      |     |
| Natural Gas Fuel Train Damage              |      |        | X   |

<sup>1</sup>While a terrorist may want to cause a boiler to explode, he would have to know a great deal about the particular installation to be able to pull it off. It's low probability because a script kiddie can't do it.

A cyber-physical attack against a well-defended target is extremely difficult to do so there is a very strong likelihood that if your building is attacked, the attack originated in a foreign country, probably by a foreign security service. Generally speaking, criminal groups are not interested in shutting down building systems or utility grids because there is no profit in that. A cyber-physical attack designed to damage expensive, mission-critical equipment is probably intended to disrupt the economy of a country, not to steal information. That said, a foreign security service would likely employ cyber-physical attack engineering to create as much damage as possible. The hacker will look to cause the most damage as quickly as possible because he assumes you will quickly be on to him and disconnect the connection to disrupt the attack.

---

■ **Cyber-physical attack engineering** Designing an attack scenario to exploit a particular physical process requires a solid engineering background and in-depth *destructive* knowledge of the target SCADA system. Hacking a chemical plant, for example, requires knowledge of physics, chemistry, and engineering, as well as a great deal about how the network is laid out, and a keen understanding of process-aware defensive systems. This represents a high (but not insurmountable) barrier to entry for garden-variety script kiddies, but is not a major obstacle for a foreign security service.

---

A hacker will attack a single point of failure first. He will attack a device or system that will cause other systems to fail. For example, shut off the water to the building and the mission will continue, albeit somewhat degraded. However, shut off the electricity and everything shuts down—eventually. If the hacker can damage the building switchgear or transformers, it won't matter if the uninterruptable power supply (UPS) works. It also won't matter if the backup generator fires up. Electricity will not be distributed properly through the building. What's worse is that large transformers today are manufactured overseas, so replacement of damaged equipment will take months. Your electrical engineers may say it can't be done, but we are dealing with very smart engineers funded by a foreign government and they've studied your building systems thoroughly and mapped your controls years ago.

---

■ **Flaw hypothesis methodology** System analysis and penetration technique in which the specification and documentation for a building control system are analyzed to produce a list of hypothetical flaws. This list is prioritized on the basis of the estimated probability that a flaw exists, on the ease of exploiting it, and on the extent of control or compromise it would provide. The prioritized list is used to perform penetration testing of a building control system. (Source: CNSSI-4009)

---

## Cyber-Physical Attack Detection

Although not always the case, past cyber-attacks have been analyzed and certain “precursors” have been detected, but many are easily ignored by building maintenance personnel. Let me be clear, unless absolutely necessary, your BCS should not be accessed from outside the building. However, if you *must* have remote access and connectivity, then whenever there are precursors indicating that a cyber-physical attack is imminent (such as increased port scanning or a rash of spear phishing attempts), *all* outside connections should be severed *immediately* as a precaution.

---

■ **Day zero or zero day** is the day that a new cyber vulnerability is made known. In some cases, a zero-day exploit refers to an exploit for which no patch is available yet. (“day one” > day on which the patch is made available).

---

The first indication that a cyber-physical attack is underway might be BCS alarms sounding that a piece of building equipment has failed. A sophisticated attack will use several zero-day vulnerabilities so antivirus solutions looking for known malware signatures won't detect it. Automated detection via applications or routines, such as network monitors, network traffic analysis applications, IDS, and antivirus programs that can detect and flag malware, intrusion attempts, policy violations, and exploits may help determine the actual presence of hackers, but equipment failure and user observation of abnormal system or component behavior will likely appear first.

---

■ **Gray hole attack** A type of **packet drop attack** in which a router that is supposed to relay packets instead discards them for a particular network destination, at a certain time of the day, a packet every  $n$  packets or every  $t$  seconds, or a randomly selected portion of the packets. This usually occurs from a router becoming compromised from a number of different causes. Because packets are routinely dropped from a lossy network, a packet drop attack is very hard to detect and prevent.

---

Building maintenance personnel, equipment operators, or process engineers will likely know before IT system administrators that a cyber-physical attack is underway. Experienced building maintenance personnel are the best source of detecting abnormal behavior, because subtle differences in equipment operation may create a "just doesn't feel right" atmosphere. Experienced equipment operators will know when things are not working right and can detect potential cyber-intrusions as well as or better than automated intrusion detection systems.

---

■ **Indicator** A recognized action (specific, generalized, or theoretical) that an adversary might be expected to take in preparation for an attack. (Source: CNSSI-4009)

---

Table 2-2 contains a list of symptoms that could be considered *indicators of a cyber-physical attack* was taken from NIST SP 800-82, "Guide to Industrial Control Systems (ICS) Security (Final Public Draft)," September 2008.

**Table 2-2.** *Indicators of a Possible Cyber-Physical Attack*

- 
- Unusually heavy network traffic
  - Out of disk space or significantly reduced free disk space
  - Unusually high CPU usage
  - Creation of new user accounts
  - Attempted or actual use of administrator-level accounts
  - Locked-out accounts
  - Accounts in use when the user is not at work
  - Cleared log files
  - Full log files with an unusually large number of events
  - Antivirus or IDS alerts
- 

*(continued)*

**Table 2-2.** (continued)

- 
- Disabled antivirus software and other security controls
  - Unexpected patch changes
  - Machines or intelligent field devices connecting to outside IP addresses
  - Requests for information about the system (social engineering attempts)
  - Unexpected changes in configuration settings
  - Unexpected system shutdown
  - Other possible indicators of a cyber incident include:
    - Stoppage or displayed error messages on a web, database, or application server
    - Unusually slow access to hosts on the network
    - Filenames containing unusual characters or new or unexpected files and directories
    - Auditing configuration changes logged on the host records, especially disabling of auditing functionality
    - A large number of bounced e-mails with suspicious content
    - Unusual deviation from typical network traffic flows
    - Erratic equipment behavior, especially when more than one device exhibits the same behavior
    - Any apparent override of safety, backup, or failover systems
    - Equipment, servers, or network traffic that has bursts of temporary high usage when the operational process itself is steady and predictable.
    - Unknown or unusual traffic from corporate or other network external to control systems network
    - Unknown or unexpected firmware pulls or pushes
- 

Intrusion Detection Systems (IDS) designed to *detect an out-of-range or targeted event* can be defeated by a hacker merely by changing the configuration profile in the BCS. An IDS compares character strings with matches to known virus signatures or certain network behavior, such as a denial-of-service attack. An IDS may detect attempts to access certain restricted ports, or it may recognize a known rogue IP source address. With individual BCS components, it could be a customized application that detects anomalous software behavior or when the equipment goes outside preset setpoints and thresholds. Keep in mind that even a very good IDS is no guarantee of invulnerability, as seen with a Cinderella Attack.

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■ **Cinderella attack** A cyber-attack that disables security software by manipulating the network internal clock time so that a security software license expires, prematurely rendering the target network vulnerable to cyber-attack.

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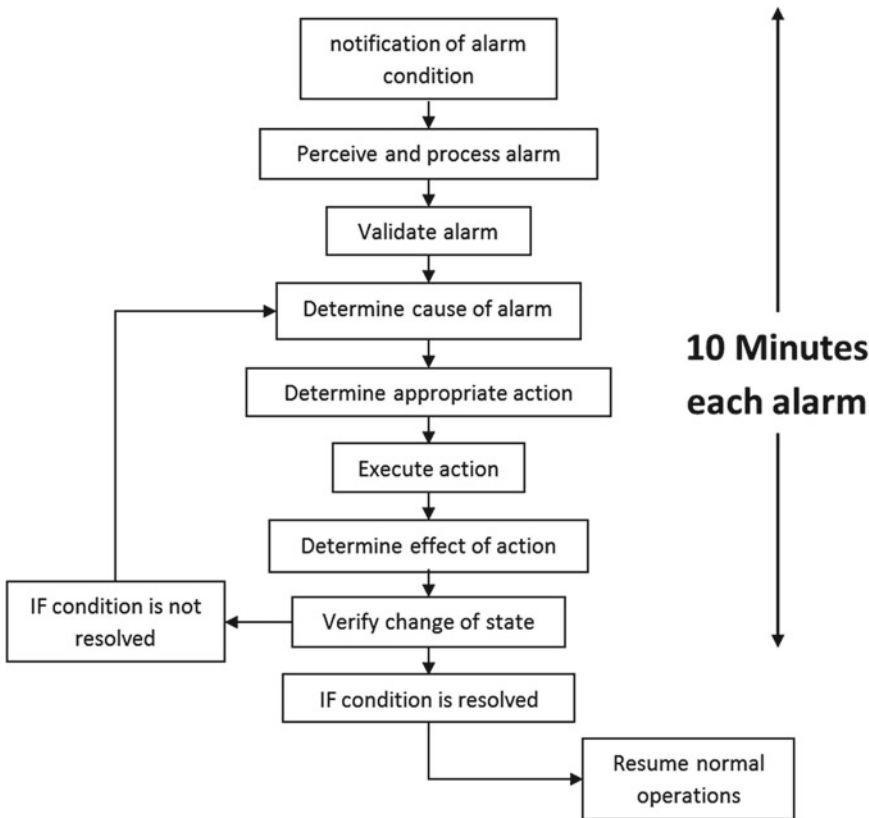


## ABNORMAL SITUATION MANAGEMENT

Abnormal situation management (ASM) was developed with the goal of improving safety and performance in process plants. Over the past 20 years, the ASM Consortium has developed knowledge, tools, and products designed to prevent and manage abnormal situations in the process industry. This knowledge is directly applicable to cyber-physical attack response. For example, annunciation of more alarms in a given period of time than a human operator can respond is known as **alarm flooding**. Ten alarms per minute are typically the most alarms that a technician can handle. Assuming the BCS is set up using **alarm filtering**, the technician concentrates on the equipment failure that caused the cascade of subsequent failures.

■ **Alarm filtering** A times, failure of one piece of building equipment may cause another piece of equipment to fail. Alarm filtering reports the original failure with more priority than subsequent failures showing the technician which equipment to repair first.

A well-planned cyber-physical attack is a dynamic process and the speed of the response will determine the extent of recovery requirements. ASM studies have shown that the total alarm resolution lag for a trained technician is typically 10 minutes (see the following diagram).



Detecting an event is only the beginning; the IDS must present the data in a useful format. Advanced IDS includes automated filtering and reporting features; others may just write log information to a text file. The ideal situation would be to set ranges and report only when conditions exist that are outside the range.

Some sophisticated systems like an *intrusion prevention system* (IPS) are designed to take some preventative actions without human intervention. However, most IPS are designed for well-understood IT applications and not for a production BCS where inadvertent shutdowns could have undesirable results. A human must be involved to decipher false-positives and to separate maintenance issues from potential cyber-physical attacks. The human also must be able to respond to the data and initiate the appropriate response quickly.

## Incident Response Tools

Various automated tools are available to detect a potential cyber-physical attack during routine operations. The following are some examples:

- *Netflow capture and analysis.* These tools provide methods to capture and display the type of traffic crossing the network, including inbound and outbound traffic. They can isolate data by applications, conversations, domains, endpoints, and protocols. Many also store data for both analysis and forensics.
- *Network performance monitors.* These tools provide insight into network performance and can help identify where out-of-normal performance is occurring.
- *Availability monitors.* These tools can assist in determining if network devices are available with advanced “ping” capabilities or “heartbeat signals.”
- *Application monitors.* A specific application can be monitored if there is suspicion of unauthorized access or manipulation. These tools allow a more granular analysis of a suspected application as compared with overall network monitoring.
- *Packet and traffic reconstructors.* These tools reconstruct files back into their original format on the network, capturing a static image of the network and the associated traffic.
- *Protocol analyzer.* This tool captures and stores packet information, including consolidated statistical information for potential forensic analysis.
- *Traceroute and whois tools.* These tools can be helpful in tracing an intruder to the location of the source computer and allow IP address blocking and reporting.

---

■ **Heartbeat signals** Communications traffic that signals the health of the building control system. It is also referred to as a *watchdog timer*, *keep-alive*, or *health status*.

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## Incident Categorization

Once positively identified, a cyber-physical attack should be categorized, and the response prioritized based on that categorization. Categorization should be based on the type of incident and the potential damage to the ICS (see Table 2-3).

**Table 2-3. Incident Categorization**

| Event                                     | Decision   |
|---|--|
| BCS Network down                          | IT Tech Support and building maintenance team perform an assessment              |
| Environmental problems (A/C, power, etc.) | Building maintenance team performs an assessment                                 |
| Building unusable for 2 days or less      | Building maintenance team and Incident Response Team (IRT) perform an assessment |
| Building unusable for more than 2 days    | Activate Recovery Procedures   |
| Building equipment is destroyed           | Activate Recovery Procedures   |

Keep in mind that when a cyber-physical attack occurs at your building or installation, other cyber-physical attacks will be occurring at other buildings at the very same time. So, if you are relying on third-party maintenance service providers, bear in mind your phone call is only one of many they will receive. Recovery activity will be prioritized (see Table 2-4).

**Table 2-4. Incident Decision Points and Actions**

| Decision Point  | Actions   |   |                                    |  | Category  |
|---|---|---|------------------------------------|--|---|
| 1. Cyber “event” is discovered by IDS or unexpected equipment failure             | 2. Event is confirmed to be “Incident”                        | 3. Recovery Procedures activated        | 4. Alarm sounds                    | 5. Building evacuated                          | Initiation  |
|   | 2. If no, then  | 3. Recovery Procedures is not activated | 4. Return to normal operations     | 5. Evaluate response                           | Determination   |
| 6. Determine scope of incident and assess damage after building access is allowed | 7. If small scope with no to minimal damage, then             | 8. Repair and begin clean up            | 9. Return to normal operations     | 10. Notify management and tenants of situation | Short Evacuation May Be Required                        |
|   | 7. Moderate to large scope or moderate to severe damage, then | 8. Activate alternate site              | 9. Activate Incident Recovery Team | 10. Notify management and tenants of situation | Moderate to Severe Damage to Building or Infrastructure |

(continued)

**Table 2-4.** (continued)

| Decision Point    | Actions   |   |   |                                 | Category   |
|-------------------|---|---|---|---------------------------------|--|
| 11. Assess damage | 12. If damage is moderate and will be able to return in 30 days or less | 13. Complete repairs as necessary while operating at alternate site | 14. Return to building  | 15. Return to normal operations | Moderate Severe Damage to Building or Infrastructure |
|                   | 12. If more than 30 days expected for repairs, locate to new building   | 13. Order supplies and equipment                                    | 14. Set up and operate at new facility while completing repairs | 15. Return to normal operations | Severe Damage to Building or Infrastructure          |
|                   | 12. If total loss, locate to new facility                               | 13. Rebuild   | 14. Set up at new facility while completing repairs             | 15. Return to normal operations |  |

## Mitigation

Mitigation and segregation are needed to prevent the spread of malware to other buildings and installations not already affected. A hacker will leave lots of malware on your BCS, including the first malware that he installed—a callback routine that automatically tries to reconnect to the attack server if your system was disconnected or rebooted. Mitigation would block the intruder and deny him the opportunity to do further damage; allow maintenance personnel to carefully examine building equipment; restart the equipment manually; replace all BCS servers; and restore the BCS to normal operation. Additional information can be found in NIST SP 800-83, “Guide to Malware Incident Prevention and Handling,” issued in November 2005.

Once you have established that a cyber-physical attack is underway, you have to rely on the building maintenance personnel to use their judgment and ability to act fast. Temporarily halting automatic services and shifting to manually operated equipment is a potentially disruptive measure, but it is the safe bet. Most building equipment is designed so it can be operated in manual mode and maintenance personnel should practice shifting to manual operation periodically. The desired goal is to mitigate the incident effectively with the least amount of loss in functionality. When the precursors for a cyber-physical attack are so obvious even a fifth-grader is aware, it’s time to give up “connectedness” and go “off the grid.” Do not wait until the nation goes to DEFCON 3.

## Troubleshooting

Troubleshooting is a form of problem solving applied to repair failed equipment or systems. It is a logical, systematic search for the source of a problem so that it can be solved, and so the equipment or systems can be made operational again. In the case of a cyber-physical attack against building equipment or systems, the symptoms of a problem can have many possible causes. The problem is initially described as symptoms of malfunction, and troubleshooting is the process of determining and remedying the causes of these symptoms. Events or inputs to the system are expected to generate specific results or outputs. Any unexpected or undesirable behavior is a symptom. Simply replacing a failed piece of equipment, such as a pump or motor, would be futile without first containing the source of the problem—the *hacked* building control system.

Many building control systems can generate reports to help troubleshoot problems. If a problem is noted, it's important to look at all the original settings and any possible overrides on a piece of equipment to help determine the cause. Use of BCS energy management features— such as real-time monitoring of a building's energy-related data—may be helpful, but keep in mind this too can be “spoofed.” So, the energy use information may appear perfectly normal when in fact energy use can be much higher than the BCS indicates.

## Step 1: Confirm that the “event” is a Cyber-Physical Attack

When only one piece of equipment fails, it is probably not a cyber-physical attack. Depending on the conditions of failure, several pieces of equipment may fail because of their interdependencies. For example, if the commercial power to the building goes down, lots of things won't work. The air handling unit (AHU) fan motor stops pushing air into conditioned offices; the chillers shut down (unless they has backup power), office lights go out; and the elevators return to ground floor. This is all normal.

A cyber-physical attack is difficult to confirm. If the BCS is non-responsive (authorized users are locked out) or if BCS displays indicate that equipment is operating within normal parameters, but actual phenomenon contradicts the displays (such as rooms are inexplicably getting warmer), a cyber-physical attack may be underway. There is a strong likelihood that a cyber-physical attack is underway when multiple systems that are not dependent on each other begin to exhibit anomalous behavior. For example, if the building still has commercial power, but the cooling tower pumps and fans fail and the building elevators mysteriously go to the wrong floors or don't work at all, a cyber-physical attack may be underway. If the lights in office areas then begin to mysteriously turn off and on, and hot water heaters begin to produce 150-degree water (scalding hot), a cyber-physical attack is definitely underway. Once you've confirmed a cyber-physical attack is underway, if your BCS has an Internet connection (shame on you), *do not sever the connection immediately*. The hacker assumed your first response would be to sever the Internet connection, so there is a strong possibility that loss of Internet connectivity will automatically activate any additional virus already uploaded to the BCS initiating more equipment failures.

## Step 2: Slow Down the Attack. Assume that the BCS is no Longer Under your Command

If the hacker has not already done this, maintenance personnel (two-man rule) should begin by going to the mechanical rooms and manually turning off equipment that is showing anomalous behavior (at the device)—*not using the BCS*. Maintenance personnel probably already tried using the BCS anyway. Personnel should then physically switch remaining equipment to manual mode (again, at the device itself), and unplug the BCS connector at the device. If you do not unplug the BCS connector at the device, the hacker will reset the device so he can regain control of it. If your BCS display is displaying false equipment settings, the hacker may not know immediately that personnel are slowly switching equipment to manual mode. If your BCS is connected to the Internet, physically unplug the Internet connection. The BCS is the hacker's eyes and ears into the building. Now the hacker knows for sure that you are on to him.

## Step 3: Stop the Attack. Shut Down the BCS

The hacker installed a virus on computer servers and clients and even the equipment itself that has not been activated yet, and he was monitoring maintenance personnel activity. If all equipment is set to manual mode, that should prevent more damage. Shut down the BCS and there is nothing he can do.

---

■ **Kill chain** Kill chain analysis illustrates the sequence of stages that the hacker must progress through successfully before achieving the desired objective; one mitigation can disrupt the chain and stop the cyber-attack. The stages are reconnaissance and staging, delivery and attack, exploitation, installation, and system compromise. A kill chain analysis describes the very structure of a cyber-intrusion and the corresponding model guides analysis to inform actionable cyber security intelligence. Through this model, defenders can develop resilient mitigations against intruders and prioritize investments in new defensive technology or processes. (Source: Lockheed Martin)

---

## Step 4: Assess the Damage to Whatever Failed, but Assume that all Equipment was Hacked

Examine equipment that was malfunctioning to determine the extent of the damage. Equipment that did not fail should also be examined because a virus may have been loaded at the device that could then contaminate the BCS when it is restored.

## Step 5: Replace Infected Servers and Repair Damaged Building Equipment

Personnel should continue to operate equipment in manual mode until the BCS network is clean of harmful programs. This can *only* be done by replacing *all* servers and client workstations and reinstalling BCS configuration files and applications software.

## Step 6: Reload the BCS and Restart Automatic Operation

At this point, I assume that your BCS backup was not stored on the same network that the hacker just attacked. Restoring a backup from a drive located on the network that was attacked will simply reload contaminated software. The software must be reloaded from a Rescue CD in the Jump Kit or the vendor's *original disc only*. *All* passwords should be changed using rigorous password requirements. Unused software modules should be deleted (the fact that most people leave unused software modules loaded with their *default password unchanged* always amuses me). Unused ports should be closed, and so forth. User access and privileges should be revisited. By now, you know the drill.

## JUMP KIT

A container that has the items necessary to respond to a cyber-physical attack to help mitigate the effects of delayed reactions. It contains the tools the Incident Response Teams will need to restore a system to its last fully mission-capable state. Knowing what the recovery point should be is the key to ensuring all known remnants of an attack have been removed from all components of the BCS. This means all hardware and software are configured in accordance with operational requirements, and checksums and hashes are in conformance with vendor specifications.

Jump kit contents:

- Incident notifications list: Document contact information for the Information Assurance Manager
  - Document stakeholders who could be affected by a cyber-physical attack on BCS
  - Established notification procedures with management or chain of command
  - Universal serial bus (USB) drives, bootable USB (or LiveCD) with up-to-date anti-malware, and other software tools that can read and/or write to file system
  - Laptop with anti-malware utilities and Internet access (for downloads)
  - Computer and network tool kit to add components, hard drives, connectors, wire cables, etc.
  - Hard disk duplicators with write-block capabilities to capture hard drive images
  - Firewall access control lists
  - Firewall hard disk image
  - IDS rules
  - IDS image
  - Back up of firewall, router, and switch IOS
  - Backup of PLC configurations and firmware
  - Backup RTU software, database, and configurations
  - Back up of all other computer assets to include HMI, Historian, and Database
  - Network map of all expected connections to the BCS
-

## CHAPTER 3



# Prevent Hackers from Destroying a Boiler

A *boiler* is a closed pressure vessel in which water or other fluid (hydronic) is used to heat a building, while a *furnace* uses warm air. The heat is different, and the way that heat is circulated through the building is different (see Table 3-1). Once in your BCS, a hacker can send any one of many locking and blocking error codes to the boiler to shut it down. Interrupting the fuel that feeds the boiler or furnace or interfering with the combustion process is problematic at best, but a boiler that has a loss of feed water and is permitted to boil dry can be extremely dangerous. If feed water is then sent into that empty boiler, the small cascade of incoming water instantly boils on contact with the superheated metal shell and leads to a violent explosion that cannot be controlled even by steam safety valves.

**Table 3-1.** *BCS Interface to a Boiler or Furnace*

---

|                                   |
|-----------------------------------|
| Supply water temperature          |
| Flue gas temperature              |
| Fuel pressure                     |
| Flame signal                      |
| Actual fuel throughput            |
| Combustion efficiency             |
| Gas fuel volume                   |
| O2 value                          |
| Unit pressure                     |
| Fault history                     |
| Total start-ups                   |
| Operating hours counter           |
| Supply air condensing temperature |

---



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■ **Boiler lockout** There are two types of lockouts that a boiler may experience when a manual reset limit device trips (error code for low water, high or low pressure, flame failure, blocked flue, or low air). **Manual reset** lockouts require the operator press the reset button. **Automatic reset** lockouts self-reset when the error condition is cleared.

---

## Boiler Explosion

Of course, building engineers assume none of this can happen because of the safety systems designed to prevent catastrophe. Keep in mind that Chernobyl had safety features that were turned off. A hacker will disable safety features without your knowledge. Failure to protect boilers from a cyber-physical attack can (and likely will) result in a catastrophe. The most common ways a hacker can “destroy a boiler” are listed in Table 3-2.

**Table 3-2.** *Cyber-Attack Tree: Ways that a Hacker Can Destroy a Boiler*

---

Fuel Explosion  
Low Water Level  
Improper Blowdown  
Improper Warm-up  
Pull a Vacuum on the Boiler  
Flame Impingement  
Overfiring

---

The most dangerous situation is a fuel explosion in a boiler or furnace. Conditions can be created for an explosion to occur by a hacker maliciously changing the configuration profile (the operating parameters) so the BCS “thinks” the boiler or furnace is operating properly when in fact it is exceeding manufacturer settings and no alarm would be sounded. A hacker can cause a boiler fuel explosion several ways:

- *Fuel-rich mixture:* A hacker can use the BCS to create high concentrations of unburned fuel by turning off the flame, overriding the automatic safety shutoff and allowing fuel flow to continue unabated. When the flame is restored, the unburned fuel ignites in a very rapid explosion. A fuel-rich mixture can also occur when insufficient air is supplied for the amount of fuel being burned. The hacker is then counting on maintenance personnel adding air with a fire in the unit, resulting in a huge explosion. Maintenance personnel should always trip the unit, purge thoroughly, and then correct the configuration profile.
- *Poor atomization of oil:* Accumulation of any unburned combustible fuel in the furnace can result in an explosion. Boilers have exploded because of poor atomization of oil, which results in incomplete combustion causing unburned oil puddling in the furnace. A hacker would increase the atomizing steam (or air) pressure and increase the fuel oil pressure far above the manufacturer’s original settings.

- *Improper purge:* Explosions have happened after a combustion problem that caused a burner trip. A hacker can cause a flame failure. Maintenance personnel attempt to relight the burner without investigating the cause, and during multiple attempts to relight the burner, oil is sprayed into the furnace. The oil on the hot furnace floor releases combustible gases. When maintenance personnel relight the flame, they ignite the large amount of unburned combustible gases in the furnace, resulting in a huge explosion.

A catastrophe can be prevented by allowing the furnace to *purge thoroughly* before attempting to relight the flame. This is particularly important if fuel has spilled into the furnace. The purge will evacuate any unburned gases until the concentration is below explosive limits.

## Hot Water Heater Explosion

Fire departments are familiar with the explosive potential of even a small hot-water heater. If a hacker can cause the hot-water heater tank (a pressure vessel) to flash into explosive failure at 332°F, the explosion will hurl burning building contents in all directions with tremendous force. Equipment several rooms from the point of the explosion become airborne and people in the mechanical room can be injured or killed as the pressure vessel explodes. It is important to remember that the blast from an explosion in a mechanical room travels through building ductwork. I have seen air vents on the other side of a building blown out from a blast event.

An example of the devastating power of a large pressure vessel explosion is the amphibious assault ship *USS Iwo Jima*. In October 1990, the *Iwo Jima* had been operating in the Persian Gulf for approximately two months and had developed some leaks in the ship's 600-psi steam propulsion plant.

A variety of maintenance items were planned, including overhauling the main steam valve that supplies steam to one of the ship's turbine-driven electrical generators. This valve would be considered a boiler-boundary stop valve. When the second turbine generator was started, the recently overhauled valve was opened to allow for steam at 600 psi and 850 degrees to pass. Within moments, the valve was leaking steam badly.

Before the captain could stop the ship, the bonnet completely blew off the valve and dumped steam from two large boilers into the boiler room. All ten of the crewmembers in the boiler room were killed. In this case, the cause of this catastrophic accident was the installation of nuts made of an improper material for the job. Increasing a building's boiler pressure above the maximum recommended by hacking into the BCS would achieve the same result.

---

■ **Boiler sequence controller hack** Boiler controller, burner programmer, burner controller, sequence controller, and programmable sequence controllers, measure the temperature of the combined water flow of a multi-boiler installation. They are pre-programmed for the automatic operation of gas/oil burners and they regulate the number of boilers operating to match the required demand. They continuously monitor the flame and can control how many boilers fire up at one time for safe start-up. They provide output for blower ignition solenoid valves with prefixed timing for continuous flame supervision. Hackers can turn all the boilers on full blast.

---

## Low Water Conditions

Severe damage to a boiler will result under low water conditions because furnace temperatures typically exceed 1,800°F and the strength of steel decreases when higher than 800°F. The presence of water in all tubes of the furnace is the only thing that allows a boiler to withstand the high temperature. Low water conditions will cause steel boiler tubes to melt completely. A modern boiler is equipped with an automatic low-water switch that trips the burner and shut down the forced draft fan. This shuts down the heat input. If a hacker can defeat your boiler's low-water trip switch, *you will have an explosion.*

A hacker can create these low water conditions by any of the following actions: shutdown feedwater pump; shutdown control valve; loss of water to the deaerator or make-up water system; shutdown drum level controller; loss of plant air pressure to the control valve actuator; lifting the safety valve; and a large sudden change in steam demand.

Unfortunately, boilers equipped with low-water trips are destroyed every year because it is not uncommon for maintenance personnel to *disable trip circuits* to reduce nuisance trips. Installation of a self-monitoring device followed by automatic routine testing would allow two independent circuits to verify whether the measuring electrode is functioning properly. The first circuit would act as the primary alarm when low water is identified. A second circuit can be installed that is *totally independent of the BCS* to sense if there is a low water condition in the boiler, and if so, it will shut down the boiler safely.

## Preventive Measures

The following practices should be followed to prevent hackers from destroying a boiler:

- Investigate and verify the cause of a trip before attempting to relight the boiler.
- Periodic observation of the burner flame to identify combustion problems.
- Before lighting a boiler, always purge the furnace thoroughly to evacuate the inventory of unburned gases. This is particularly important if oil has spilled into the furnace.
- Verify that the water treatment system is operating properly.
- *Never* disable a low water trip.
- Verify that the water leaving the deaerator is free of oxygen, that the deaerator is operated at the proper pressure, and that the storage tank water is at saturation temperature. A continuous vent from the deaerator is necessary to discharge non-condensable gases.
- Continuously monitor the quality of condensate coming back to enable the diversion of the condensate in the event of a catastrophic process equipment failure.
- Never blowdown a furnace wall header while the boiler is operating.
- The warm-up curve should be strictly followed (typically, do not increase the water temperature over 100°F per hour).
- Ensure that the steam drum vent valve is opened whenever the boiler pressure is less than 5 psig.

The following practices are recommended to prevent problems with poor water treatment:

- Verify boiler feedwater is sufficient for the temperatures and pressures involved.
- Verify water leaving the deaerator is free of oxygen, that the deaerator is operated at the proper pressure, and that the water is at saturation temperature for the pressure.
- The boiler should be inspected on a regular basis.
- The water side of the deaerator should be inspected on a regular basis because a deaerator can rupture and all the water in the deaerator would immediately flash to steam.

## Improper Warm-up

If a hacker can access the BCS and change the configuration profile, he can cause severe equipment damage by accelerating the warm up of the boiler too quickly (more than 100°F per hour). Going through start-up, operation, and shutdown creates higher equipment stresses for any boiler than continuous operation at the maximum rated capacity.

## Start-up Procedures

When a cyber-attack occurs, boilers should be shut down immediately and maintenance personnel should examine boilers carefully before returning them to service even under manual operation. Before a boiler is returned to service, boiler operators must check over the entire system and carefully review operating procedures.

## Start-up Checks

Immediately prior to boiler start-up perform the following:

- Check that ventilation and combustion air openings are clean and free of debris.
- Verify water level.
- Check that stack dampers are open.
- Examine the furnace for foreign material.
- Check the furnace for fuel accumulation.
- Make sure that manual fuel valves are open.

Hackers may be able to create carbon monoxide in the mechanical rooms using the BCS. Carbon monoxide poisoning causes more fatalities and illnesses during one year than the failure of pressure vessels and combustion explosions. The two major reasons why generation of carbon monoxide occurs in the combustion process are: improper mixing of the combustion air with the fuel; and incomplete burning because of an inadequate supply of combustion air.

A good carbon monoxide indicator (if natural gas is used) is an unpleasant odor. If oil is the fuel, smoke or soot may be released, or the smell of unburned oil may be evident. The improper mixing of combustion air and fuel is most likely to occur because of the adjustment of certain components that comprise the burner. Given the fact that boilers have undergone rigorous development and testing programs, poor mixing is unlikely to be the result of a design deficiency. It is more likely to be the result of improper field adjustment or “hacker tinkering.”

■ **Lockout/tagout (LOTO)** Lock and tag is a safety procedure that is used in industry and research settings to ensure that dangerous machines are properly shut off and not able to be started up again prior to the completion of maintenance or servicing work. It requires that hazardous energy sources be “isolated and rendered inoperative” before work is started on the equipment in question. The isolated power sources are then locked and a tag is placed on the lock identifying the worker who has placed it. The worker then holds the key for the lock ensuring that only he or she can start the machine. This prevents accidental start-up of a machine while it is in a hazardous state or while a worker is in direct contact with it. Lockout/tagout is used across industries as a safe method of working on hazardous equipment and is mandated by law in some countries. (Source: Wikipedia)

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## CHAPTER 4



# Prevent Hackers from Destroying a Pressure Vessel

Pressure vessels are designed to store a gas or liquid at a pressure substantially higher (10,000 psig) than the ambient pressure and are engineered with a safety factor, corrosion allowance, and minimum design temperature (for brittle fracture). A shell and tube heat exchanger is a type of pressure vessel commonly used in buildings. Pressure vessels are typically fitted with a mechanical safety valve or a relief valve to ensure that the design pressure is not exceeded in normal operation; however, the pressure differential is extremely dangerous, and fatal accidents have occurred in the past. Pressure vessels require sophisticated industrial controls to operate properly and this delicate balance is a potential vulnerability to a sophisticated cyber-physical attack by a determined hacker with engineering knowledge of the targeted equipment.

For example, auto-refrigeration is a phenomenon common to liquefied compressed gas. Liquefied compressed gases exist in both the liquid and gaseous phases at ambient temperatures with pressures ranging from 2 psig up to 2,500 psig. Withdrawal of propane gas from a tank reduces the temperature of the liquid propane and the tank itself with the temperature decreasing more as the gas withdrawal rate increases.

Withdrawing gas from a pressure vessel reduces the pressure as well as the temperature within the vessel. The gas that is withdrawn is replaced as the liquid vaporizes by absorbing heat from the remaining liquid and the vessel itself. Auto-refrigeration occurs when the gas is withdrawn at a rapid rate so that cooling exceeds the heat available from ambient sources. Auto-refrigeration of a pressure vessel not designed for low-temperature operation places the safety of the vessel in question because it could be cooled to temperatures at which vessel failure by brittle fracture may occur.

Microscopic flaws in the welds located in areas of high stress are subject to rapid crack growth when vessel temperatures reach the *nil ductility temperature* (the temperature at which the behavior of the vessel steel changes from ductile to brittle).

A determined hacker tinkering with the pressure vessel controls may be able to simply release the gas or liquid causing an environmental spill or worse, create a potentially dangerous event by taking advantage of a predisposing condition.

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■ **Predisposing condition** A condition that exists within an organization, a mission/business process, enterprise architecture, or information system including its environment of operation, which contributes to (i.e., increases or decreases) the likelihood that one or more threat events, once initiated, will result in undesirable consequences or adverse impact to organizational operations and assets, individuals, other organizations, or the nation. (Source: SP 800-30)

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Pressure vessels are a special class of equipment that should be segregated from the rest of the building control system in a separate enclave.

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■ **Blowdown stack hack** A chimney or vertical stack that is used in an emergency to vent the pressure of components of a chemical, refinery, or other process. The purpose is to prevent loss of containment of volatile liquids and gases. Hacking the controls of a blowdown stack could cause pressure to build up. The failure of the blowdown stack to contain vented hydrocarbons led to a catastrophic explosion at a BP refinery in Texas City in 2005.

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## CHAPTER 5



# Prevent Hackers from Destroying Chillers

Chillers are not as dangerous as steam boilers or pressure vessels, but a hacker can wreak havoc with your chillers if he knows what he's doing. The old absorption chillers generated hydrogen gas naturally as a result of the reaction of lithium bromide with the steel surfaces of chiller, but they are not very common anymore. A hacker attempting to disrupt the chilled water system will generally mess with the refrigerant flow or the condenser water temperature. If a hacker can cause the pressure differential (lift) to exceed the capacity of the compressor, the backward pressure flow causes the chiller to surge. Conversely, if the hacker can cause the pressure in the evaporator to drop, that can also cause the compressor to surge. If the compressor surges, you'll know because it is very noisy.

The cooling tower can also cause the compressor to surge with reduction in the flow of water to the condenser. If the cooling tower fan stops, you will get a high temperature condition. Of course, the hacker would have to defeat the low temperature safety switch, so it does not shut down the chiller automatically. Chiller surge causes damage to the rotating assemblies. When a second or lag machine must be started, the timing of the isolation valves is crucial in preventing a surge condition. If the valve does not open after 90 seconds, the lag system automatically shuts back down in a failure mode.

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■ **Rupture disc** A non-reclosing pressure relief device that typically protects a pressure vessel, equipment, or system from over pressurization or potentially damaging vacuum conditions, also known as a *pressure safety disc*, a *burst disc*, a *bursting disc*, or a *burst diaphragm*.

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If a hacker shuts down the chiller and leaves the pump on, the water in the system heats up increasing the pressure on the cooling side of the chiller. That will increase the pressure in the chamber causing the rupture disc to fail, releasing the refrigerant into the atmosphere. If the refrigerant is R-11, maintenance personnel can be overcome and being unable to breathe possibly pass out from lack of oxygen. This is not the case with R-34 refrigerant. Of course, repairing the rupture disc and replacing lost refrigerant takes time. You should be back up and running in a couple days (provided you have a preferred maintenance agreement with the vendor). That is unless, of course, there were 600,000 buildings attacked simultaneously.



## Troubleshooting Chillers

Begin by looking for indicators or codes that come up on the diagnostic readouts.

Make a visual inspection of the electrical panel, water piping, and pump tank system. Look for obvious problems such as burned or broken wires, water pump not running, water valves shut off, and improper system water temperature.

- Is the chiller running and not cooling, or not running at all?
- Is the pump circulating water? What is the water temperature?
- If the chiller isn't running, check the high voltage circuits.
- Does the chiller have power? Check all the fuses.
- Start at the power side of the control transformer and check wire by wire.
- Trace the power wire from safety to safety.
- Check the water flow switch and the freezestat control.
- Strap temperature probes on the suction, discharge, and liquid lines.
- Watch all the pressures, temperatures, and amperages.

## Chiller Cyber-Attack Tree

The following are some simple hacks that the attacker may use:

- *Low-pressure trip*: BCS thinks that the refrigerant is low; has low or no water flow; or has a clogged water filter or screen.
- *High-pressure trip*: BCS thinks that the water-cooled condenser has poor or no flow; the air-cooled condenser is blocked with debris or has a fan not working; or that the chilled water tank temperature is too high.
- *Oil failure trip*: BCS thinks that there is either low superheat or low oil.
- *Freezestat*: BCS thinks that there is poor water flow or that the thermostat is set too low.
- *Blown fuses or starter trips*: BCS thinks that there is an over-amped motor, compressor, or wires.
- *System not reaching thermostat setpoint*: BCS thinks that the evaporator is iced up.
- *Proof of flow*: BCS thinks that the flow or pressure switches in water circuit are suffering from low or no flow, or that the water filter is blocked or the water valve is shut off.

## CHAPTER 6



# Prevent Hackers from Destroying a Gas Fuel Train

A fuel train is a specially designed series of pipes, valves, regulators, and switches located in the mechanical room, supplying pressurized fuel to industrial burners. A typical fuel train has several components, each with a specific purpose. The manual shut-off valve (MSOV) is used to shut off the fuel supply for maintenance. A gas pressure regulator valve (PRV) maintains the fuel at a constant pressure. A low-pressure gas switch equipped with a safety lockout senses when gas pressure is too low for the burner to operate properly. This tells the operator to check the gas pressure, since the burner will not try to restart until the switch is reset.

Safety shut-off valves (SSOV) automatically open and shut off the fuel supply to the burner. The vent valve is normally an open valve and energizes to close. Whenever the SSOV is closed, the vent valve is open, so if any gas is leaking it will vent to the atmosphere.

A high gas pressure switch is installed to shut down the burner before an unsafe condition can occur. This switch is equipped with a safety lockout that tells the operator that the gas regulator failed since the burner will not restart until the switch is manually reset. A firing rate valve equipped with a modulating motor controlled by boiler pressure or temperature regulates the amount of fuel to the burner and controls the air damper.

A hacker would seek to defeat the safety features and allow gas pressure to build up and exceed the design limits of the fuel train. This may be possible if the SSOVs are prevented from shutting off the fuel supply in a high gas pressure situation. The SSOV would need to remain open to prevent the vent valve from being vented. Alternatively, if the SSOV is allowed to open and close quickly, vented gas would fill the mechanical room where the boiler is located resulting in spontaneous combustion.

## CHAPTER 7



# Prevent Hackers from Destroying a Cooling Tower

A cooling tower is used to dispose of unwanted heat from a chiller. Water-cooled chillers operating on the principle of evaporative cooling are normally more energy-efficient than air-cooled chillers. To achieve better performance (more cooling), they are designed to increase the surface area and the time of contact between the air and water flow. A “collection basin” is used to collect and contain the cooled water after its interaction with the airflow. Make-up water is added to the system to compensate for water lost due to evaporation.

Cooling tower water is filtered to remove particulates and treated with biocides and algaecides to prevent growths that could interfere with the continuous flow of the water and prevent the growth of *Legionella*, including species that cause legionellosis or Legionnaires’ disease, most notably *L. pneumophila*, or *Mycobacterium avium*. Cooling towers are fitted with electrical immersion heaters, steam coils, or hot-water coils in the collection basin to prevent freezing. Obviously, the basin heater should not be operating in the summer, because that would contribute to growth of opportunistic pathogens.

Modern cooling towers are designed with a drift eliminator that provides multiple directional changes of airflow to prevent the escape of water droplets. They are designed to prevent excessively high water levels and possible overflow of the cold-water basin due to over pumping, clogged strainers, or makeup valve malfunction.

A hacker wishing to disrupt a building HVAC may decide to flood the cooling tower collection basin, turn off the fans and heat the water in the basin. Turning off the pumps or intermittent fan reversal would also cause damage to the cooling tower, chillers, or both. Another hack would be to search the installation files to determine the resonant operation speed of the unit that may result in vibrations, which could damage the components or structure, and/or create objectionable noise. The resonant speed ranges are identified at start-up and typically locked out to prevent the variable frequency drive to operate the motor at these resonant speeds. A hacker may also interfere with the chemical “pot” feeder that injects diluted liquid biocides directly to the collection water basin.

Another possible hack would be to spoof the *vibration cutout switch* (VCOS) to shut down the cooling tower. A VCOS is designed to cause a trip condition when it detects any vibration after a time delay. A VCOS can be mechanical or electronic, with a single setpoint containing one trip limit for alarm or shut down.

## Troubleshooting Cooling Towers

Building maintenance personnel should disassemble screens and access panels for inspection; inspect the tower fill, support structure, sump and spray nozzles, fill valve, gear box, drive coupling, fan blades, and motor bearings; inspect wiring; check motor starter contacts for proper operation; megger test the motor and check the condition of the sump heater and contactor.

## CHAPTER 8



# Prevent Hackers from Destroying a Backup Generator

In 2007, CNN broadcast a demonstration of an “Aurora” cyber-physical attack of a 2.25 MW generator connected to a substation. This test was conducted at the Idaho National Laboratory (INL) for the Department of Homeland Security. INL staff injected a virus consisting of 20 lines of code that caused an out-of-phase condition that can damage alternating current (AC) equipment connected to the power grid.

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■ **Aurora vulnerability hack** In 2007, the Idaho National Laboratory (INL) conducted a test to demonstrate how a cyber-physical attack could destroy physical components of the electric grid. INL used a computer program to rapidly open and close a diesel generator’s circuit breakers out of phase from the rest of the grid. Every time the breakers were closed, the torque from the synchronization caused the generator to bounce and shake, eventually causing parts of the generator to be ripped apart and sent flying as far as 80 feet. This vulnerability can be mitigated by preventing out-of-phase opening and closing of the circuit breakers. A cyber-physical attack that takes down a commercial power grid causes a rise in mortality rates as health and safety systems fail, a drop in trade as ports shut down, and disruption to transportation and infrastructure.

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Connecting AC equipment out of phase is a known vulnerability, but doing it maliciously was brought to light by the test conducted by INL. This condition occurs when a circuit breaker or breakers are opened and closed rapidly, resulting in an out-of-phase condition. The test demonstrated the threat associated with rapidly disconnecting and reconnecting a generator to the grid, but out-of-phase, via physical or cyber intrusion of control systems conducted maliciously or unintentionally.

Because an Aurora event consists of the out-of-sync reconnecting of three-phase rotating equipment, just about any three-phase equipment (motors, generators) in manufacturing facilities, pipelines, refineries, electrified mass transit, data centers, and power plants can be attacked.

Risk mitigation is achieved by placing a hardware device that monitors for the rapid out-of-phase condition associated with an AUORA event between each substation and its loads. The device isolates the substation from its loads before the torque of the grid can be applied to the equipment. Two relay protection suppliers provide a Digital Protection and Control Devices (DPCD) capable of closing breakers that can adversely impact critical electrical rotating equipment: Cooper Power Systems, and Schweitzer Engineering Laboratories. They are relatively inexpensive and have wiring configurations similar to other relays.

■ **Power outage** A short- or long-term loss of the electric power to an area (also called a *power cut*, a *power blackout*, a *power failure*, or a *blackout*). Power outages are categorized relating to the duration and effect of the outage:

- A **permanent fault** is a massive loss of power typically caused by a fault on a power line. Power is automatically restored once the fault is cleared.
  - A **brownout** is a drop in voltage in an electrical power supply. The term *brownout* comes from the dimming experienced by lighting when the voltage sags. Brownouts can cause poor performance of equipment or even incorrect operation.
  - A **blackout** is the total loss of power to an area and is the most severe form of power outage that can occur. Blackouts that result from or result in power stations tripping are particularly difficult to recover from quickly. Outages may last from a few minutes to a few weeks, depending on the nature of the blackout and the configuration of the electrical network.
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## CHAPTER 9



# Prevent Hackers from Destroying Switchgear

Many large industrial facilities can have downtime costs of more than one million dollars per day. Equipment replacement times can easily be months. The risk should be obvious.

Historically, the only possible way to compromise electro-mechanical relays on some utilities' systems required physical access to the relay (For some reason, transformers are the target of choice for some snipers in California.) Unfortunately, the same digital control systems that enable these systems to be more operator-friendly and functional are turning these features into vulnerabilities. That's why it is so important to air-gap your controls so that an adversary cannot change any configuration parameters.

If a hacker can get into the BCS and cause devices to exceed the design amperage (such as load up a 1200 amp breaker), that would overload the wires and a flame would spread quickly throughout the switchgear. Then again, if an attacker can get into a manhole, he may be able to cause an arc fault and trigger an electrical fire. Of course, this is extremely dangerous and unless he knows what he is doing, he probably would not survive the attempt.

Overcurrent devices should be cleaned and lubricated as required; fusible switch units should be checked to make sure all fuses within the unit are from the same manufacturer and are of the same class and rating. Arcing failures will occur where connections have been loosened.

It may sound overly simplistic but once an adversary gets into your BCS, he can send the same commands to your equipment that your building maintenance personnel can send (see Table 9-1). An adversary can turn things on or off, cause equipment to shut down automatically when a certain trigger is activated, or cause pieces of equipment to work against each other. Imagine two fans at opposite ends of a length of ductwork, each blowing air toward the other fan.

**Table 9-1.** *Cyber-Attack Tree: Ways a Hacker Can Destroy an Electrical Switchgear*

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Send invalid disconnect messages to meters.

Compromised head end.

Blocked DR messages.

Improper DRAS configuration causes inappropriate DR messages.

Spurious trip parameters added trips unit offline.

Equipment tripped offline through vendor remote connection.

Improper firewall rule configuration allows direct access from another network.

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*(continued)*

**Table 9-1.** *(continued)*

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Adversary sends DR message that causes services to send “last gasp” or “self-test failed” messages direct to devices.

Meter reconfigured via optical port.

Flood communications channel with other messages prevent legitimate DR messages from being received and transmitted.

Modify DRAS configuration to send DR messages at incorrect times or to incorrect devices.

Manufacture an artificial cascade to trigger blackout through sequential tripping of select feeders and components causing automated tripping due to power and voltage fluctuations.

Stop flow of wireless communications between devices.

Overwhelm alarm-processing capability by sending unnecessary alarms.

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## CHAPTER 10



# Eight Steps to Defending Building Control System

I am including this list of recommendations in the hopes that readers will take action to protect their networks. If you only do these eight things, I estimate that you will reduce your vulnerability by 90 percent.

## Discontinue Remote Connections to the BCS

Granted, the building maintenance personnel and equipment vendors want to access the equipment from the comfort of their recliner at home. So does the hacker. I have yet to see a BCS that does *not* have remote access. I asked an engineer once if his building had remote access. He said “No.” I asked to see his network diagram. I pointed to a box on the diagram labeled “Modem.” “What’s this?” I asked. He replied, “Oh, that’s only used by the vendor for diagnostics.” Obviously, we had it removed.

## Implement Application Whitelisting

Application whitelisting can *detect* and *prevent* malware from executing. Building control systems are typically static systems that rarely change so they are ideal for this defense. Application whitelisting is more effective than antivirus software because antivirus is not 100-percent effective.

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■ **Application whitelist** A list or register of entities that are being provided a particular privilege, service, mobility, access, or recognition. Entities on the list will be accepted, approved, and/or recognized. Whitelisting is the reverse of blacklisting, the practice of identifying entities that are denied, unrecognized, or ostracized.

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## Systematic Patch Management Regimen

Just like burglars look for unlocked doors, hackers look for unpatched systems. Start with an asset inventory and baseline to track needed patches. Ensure software patches are imported from a safe, known source (hackers have been known to create a “watering hole” website so unsuspecting maintenance staff could download an infected version of the patch) and the patch is implemented quickly upon release. Don’t forget to scan and patch PC-based laptops used to patch the BCS. Only known-good company laptops should connect to the BCS for patching and these should be stored securely on site at all times.



## Reduce the Attack Surface

The BCS should not connect to any other networks, especially the Internet. Lock down all unused ports. Turn off all unused services. Only allow real-time connectivity to external networks if there is a legitimate requirement. If one-way communication can accomplish a task, use optical separation (“data diode”). If bidirectional communication is necessary, then use a single open port over a restricted network path.

## Build a Defendable Network Environment

Segment networks into logical enclaves and restrict host-to-host communications paths. This prevents hackers from expanding their access, while allowing normal system communications. Enclaving limits possible spread of malware and makes incident cleanup much faster and less costly. Consider using approved media instead of a network connection when transferring data from a secure network to a less secure network.

## Manage Authentication

Hackers are increasingly attempting to obtain legitimate credentials, especially those with highly privileged accounts, allowing them to masquerade as legitimate users. Implement three-factor authentication where possible. Reduce privileges to only what’s needed. Implement secure passwords (14 characters) for all accounts and change all passwords at least every 90 days. Require separate credentials for separate networks and zones.

## Monitor and Respond

Watch IP traffic for abnormal or suspicious communication. Watch IP traffic within the BCS network for malicious connections or content. Use host-based products to detect malicious software. Use login analysis (time and place for example) to detect stolen credential usage or improper access, verifying all anomalies with a quick phone call. Watch account/user administration actions to detect control manipulation.

## Do Not Use BCS Workstations for Anything Else

Resist the temptation to use the BCS workstation for any other purpose. Do not allow connection of a BCS client computer to check email, download software updates, surf the Web, or play computer games. The BCS workstation should not even be connected to the enterprise network. That’s how “they” get in. Exercise good cyber-hygiene.

## CHAPTER 11



# Block Hacker Surveillance of Your Buildings

So far, I've discussed the ability of an adversary to cause physical damage to your facilities, but there is another aspect to their activities that needs attention. The fact is that hackers are monitoring your company activities using *your* building control system and other building-related systems that your IT staff and security staff are probably completely unaware even exist.

Historically, IT staff has kept away from the building controls network, and for very good reasons. First of all, they don't know diddly about the building equipment being monitored. Secondly, they are not funded to get involved in facilities equipment—and the facilities folks don't want them involved either.

The security office is probably totally unaware the facilities folks have a direct digital controlled network that can be used by adversaries to monitor activities in your buildings in real time. They too are not familiar with the equipment or the capability of the equipment for misuse as an intelligence collection platform. The fact that they are not funded and don't have the training to ensure the security of these building control systems is another matter altogether.

Basically, the three most important groups needed to ensure the adversary is unable to penetrate your building controls aren't even talking to each other. When all heck breaks loose, they will be content to point the finger at each other and say it was the other guy's responsibility. In reality, no one is responsible and adversaries depend on the confusion to gain a foothold into your day-to-day activities.

Case in point, not long ago it was discovered that someone in China was listening in on confidential conversations about trade negotiations at the U.S. Chamber of Commerce. It was only after network printers at the Chamber of Commerce began spewing out documents written in Chinese that an investigation revealed the thermostats in a conference room were retasked remotely to act like microphones and the conversations were transmitted over the building controls network around the world where they were recorded by the hackers.

Is this an isolated incident? Probably not. Can industrial spies listen into conversations in your CEO's office? Is there a thermostat in the room? Is it made in China? Is your building controls network connected to the Internet? Do the math.

Another source of information about your company is the Computerized Maintenance Management System that the facilities office uses to track equipment maintenance, preventive maintenance, and repair work orders. The facilities staff typically walks around the building with handheld wireless tablets that tell them what equipment needs filters replaced for example and when. These wireless devices are easily hacked. Your adversary tracks the information and knows who your maintenance people are, when they are out on vacation, their phone number and email (home and office), their work hours, the equipment that has broken down and when it happened, whether repair parts are in the warehouse and where, and on and on. You would not believe the amount of information an adversary can extract from a CMMS. Yet the CMMS is

sometimes the least secure IT platform in your entire operation. Some of the CMMS systems include a list of passwords that staff uses to get into the BCS, change configurations, and so forth. Some also reveal who has administrator privileges. That can be one very leaky boat.

The good news is that as long as the adversary is more interested in listening in on your “confidential” conversations, the less likely he is to try and blow up your equipment. The bad news is that the day will come when he is less interested in listening in and more interested in doing real damage to your factory and offices.

The best way to prevent use of the BCS for surveillance of your building is to read Chapter 10 and do what it says. When the adversary that was able to get into your BCS decides to shut down your building, you will not be able to stop him from doing some damage. Preventing him from getting into your BCS is the best strategy.

## CHAPTER 12



# Cyber-Physical Attack Recovery Procedures Template

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■ **Note** A soft copy of these forms (fully editable with fillable fields) is available for download at [www.apress.com/9781484220641](http://www.apress.com/9781484220641).

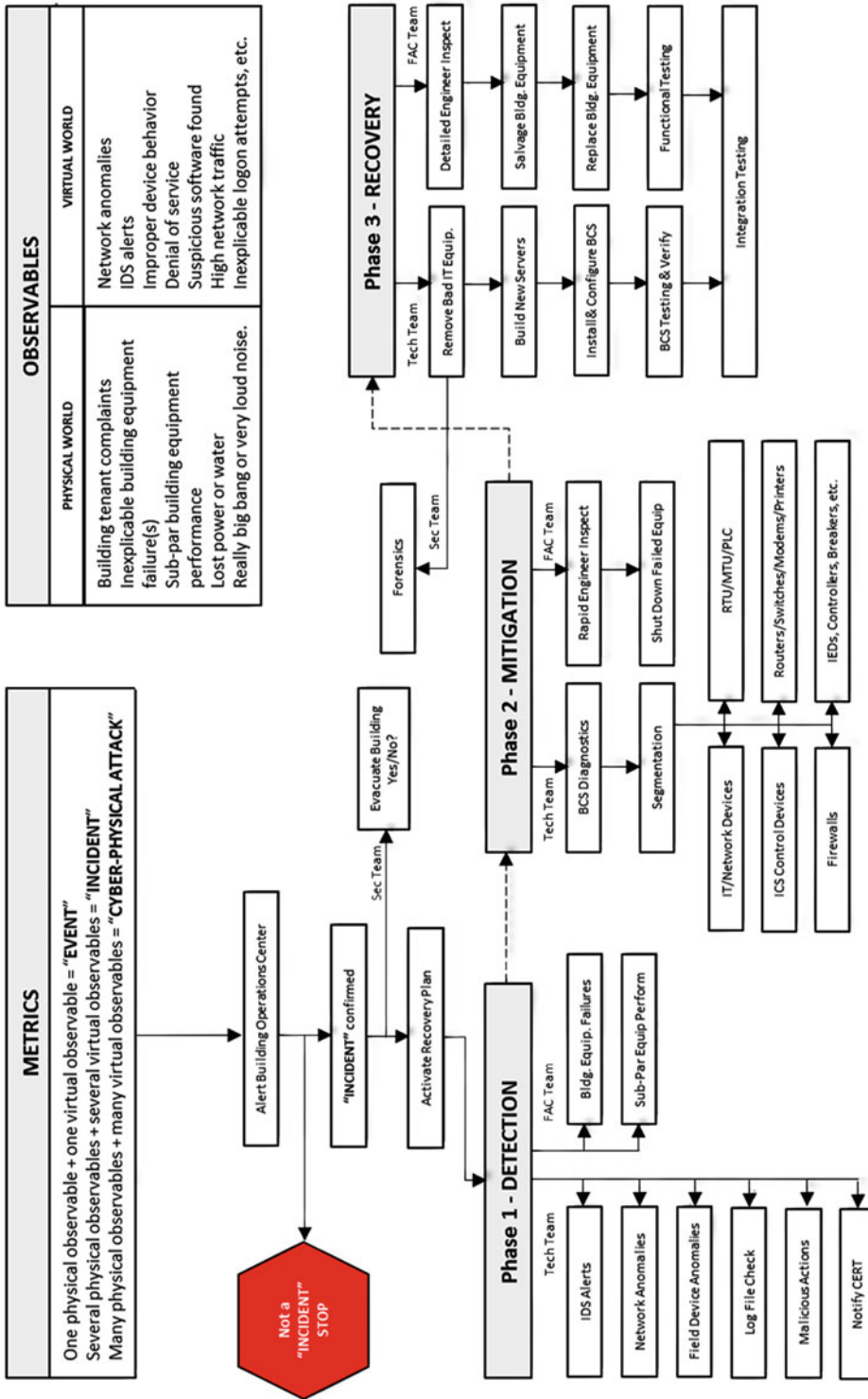
---

<<Company Name>>  
<<Facility Name>>  
<<Date>>

The Cyber-Physical Attack Recovery Procedures provide guidance when responding to a cyber-attack on the Building Control System and documenting the nature and scope of the cyber-attack. The Recovery Procedures Template consists of **checklists** and **functional performance tests** to assist the Incident Response Team in restoring normal building operations in a pre-determined sequence, based on mission prioritization.

One checklist shall be filled out specifically for each piece of equipment (e.g., AHU-1, AHU-2, AHU-3, etc.) and the functional performance tests include normal operating parameters (e.g., 40 psig, 40°F to 95°F) based on information collected during initial installation and/or during equipment commissioning, for comparison with current readings. Some checklists require you to attach drawings indicating the location of important switches, valves and gauges to be checked, as well as equipment shutdown and start-up, and Sequence of Operation instructions. Checklists may also list dependencies and related functions that make up the service such as water and power; how those dependencies interrelate; and the tools, procedures, and personnel necessary to restore the particular equipment or service to normal operation.

The following flow chart should give you a general idea of the recovery process.



## START HERE

These are the steps taken when a cyber-physical event occurs. The person who discovers the event will call the Building Operations Office. The sources should be provided with a contact procedure and contact list. Sources requiring contact information may be:

| Person Discovering the Event Should Call:                            |                  |
|--|------------------|
| Contact  | Telephone Number |
| Helpdesk   |                  |
| Building Operations Office   |                  |
| Security Office  |                  |
| IT Support Office  |                  |
| Whichever office is contacted first shall contact the other offices. |                  |

---

■ **Note** Enter telephone numbers and post this information where staff can see it.

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| The Office Alerted of the Event will Log: |  |
|---|--|
| Name of the caller                        |  |
| Time of the call                          |  |
| Contact information about the caller      |  |
| Caller physical location                  |  |
| The nature of the event                   |  |
| How was the event detected?               |  |
| What equipment or persons were involved?  |  |
| Location of equipment or persons involved |  |

The facilities office staff member who receives the call will contact the Recovery Procedures Coordinator using email *and* phone messages while certain that other appropriate backup personnel and designated managers are contacted.

The Incident Response Team will meet and determine a response strategy.

| <b>The Staff Member Could Possibly add the Following:</b>                                |  |
|--|--|
| Is the affected equipment mission-critical?  |  |
| What is the severity of the potential impact?  |  |
| Name of equipment being targeted, along with operating system, IP address, and location. |  |
| IP address and any information about the origin of the attack.                           |  |

| <b>Incident Response Team Initial Meeting/Discussion</b>                                     |  |
|--|--|
| Is the event real or perceived?  |  |
| Is the event still in progress?  |  |
| What equipment or system is threatened and how critical is it?                               |  |
| What is the impact on the building should the attack succeed? Minimal, serious, or critical? |  |
| Where is the equipment located physically and on the BCS network?                            |  |
| Is the event inside the trusted network?   |  |
| Is the response urgent?  |  |
| Can the event be quickly contained?  |  |
| Will the response alert the attacker and do we care?   |  |
| What type of event is this?<br>(virus, worm, intrusion, abuse, damage)                       |  |

---

■ **Note** Create a new event ticket for each call. There will be many.

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## EVENT TICKET

|   |                                 |
|---|---------------------------------|
| <b>Work Order #:</b>                    | <b>Government Work Order #:</b> |
| <b>Work Order Type:</b>                 | <b>Customer Ref #:</b>          |
| <b>Report Date:</b>                     | <b>Work Order Status:</b>       |
| <b>Building:</b>                        | <b>Asset Worked On:</b>         |
| <b>Additional Location Information:</b> |                                 |
| <b>Customer Request:</b>                |                                 |
| <b>Conditions Found:</b>                |                                 |
| <b>Actions Taken:</b>                   |                                 |



|              |                        |                   |                  |                      |                 |
|--------------|------------------------|-------------------|------------------|----------------------|-----------------|
|              | <b>Status:</b>         |                   |                  | <b>Date:</b>         |                 |
| <b>Date:</b> | <b>Technician Name</b> | <b>Start Time</b> | <b>Stop Time</b> | <b>Regular Hours</b> | <b>OT Hours</b> |
|              |                        |                   |                  |                      |                 |
|              |                        |                   |                  |                      |                 |
|              |                        |                   |                  |                      |                 |
|              |                        |                   |                  |                      |                 |

| <b>Part #</b>          | <b>Description</b> | <b>Quantity</b>                       | <b>Unit Cost</b> | <b>Total Cost</b>                               |
|------------------------|--------------------|---------------------------------------|------------------|---|
|                        |                    |                                       |                  |   |
|                        |                    |                                       |                  |   |
|                        |                    |                                       |                  |   |
|                        |                    |                                       |                  |   |
| <b>Supply Rep Name</b> |                    | <b>Technician Name/ Date Received</b> |                  | <b>Supervisor Approval for High Value Items</b> |
|                        |                    |                                       |                  |   |

|  |                         |
|--|-------------------------|
| <b>Customer Signature &amp; Date Completed</b>     | <b>Customer Rating</b>  |
|  |                         |
| <b>Technician Signature &amp; Date Completed</b>   | <b>Customer Comment</b> |
|  |                         |
| <b>QC Inspector Signature &amp; Date Completed</b> | <b>QC Comment</b>       |
|  |                         |

| <b>Event Category.</b> Event will be categorized into the highest applicable level of one of the following categories (pick one): |  |
|---|--|
| <b>Event Category</b>   | <b>Description</b>                           |
| One   | A threat to life, safety, or the public      |
| Two   | A threat to sensitive buildings or utilities |
| Three   | A threat to computer systems                 |
| Four  | A disruption of building mission or services |

## INCIDENT RESPONSE TEAM

Incident Response Team members will use the checklists and perform the functional performance tests specified herein in the order specified in the Equipment Restoration Priority List. IRT members sign off after each test. Incident Response Team members will establish and follow one of the following procedures basing their response on the incident assessment:

- Worm response procedure
- Virus response procedure
- System failure procedure
- Active intrusion response procedure: Is critical data at risk?
- Inactive Intrusion response procedure
- System abuse procedure
- Property theft response procedure
- Website denial of service response procedure
- Database or file denial of service response procedure
- Spyware response procedure

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■ **Note** The Incident Response Team may create additional procedures, which are not foreseen in this document. If there is no applicable procedure in place, the team must document what was done and later establish a procedure for the incident.

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Incident Response Team members will use forensic techniques, including reviewing system logs, looking for gaps in logs, reviewing intrusion detection logs, and interviewing witnesses and the incident victim to determine how the incident was caused. Only authorized personnel should be performing interviews or examining evidence, and the authorized personnel may vary by situation and the organization.

Upon management approval, the changes will be implemented.

Incident Response Team members will restore the affected building control system(s) to the uninfected state. They may do any or more of the following:

- Reinstall the affected building control system(s) from scratch and restore data from backups if necessary. Preserve evidence before doing this.
- Make *all* users change *all* passwords.
- Be sure that the building control system has been hardened by turning off or uninstalling unused services.
- Be sure that the building control system is fully patched.
- Be sure that real-time virus protection and intrusion detection is running.
- Be sure that the building control system is logging the correct events and to the proper level.

## Documentation

The following shall be documented:

- How the incident was discovered.
- The category of the incident.
- How the incident occurred, whether through email, firewall, and so forth.
- Where the attack came from, such as IP addresses and other related information.
- What the recovery plan was.
- What was done in response?
- Whether the recovery procedures were effective.

## Evidence Preservation

Make copies of logs, email, and other communication. Keep lists of witnesses. Keep evidence as long as necessary to complete prosecution and beyond in case of an appeal.

## Notify Proper External Agencies

Notify the police and other appropriate agencies if prosecution of the intruder is possible. Add contact numbers here.

### Notify Proper External Agencies

| Agency                                 | Contact                          |
|--|----------------------------------|
| US Department of Homeland Security     | 877-776-7585 ICS-CERT@HQ.DHS.GOV |
| FBI – Cyber Division – CyWatch         | 855-292-3937 TCIU@IC.FBI.GOV     |
| National Security Agency<br>(Industry) | 410-854-6091 BAO@NSA.GOV         |
| (Government)                           | 410-854-4200 IAD_CCC@NSA.GOV     |
| Police                                 |                                  |

## Assess Damages and Cost

Assess the damage to the organization and estimate both the equipment cost and the cost of the mitigation efforts.

## INCIDENT RESPONSE TEAM MEMBER LISTING

| Team Member Name         | Cell Phone | Telephone | Time Called | Email |
|--------------------------|------------|-----------|-------------|-------|
| <b>Management Team</b>   |            |           |             |       |
| Leader                   |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
| <b>Facilities Team</b>   |            |           |             |       |
| Leader                   |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
| <b>Tech Support Team</b> |            |           |             |       |
| Leader                   |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
| <b>Security Team</b>     |            |           |             |       |
| Leader                   |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |
|                          |            |           |             |       |

---

■ **Note** This list should be completed and kept current.

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## EQUIPMENT RECOVERY PRIORITY LIST

| Equipment Recovery Priority List |             |
|----------------------------------|-------------|
| Priority                         | Description |
| 1                                |             |
| 2                                |             |
| 3                                |             |
| 4                                |             |
| 5                                |             |
| 6                                |             |

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■ **Note** This list should be completed and kept current.

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## VULNERABILITY ASSESSMENTS HISTORY

The following are the types of internal and external vulnerability tests.

### White-Box Test Team

This test team has complete access to the BCS network, including network diagrams, hardware, operating system, and application details. Knowledge of the network allows targeting specific building equipment, applications, and field devices.

### Grey-Box Test Team

This test team simulates attack by a disgruntled employee. The test team has user level privileges and access permitted to the BCS network with certain security policies relaxed.

### Black-Box Test Team

This test team has no prior knowledge of the BCS network (except possibly a website URL or IP address). The test team attempts to break into the BCS network remotely.

| Scan Date | Testing Team & Type | Company | Recommendations |
|-----------|---------------------|---------|-----------------|
|           |                     |         |                 |
|           |                     |         |                 |
|           |                     |         |                 |
|           |                     |         |                 |
|           |                     |         |                 |

The following are vulnerability test types:

- **External Vulnerability Scan:** Identify network-facing vulnerabilities (monthly).
- **Internal Vulnerability Scan:** Identify network-facing vulnerabilities (quarterly).
- **External Vulnerability Assessment:** Identify configuration and architecture vulnerabilities (annual).
- **Internal Vulnerability Assessment:** Identify network, client, configuration, and physical vulnerabilities (annual).
- **Penetration Test:** Exploit any vulnerability to obtain access to building controls (annual).



## PHASE 1: DETECTION

### Observables

Historically, the primary reason many cyber-attacks went undetected for days, months, or years is because most cyber-attacks steal information. In the past, cyber-attacks targeted an enterprise's use of cyberspace for the purpose of disrupting, disabling, destroying, or maliciously controlling a computing environment/infrastructure; or destroying the integrity of the data or stealing controlled information. A cyber-physical attack on the other hand is a coordinated attack on vulnerable physical systems, making it much more difficult to conceal.

When anomalous behavior is observed such as multiple equipment failures, Intrusion Detection System alerts are sounded, or a catastrophic event occurs, the Incident Response Teams consult the **Event Diagnostics Table** to determine if the "event" is a possible cyber-physical attack. Incident Response Teams then consult the **BCS Integrity Checks** table to verify if a cyber-physical attack is underway. Incident Response Teams provide management with the facts necessary to make informed decisions regarding subsequent resumption and recovery activity.

### Real-World Alerts

As building managers, we are constantly monitoring building equipment in the physical world looking for clues that something is amiss. Problems like the inability of the HVAC to maintain building temperature at a comfortable level, or smoke billowing from a mechanical room are what I call "observables." We actually *see, hear, or smell* that something is wrong in *the real world*. Sometimes it's the complaints from a building's occupants that tell us that something is wrong. We rely on electronic equipment to quickly detect observables in the real world. Things like automatic smoke detectors and fire alarms quickly point out serious problems because they are located throughout buildings.

The following are some observable events that tell us that something is wrong in the *real world*:

- Smoke
- Fire
- Leaks
- Smells
- Sounds
- Flashing red lights
- Multiple or frequent building occupant complaints
- Rooms too hot
- Rooms too cold
- Excessive energy use
- Equipment won't turn on
- Equipment won't turn off
- Explosions
- People passing out
- People vomiting

You get the idea.

## Virtual-World Alerts

Observable events that tell us something is wrong in the *virtual world* include the following:

- No disk space or significantly reduced free disk space
- Unusually high CPU usage
- Unauthorized creation of new user accounts
- Attempted or actual use of administrator-level accounts
- Locked-out accounts
- Accounts in use when the user is not at work
- Cleared log files
- Full log files with an unusually large number of events
- Disabled antivirus software and other security controls
- Unexpected patch changes
- Requests for information about the system (social engineering attempts)
- Unexpected system or building equipment shutdown
- Stoppage or displayed error messages on a web, database, or application server
- Filenames containing unusual characters or new or unexpected files and directories
- Auditing configuration changes logged on the host records, especially the disabling of audit functionality
- A large number of bounced emails with suspicious content
- Unusual deviation from typical network traffic flows
- Erratic equipment behavior, especially when more than one device exhibits the same behavior
- Any apparent override of safety, backup, or failover systems
- Equipment, servers, or network traffic that has bursts of temporary high usage when the operational process itself is steady and predictable
- Unknown or unusual traffic from corporate or other network external to control systems network
- Unknown or unexpected firmware pulls or pushes
- Evidence of cyber-attack precursors, such as active port scanning or account harvesting
- Unusual patterns of communication gathering technical or security information
- Phishing attacks
- Information about the BCS is exfiltrated or leaked
- Denial-of-service attack

- Data, file system, software, or packets were altered
- Equipment configuration setpoints were altered at rest or in transit
- Unauthorized use of the BCS

## Intrusion Detection System Alerts

Now, we also have to discover when something is going wrong in the “virtual world.” We do this by installing an intrusion detection system (IDS). An IDS is a hardware or software product that gathers and analyzes information from various areas within a building control system to identify possible security breaches, which include both intrusions (attacks from outside the organizations) and misuse (attacks from within the organizations.)

An IDS alerts us whenever it detects suspicious behavior, such as any of these events:

- Unauthorized user logging in
- Virus or Trojan horse detected
- Rapid and/or continuous log-ins/log-outs
- Users logging into accounts outside of normal working hours
- Numerous failed login attempts
- User accounts attempting to escalate account privileges
- Suspicious software and/or configurations on a server or workstation
- Unusual system behavior
- Irregular process found
- Spontaneous reboots or screensaver change
- Unusually slow performance or usually active CPU
- CPU cycles up and cycles down for no apparent reason
- Intermittent loss of mouse or keyboard
- Configuration files changed without user or system administrator action in operating system
- Configuration changes to software made without user or system administrator action
- BCS unresponsive
- When an asset is communicating outside the bounds of the data flow baseline
- HMI, OPC, and controllers not synchronized

- Unexpected changes to instructions, function calls, commands, or alarm thresholds being sent from HMI or OPC to controllers
- HMI or OPC not updating after operator made changes to instructions, commands, or alarm thresholds
- Expected changes to controllers are not appearing on controllers
- An irregular vendor patch coming from an external source, or unexpected source, to a device within the BCS
- A device on the BCS is communicating with an undocumented, unauthorized, or unknown IP address
- A device other than authorized devices is sending field controller traffic to a BCS device
- Traffic coming or going to an unknown device
- A BCS field controller is communicating with an unknown device
- A BCS device has expanded its communications to other devices within the BCS

As you can see, there are many “observables” in the real world and the virtual world that tell us that something is going on that we need to explore. Most alerts are not malicious but are due to authorized events or can otherwise be explained. The following are questions to ask:

- Was maintenance performed on the system or a software update installed recently?
- Did the equipment simply malfunction?
- Did the equipment lose network connectivity (outside the building)?
- Was a new BCS device installed?
- Was a BCS device reconfigured? Was it reconfigured correctly?
- Are there other authorized events that could be causing excessive network traffic?
- Was an old process removed from the BCS?
- Is the problem due to user error?

*If* an event is detected *and* it cannot be explained, then we are compelled to perform integrity checks on *every* server, workstation, router, network switch, firewall, and controller, and all printers and peripherals.

*When* an event that may be a cyber-physical attack is detected, an *event ticket* is created and the appropriate Incident Response Team is called upon to investigate.

## EVENT DIAGNOSTICS TABLE

| Check                    | Anomalous Behavior Observables   |
|--------------------------|--|
| <input type="checkbox"/> | Unusually heavy BCS network traffic  |
| <input type="checkbox"/> | No disk space or significantly reduced free disk space                         |
| <input type="checkbox"/> | Unusually high CPU usage   |
| <input type="checkbox"/> | Creation of new user accounts  |
| <input type="checkbox"/> | Attempted or actual use of administrator-level accounts                        |
| <input type="checkbox"/> | Locked-out accounts  |
| <input type="checkbox"/> | Accounts in use when the user is not at work                                   |
| <input type="checkbox"/> | Cleared log files  |
| <input type="checkbox"/> | Full log files with an unusually large number of events                        |
| <input type="checkbox"/> | Antivirus or IDS alerts  |
| <input type="checkbox"/> | Disabled antivirus software and other security controls                        |
| <input type="checkbox"/> | Unexpected patch changes   |
| <input type="checkbox"/> | Machines or intelligent field devices connecting to outside IP addresses       |
| <input type="checkbox"/> | Requests for information about the system (social engineering attempts)        |
| <input type="checkbox"/> | Unexpected changes in configuration settings                                   |
| <input type="checkbox"/> | Unexpected system shutdown   |
| <input type="checkbox"/> | Stoppage or displayed error messages on a web, database, or application server |
| <input type="checkbox"/> | Unusually slow access to hosts on the network                                  |

*(continued)*

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | Filenames containing unusual characters or new or unexpected files and directories   |
| <input type="checkbox"/> | Auditing configuration changes logged on the host records, disabling auditing function   |
| <input type="checkbox"/> | A large number of bounced emails with suspicious content   |
| <input type="checkbox"/> | Unusual deviation from typical network traffic flows   |
| <input type="checkbox"/> | Erratic building equipment behavior, more than one device exhibits the same behavior   |
| <input type="checkbox"/> | Any apparent override of safety, backup, or failover systems   |
| <input type="checkbox"/> | Equipment, servers, or network traffic that has bursts of temporary high usage when the operational process itself is steady and predictable |
| <input type="checkbox"/> | Unknown or unusual traffic from corporate or other network external to BCS   |
| <input type="checkbox"/> | Unknown or unexpected firmware pulls or pushes   |
| <input type="checkbox"/> | Loss of building utilities (electricity, water, gas, sewer equipment failure)  |
| <b>Check</b>             | <b>Anomalous Behavior Observables</b>  |
| <input type="checkbox"/> | Very large number of complaints from building tenants  |
| <input type="checkbox"/> | Failure of multiple types of building equipment simultaneously   |
| <input type="checkbox"/> | Very high energy usage   |
| <input type="checkbox"/> | Obviously erroneous readings in BCS displays   |
| <input type="checkbox"/> | Discovery that system safety devices have been disabled  |
| <input type="checkbox"/> | Equipment running during the wrong season of the year  |



## DECISION TIME

| Decision Point  | Actions   |   |   |  | Category  |
|---|---|---|---|--|---|
| 1. Cyber “event” is discovered by IDS or unexpected equipment failure             | 2. Event is confirmed to be “Incident”                                  | 3. Recovery Procedures activated                                    | 4. Alarm sounds   | 5. Building evacuated                          | Initiation  |
|   | 2. If no, then  | 3. Recovery Procedures is not activated                             | 4. Return to normal operations                                  | 5. Evaluate response                           | Determination   |
| 6. Determine scope of incident and assess damage after building access is allowed | 7. If small scope with no to minimal damage, then                       | 8. Repair and begin clean up  | 9. Return to normal operations                                  | 10. Notify management and tenants of situation | Short Evacuation May Be Required                        |
|   | 7. Moderate to large scope or moderate to severe damage, then           | 8. Activate alternate site  | 9. Activate Incident Recovery Team                              | 10. Notify management and tenants of situation | Moderate to Severe Damage to Building or Infrastructure |
| 11. Assess damage   | 12. If damage is moderate and will be able to return in 30 days or less | 13. Complete repairs as necessary while operating at alternate site | 14. Return to building  | 15. Return to normal operations                | Moderate Severe Damage to Building or Infrastructure    |
|   | 12. If more than 30 days expected for repairs, locate to new building   | 13. Order supplies and equipment                                    | 14. Set up and operate at new facility while completing repairs | 15. Return to normal operations                | Severe Damage to Building or Infrastructure             |
|   | 12. If total loss, locate to new facility                               | 13. Rebuild   | 14. Set up at new facility while completing repairs             | 15. Return to normal operations                |   |



## PHASE 2: MITIGATION

### Mitigation and Segmentation

- The Incident Response Team's first priority is to isolate any compromised devices and protect the building and personnel through segmentation. The segmentation must be based on a predetermined strategy taking into account specific equipment and building mission realities. After this step is complete, the Incident Response Teams ensure that local control has been achieved.
- The Facilities Incident Response Team conducts a preliminary Rapid Inspection of incident impact, known injuries, extent of damage, and disruption to building services and operations.
- The Incident Response Team informs the Recovery Procedures Coordinator who determines if or when access to the facility will be allowed.
- The Recovery Procedures Coordinator establishes and organizes a management control center and headquarters for the recovery operations.
- The Recovery Procedures Coordinator implements procedures necessary to mobilize operations, support and department relocation as well as employee and external individuals and organizations notification before, during, and after relocation.
- The Recovery Procedures Coordinator notifies and appraises management of the situation.

### Building Equipment Damage Assessments

The Facilities Incident Recovery Team starts their damage assessment with a Rapid Inspection of all building equipment and systems and uses checklists to make sure they cover every possible anomaly. The FAC Team jots down the equipments' dial readings to compare with the BCS display readings. They check the equipment for out of range setpoints and ensure that equipment is working properly.

It is important to note that merely looking at the BCS display is a waste of time as those readings are probably false. A hacker will have a hard time spoofing a mechanical pressure gauge on a steam line or fuel train. The FAC Team looks for low water levels, low fuel levels, leaks, squeaks, squeals, vibration and odd smells (such as overheating or burning oil). They check fan belts, motors, pumps, and fans to make sure that they are operating. They confirm that things like the basin heater in the cooling tower are not on during summer months. Basically, they are physically looking for things that are odd or unexpected.

If they suspect a cyber-physical attack is underway and it appears as if the equipment is in the process of damaging itself, the FAC Team will immediately shut that piece of equipment down manually and ensure the equipment cannot be turned back on by the BCS. The FAC Team will lock out the equipment until the BCS has been examined carefully by the Tech Team.

The FAC Team prepares a list of salvageable equipment and makes a preliminary assessment listing equipment that can be repaired, equipment that cannot be repaired, and equipment that does not require repair. Once they know the equipment that was targeted, the FAC Team begins to assemble the manuals, drawings, parts lists, and equipment documentation so they can begin the repair or replacement process.

At this point, the FAC Team reports to the Recovery Procedures Coordinator with a preliminary estimate of the damage found and an educated estimate of the amount of time needed to effect repairs. Repairs that can be done in a matter of days are separated from those that will take months. The FAC Team also prepares a preliminary cost estimate for approval prior to commencing with requisition of replacement units.

One valuable tool that may be overlooked by management is the fact that although equipment has been damaged, sometimes a workaround can be pressed into service to partially restore service to allow continued occupation of the facility. For example, if the hot-water boiler was damaged beyond repair in the summertime, hot-water heating may not necessarily be a priority. Granted the HVAC system is designed to use reheat coils to optimize the temperature to a given space. Without hot-water heating, the maintenance crew can temper the conditioning by raising the temperature of the chilled water circulating throughout the building. Instead of cooling the water to 48 degrees, simply circulate 56-degree water throughout. Some spaces will be a little warmer than usual, but the majority of the building will be comfortable.

Of course, it would be difficult to operate the building without potable water, but tanker trucks can deliver potable water as a temporary measure. And, in a crisis, the ideal is to have working toilets in the building but at a time of war, porta-johns may be all you can get.

The important thing is to start thinking about workarounds because you will need them. Add workarounds to the planning process and start and plan to use them. If there is no convenient outside connection to hook up a potable water truck or a portable water tank, perhaps now would be a good time to install one (in a secure location).

## BCS Network Integrity Checks

The TECH Team begins by reviewing processes to identify malicious activity and anomalous symptoms (not attributed to hardware or software malfunctions). The TECH Team performs integrity checks using the procedures developed specifically for your building to identify malicious cyber activity. The TECH Team reviews host log files looking for unauthorized user account activity or user account changes. They verify network communications compared to the baseline and check the Registry on all servers and workstations looking for changes or anomalies. If a server or workstation is unresponsive, the TECH Team boots the machine from a Rescue CD and uses tools to identify any problems. The TECH Team checks the routers, switch and firewalls to determine if running configuration, start-up configuration, or operating system files have been modified and they check the devices for a rootkit.

The TECH Team verifies the network data flow compared to the baseline. They review the firewall log file looking for anomalies. They check the IDS configuration files, rules, operating system, firmware, and log files to see if they have been modified. They also determine if the communications coming from the originating IP address should be communicating with the destination machines.

The TECH Team identifies the communications path between devices they are investigating and NetFlows. They will observe the data flow for anomalous traffic including ports, protocols, and services not included in the Baseline Data Flow Table. They will document the originating asset and destination asset's IP address.

## Server/Workstation Process Checks

The TECH Team will check servers and workstation log file looking for unauthorized activity. They check for processes that do not appear to be legitimate. This includes processes that have no icon or name, are unsigned Microsoft images, reside in the Windows directory, include unfamiliar URLs, communicate with unknown IP address, or host suspicious DLL or services hiding as a DLL instead of a process.

The log review looks for unusual user activity, unfamiliar file names, unusually full log files or total cleared log files, unexpected configuration changes, unexpected system halts and reboots, file names with unusual characters and unexpected remote communications. The TECH Team captures the machine's network status and stores it to a file. They then compare the network communications with the expected communications for that machine.

If the machine is unresponsive, the team does a "hard" reboot on the machine with the Rescue CD in the drive. They then perform diagnostics on the machine to determine if there is a good Master Boot Record, is there a problem with the memory, is there a hardware error and do the files appear accessible?

## BCS INTEGRITY CHECKS

| Check                    | Device Integrity   | Description   |
|--------------------------|--|---|
| <input type="checkbox"/> | Computer Unresponsive  | <b>BOOT</b> from Rescue CD, use tools to uncover problems.  |
| <input type="checkbox"/> | Software Processes   | <b>REVIEW</b> processes to identify malicious activity. Includes data base servers, control servers, HMIs, OPCs, master terminal units (MTUs), and engineering workstations.  |
| <input type="checkbox"/> | Log Files  | <b>REVIEW</b> database servers, HMIs, control server, engineering workstations, OPCs, MTUs, and firewall log files for anomalies.   |
| <input type="checkbox"/> | Registry   | <b>IDENTIFY</b> changes and anomalies in the registry.  |
| <input type="checkbox"/> | Rootkit  | <b>CHECK</b> devices for a rootkit.   |
| <input type="checkbox"/> | Network Communications                                       | <b>VERIFY</b> network communications to the expected communications based on baseline. <b>VERIFY</b> data flow, and compare to baseline.  |
| <input type="checkbox"/> | Unauthorized User Activity                                   | <b>REVIEW</b> host log files for user account changes.  |
| <input type="checkbox"/> | Firewalls  | <b>DETERMINE</b> if configuration files, access control lists, operating system have been modified. <b>REVIEW</b> log file for anomalies or if log files have been modified.  |
| <input type="checkbox"/> | Switches and Routers   | <b>DETERMINE</b> if start-up configuration, running configuration, or operating system files have been modified.  |
| <input type="checkbox"/> | Controllers  | <b>VERIFY</b> the operating system, configuration files, and firmware against baseline. Includes PLCs, intelligent electronic devices, and remote terminal units.   |
| <input type="checkbox"/> | Intrusion Detection System IDS Alerts – Inbound ICS Protocol | <b>DETERMINE</b> if IDS configuration files, rules, operating system, firmware, or log files have been modified. <b>DETERMINE</b> if the communications coming from the originating IP address should be communicating with the destination device. |
| <input type="checkbox"/> | Peripherals and Other Network Devices                        | <b>DETERMINE</b> whether the device has configuration files or operating systems, and whether they have been modified.  |

## BUILDING CONTROLS SYSTEM INFORMATION

Date Updated  
 Unique Application ID  
 Application Name  
 Owner (e.g., department, etc.)  
 Custodian (e.g., departmental IT staff, vendor)  
 Description  
 User Base/Scope  
 Business Function  
 Data Classification  
 Criticality  
 Date of Last Business Impact Analysis (BIA)  
 Operating System  
 Asset Tag  
 Serial Number  
 Licensing Information  
 Vendor (or, internally developed)  
 Maintenance Contract Expires  
 Maintenance Contact  
 Current Instances (e.g., production and test, test only, production only)  
 Program Language(s)  
 Internet Accessible  
 Requires own server  
 Desktop Data Storage (e.g., the files/configuration that are required if app allows or requires storage of data on workstations)  
 External File Requirements  
 Domain Information  
 Service Account(s)  
 Storage Requirements  
 Seats/Units  
 Load Balancing  
 License Requirements  
 Protocol Requirements  
 Port Requirements

Network Requirements

IP Address/Range

Minimum Client Requirements

Encryption Requirements

Third Party Requirements (e.g., applications or software required)

Code Libraries

Known Bottlenecks

Batch Processing Details (e.g., scheduled tasks, duration, subtasks, etc.)

Backup Software

Backup Type

Backup Frequency/Schedule

Media

Offsite Storage Location

Generations Offsite

Source Code Backed Up?

Additional Details

Maintenance Window Details

Vendor /Internal contact information

Recovery Point Objective (RPO)

Recovery Time Objective (RTO)

Priority

Additional Details

Supporting Documentation Location

Additional Details

Application is dependent on the following hardware resources:

Other processes dependent on this application:

Applications/services dependent on this resource:

Applications/services this resource is dependent on:

---

■ **Note** This list should be completed and kept current.

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## BCS SERVER DETAILS

Date Updated  
Unique Hardware ID  
Hardware Name  
Rack location  
Custodian (e.g., department IT staff, vendor)  
User Base/Scope  
Description  
Hardware Make/Model (e.g., Dell PowerEdge R200)  
Hardware Type  
Data Classification  
Criticality  
Recovery Time Objective (RTO)  
Date of Last Business Impact Analysis (BIA)  
Location (e.g., building & room)  
Rack ID (if applicable)  
Asset Tag  
Serial Number  
Model Number  
Vendor  
Warranty Expires  
Maintenance Contact  
BTU (cooling requirements)  
KVA (power consumption rate)  
Processor (# and type)

---

■ **Note** This list should be completed and kept current.

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## BUILDING INSPECTION

|   |   |
|---|---|
| <b>Who does the inspection?</b>                       | Facilities engineers, architects, structural, mechanical and electrical engineers, security officer, safety officer, and city or county building, health and fire inspectors.   |
| <b>What do they inspect?</b>                          | General property inspection and collection of records and if necessary, information needed to repair or replace damaged equipment. A rapid inspection is followed by a detailed engineering inspection. Engineers will inspect building columns, walls, ceilings, roof, masonry, windows, and doors for obvious hazards. They will also inspect stairs and elevators for safety hazards. Stuck doors and sagging ceilings can be indicators of structural weakness. |
| <b>Why are they doing the inspection?</b>             | To identify damage in the building and reduce or permanently eliminate future risk to lives and property. Inspectors will take photographs and document the damage for reporting purposes and planning building repairs.  |
| <b>When do they do the inspection?</b>                | Inspections are conducted immediately after the incident as soon as building is accessible and/or when allowed entry by local officials.  |
| <b>What is the result of the inspection?</b>          | Obtain the local permits, certificates of occupancy, and any other required documentation to demonstrate compliance with local building/zoning/life safety regulations.   |
| <b>What if the building does not pass inspection?</b> | Develop a project plan and obtain necessary funding and approvals for building restoration and repairs. If the building is a complete loss, develop a plan to replace the building.   |

| Agency                      | Contact Information |
|-----------------------------|---------------------|
| City Building Department    |                     |
| Dept. of Public Works       |                     |
| Fire Department             |                     |
| Emergency Management        |                     |
| CERT                        |                     |
| FEMA                        |                     |
| Electric Utility Company    |                     |
| Natural Gas Utility Company |                     |
| Water and Sewer Utility     |                     |





## DAMAGE ASSESSMENT ACTIVITIES

|                  |                  |              |
|------------------|------------------|--------------|
| <b>Building:</b> | <b>Location:</b> | <b>Date:</b> |
|------------------|------------------|--------------|

Utilizing the following checklist as a guideline and survey the building and systems to assess damage.

| <b>Building</b>                   | <b>NOTES:</b> |
|-----------------------------------|---------------|
| Exterior                          |               |
| Interior                          |               |
| Walls                             |               |
| Ceiling                           |               |
| Floor                             |               |
| <b>Controls</b>                   |               |
| Electrical                        |               |
| UPS                               |               |
| Transformers                      |               |
| Emergency/Building                |               |
| HVAC                              |               |
| Air Handling                      |               |
| Air Conditioning                  |               |
| Fire Suppression                  |               |
| <b>Building Operations Center</b> |               |
| Servers                           |               |
| External Disk Drives              |               |
| Tape Backup                       |               |
| Network Cabling                   |               |
| Communications                    |               |
| Workstations                      |               |
| Other Equipment                   |               |
| Tape Media                        |               |
| Spare Parts                       |               |
| Documentation                     |               |

|  |
|--|
| <b>Participants:</b>   |
| Is the area safe for employees or vendors to work in?                                    |
| Can equipment under examination function, and if so, at what percent of normal capacity? |
| What must be done to recover damaged equipment?  |
| How long will it take to repair or replace the damaged equipment?                        |

Using the damage assessment, determine the estimated time to recover based on the following guidelines.

- **Level I: Minimal damage** to facility and/or equipment. Estimated time to complete repairs is less than 4 hours.
- **Level II: Moderate damage** to facility and/or equipment. Estimated time to complete repairs is between 4 hours and 2 business days.
- **Level III: Extensive damage** to facility and/or equipment. Estimated time to complete repairs is greater than 2 business days.

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | Identify equipment or spare parts that are immediately salvageable or in need of repair.               |
| <input type="checkbox"/> | Verbally notify the Management Team of survey, assessment of damage, and estimated time to recover.    |
| <input type="checkbox"/> | Document findings from the survey and damage assessment.   |
| <input type="checkbox"/> | Attend the recovery briefing to apprise Incident Recovery Team members of findings.                    |
| <input type="checkbox"/> | A log is prepared and maintained to record all salvageable equipment and its disposition and location. |

## RAPID INSPECTION CHECKLISTS

Use the checklists on the following pages to document the condition of building equipment after a rapid inspection and describe the extent of damage found on the following table.

# COOLING TOWER

## Rapid Inspection Checklist

Cooling Tower No.: CT-1

| Check                    | Physical Inspection                     |
|--------------------------|---|
| <input type="checkbox"/> | Two-way makeup water                    |
| <input type="checkbox"/> | Two-way blowdown to drain               |
| <input type="checkbox"/> | Two-way CWR and CWS isolation valve     |
| <input type="checkbox"/> | Cooling tower fan VFD                   |
| <input type="checkbox"/> | Two-way bypass valve on CWR condenser   |
| <input type="checkbox"/> | Vibration cutout switch                 |
| <input type="checkbox"/> | Pressure ports and flow sensors         |
| <input type="checkbox"/> | Temperature sensing wells               |
|                          | <b>Electrical</b>                       |
| <input type="checkbox"/> | Tower fan drive                         |
| <input type="checkbox"/> | Motor fan rotation                      |
| <input type="checkbox"/> | System interlocks functional            |
| <input type="checkbox"/> | Power available to tower disconnect     |
| <input type="checkbox"/> | Power available to electric sump heater |
|                          | <b>Controls</b>                         |
| <input type="checkbox"/> | Makeup control valve shut off           |

1. Activate cooling tower fan start using control system command. This should first start the condenser water pump, establish flow, delay fan start to equalize flow in distribution basis and sump.
2. After chiller start-up, control system should modulate bypass valve and two-speed fan motor to maintain condenser water setpoint. Verify function of bypass valve under varying loads.
3. Verify cooling tower interlock with chiller.
4. Verify that the makeup water float valve is functioning.
5. Activate chemical treatment feed valve, verify makeup of chemical treatment system, pump and controls.
6. Stop all building cooling equipment so that cooling tower pumps stop. Observe tower for at least 15 minutes and verify no overflow occurs.
7. Start cooling tower pumps in hand mode and observe pumps for air binding/cavitation.

---

■ **Note** Modify for your specific building.

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## BOILER OR PRESSURE VESSEL

### Rapid Inspection Checklist

**Boiler No.: BR-1**

| Check                    | Physical Inspection   |
|--------------------------|---|
| <input type="checkbox"/> | Check that access doors are operable and sealed.  |
| <input type="checkbox"/> | Verify the boiler water level.  |
| <input type="checkbox"/> | Check that all stack dampers are open.  |
| <input type="checkbox"/> | Examine the boiler furnace for foreign material.  |
| <input type="checkbox"/> | Check the furnace and flue passes for fuel accumulation.                                    |
| <input type="checkbox"/> | Make sure that the manual fuel valves are open.   |
| <input type="checkbox"/> | Check all ventilation and combustion air openings and louvers are clean and free of debris. |
| <input type="checkbox"/> | Verify operation of all operating and limit controls, interlocks and gauge                  |
| <input type="checkbox"/> | Monitor main flame.   |
|                          | <b>Boiler Fuel</b>  |
| <input type="checkbox"/> | Fuel is available to boiler.  |
| <input type="checkbox"/> | Check fuel pressure.  |
| <input type="checkbox"/> | Check fuel throughput.  |
|                          | <b>Electrical</b>   |
| <input type="checkbox"/> | Check that power is available to unit disconnect.   |
| <input type="checkbox"/> | Check that power is available to unit control panel.  |
| <input type="checkbox"/> | Check flame signal.   |
| <input type="checkbox"/> | Check automatic safety shutoff.   |
| <input type="checkbox"/> | Check trip circuit for proper operation.  |

*(continued)*

| Check                    | Physical Inspection                            |
|--------------------------|--|
|                          | <b>Coils</b>                                   |
| <input type="checkbox"/> | Check supply water temperature.                |
| <input type="checkbox"/> | Check flue gas temperature.                    |
|                          | <b>Controls</b>                                |
| <input type="checkbox"/> | Control valves operable.                       |
| <input type="checkbox"/> | Control actuators operable.                    |
| <input type="checkbox"/> | Dampers operable.                              |
| <input type="checkbox"/> | Damper actuators operable.                     |
| <input type="checkbox"/> | Check O <sub>2</sub> valve.                    |
| <input type="checkbox"/> | Check gas fuel volume.                         |
| <input type="checkbox"/> | Air Measuring Stations operational.            |
| <input type="checkbox"/> | Check feed water pump operation.               |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Filters are not clogged or blocked.            |
| <input type="checkbox"/> | Boiler fully operational.                      |

## BOILER VISUAL INSPECTION

### Cyber-Attack Tree

| Ways that an Adversary Can Attack Boilers |  |
|---|--|
| <input type="checkbox"/>                  | Power failure: The entire system is de-energized, closing all automatic valves and halting all boiler operations.  |
| <input type="checkbox"/>                  | Low-water switch opens. BCS thinks there is insufficient water in the boiler.  |
| <input type="checkbox"/>                  | External gas-supply shut-off valve is closed, so BCS thinks a low gas condition results.   |
| <input type="checkbox"/>                  | High gas pressure switch opens. BCS thinks burner operation is interrupted and the boiler locks out.   |
| <input type="checkbox"/>                  | BCS thinks boiler water has exceeded both the operating and high-limit temperature the high limit switch opens, and the boiler will remain locked out until the water high limit switch is manually reset. |
| <input type="checkbox"/>                  | <b>FLAME ERROR</b> BCS thinks there is a flame failure, the main fuel valves are de-energized, and a manual reset lockout occurs.  |
| <input type="checkbox"/>                  | <b>BLOCKED FLUE</b> error code sent indicating the high exhaust backpressure switch has tripped.   |
| <input type="checkbox"/>                  | <b>AIR SWITCH NOT OPEN</b> or <b>AIR SWITCH NOT CLOSED</b> error codes so BCS thinks there is improper airflow through the boiler.   |

Begin by looking for evidence of bulges, cracks, or other deformities. Check for cracked glass on gauges and bent pointers on meters. Check draft, manifold pressure, and combustion. Observe condition of flame. Flame should not impinge on furnace walls. Test the low-water fuel cutoffs for proper sequencing and operation. Blow down the boiler. Check water column or glass gauge. Observe operation of condensate or vacuum pumps. Check operation of chemical feed pots and feed pumps. Test flame detection devices and associated automatic fuel cutoff valves. Inspect condensate return valves radiators and traps. Blow down strainers. Inspect fuel supply systems and piping in boilers. Replace cartridges for in-line oil filters. Check safety valves and test with tri-level.

Inspect burner assembly. Clean, check and adjust electrodes. If the boiler is equipped with an air-to-fuel ratio control system, ensure the control system is operating in accordance with the manufacturers specifications. Inspect control equipment for proper sequencing and operation.

Check expansion tank and air eliminator equipment. Check breaching and stack for tightness.

## BOILER OR PRESSURE VESSEL

Boiler No.: BR-1

| HOT WATER SYSTEM CHECKLIST       |                          |                          |                                     |                          |                          |
|----------------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|--------------------------|
| <b>Building:</b>                 |                          | <b>Location:</b>         |                                     | <b>Job Number:</b>       |                          |
| <b>Equipment:</b>                |                          | <b>Hot Water Loop:</b>   |                                     |                          |                          |
| <b>Test Equipment:</b>           |                          |                          | <b>Tested By:</b>                   |                          |                          |
| <b>Boiler Name:</b>              |                          | <b>Boiler Function:</b>  |                                     | <b>Boiler Type:</b>      | <b>Capacity:</b>         |
|                                  |                          |                          |                                     |                          |                          |
| <b>Boiler Manufacturer:</b>      |                          | <b>Model No.</b>         |                                     | <b>Serial No.</b>        | <b>MAWP:</b>             |
|                                  |                          |                          |                                     |                          |                          |
| VISUAL AND MECHANICAL INSPECTION |                          |                          |                                     |                          |                          |
| <b>Internal Inspection</b>       | <b>SAT</b>               | <b>UNSAT</b>             | <b>Operational</b>                  | <b>SAT</b>               | <b>UNSAT</b>             |
| Combustion Chamber               | <input type="checkbox"/> | <input type="checkbox"/> | <b>Gas Boilers</b>                  |                          |                          |
| Brickwork                        | <input type="checkbox"/> | <input type="checkbox"/> | Start in low Fire                   | <input type="checkbox"/> | <input type="checkbox"/> |
| Insulation                       | <input type="checkbox"/> | <input type="checkbox"/> | Loss of Combustion Air              | <input type="checkbox"/> | <input type="checkbox"/> |
| Elec/Mech Interlocks             | <input type="checkbox"/> | <input type="checkbox"/> | Low Gas Pressure                    | <input type="checkbox"/> | <input type="checkbox"/> |
| Fire/Water Tubes                 | <input type="checkbox"/> | <input type="checkbox"/> | High Gas Pressure                   | <input type="checkbox"/> | <input type="checkbox"/> |
| Burner Nozzle                    | <input type="checkbox"/> | <input type="checkbox"/> | <b>Fuel Oil Burners</b>             |                          |                          |
| Steam Drum                       | <input type="checkbox"/> | <input type="checkbox"/> | Start in Low Fire                   | <input type="checkbox"/> | <input type="checkbox"/> |
| Stack/Flue                       | <input type="checkbox"/> | <input type="checkbox"/> | Loss of Combustion Air              | <input type="checkbox"/> | <input type="checkbox"/> |
| Blow off Valve                   | <input type="checkbox"/> | <input type="checkbox"/> | Loss of Atomizing Air               | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>External Inspection</b>       |                          |                          | Low Oil Pressure                    | <input type="checkbox"/> | <input type="checkbox"/> |
| Programmer                       | <input type="checkbox"/> | <input type="checkbox"/> | Burner Straw Switch (if applicable) | <input type="checkbox"/> | <input type="checkbox"/> |
| Low Water/Fuel Cutouts           | <input type="checkbox"/> | <input type="checkbox"/> | Proximity Switch (if applicable)    | <input type="checkbox"/> | <input type="checkbox"/> |
| Water Column                     | <input type="checkbox"/> | <input type="checkbox"/> | <b>All Boilers</b>                  |                          |                          |
| Pressure Gauge                   | <input type="checkbox"/> | <input type="checkbox"/> | Flame Sensor                        | <input type="checkbox"/> | <input type="checkbox"/> |

(continued)



| HOT WATER SYSTEM CHECKLIST        |                          |                          |                                      |                          |                          |
|-----------------------------------|--------------------------|--------------------------|--------------------------------------|--------------------------|--------------------------|
| Review Record Logs (weekly/month) | <input type="checkbox"/> | <input type="checkbox"/> | Low Water Cut Off (left/right)       | <input type="checkbox"/> | <input type="checkbox"/> |
| Condensing Neutralizer Installed  | <input type="checkbox"/> | <input type="checkbox"/> | Feed Pump/ Recirculating Pump        | <input type="checkbox"/> | <input type="checkbox"/> |
|                                   |                          |                          | Normal Trip                          | <input type="checkbox"/> | <input type="checkbox"/> |
| Hydrostatic Test                  | <input type="checkbox"/> | <input type="checkbox"/> | Flame Pattern Inspection             | <input type="checkbox"/> | <input type="checkbox"/> |
| Backflow Preventer                | <input type="checkbox"/> | <input type="checkbox"/> | Water Treatment                      | <input type="checkbox"/> | <input type="checkbox"/> |
|                                   |                          |                          | High Trip                            | <input type="checkbox"/> | <input type="checkbox"/> |
| Date of last Combustion Tuning    |                          |                          | Emergency Stop                       | <input type="checkbox"/> | <input type="checkbox"/> |
| Date of last waterside inspection |                          |                          | Combustion Tuning                    | <input type="checkbox"/> | <input type="checkbox"/> |
| Date of last 150% Strength Hydro  |                          |                          | Combustion (Air/Fuel) Control System | <input type="checkbox"/> | <input type="checkbox"/> |
|                                   |                          |                          | Test Relief Valve Under Pressure     | <input type="checkbox"/> | <input type="checkbox"/> |

| Boiler Efficiency |          |        |      |         |        |             |
|-------------------|----------|--------|------|---------|--------|-------------|
|                   | Oxygen % | CO ppm | CO2% | SO2 ppm | NO ppm | Stack Temp. |
| Gas Fired         |          |        |      |         |        |             |
| Oil Fired         |          |        |      |         |        |             |

| Burner Assy. | Model | BTU Range | S/N | Programmer |
|--------------|-------|-----------|-----|------------|
|              |       |           |     |            |

|                     | Manufacturer | Size | PSI                    | BTU/Hr |
|---------------------|--------------|------|------------------------|--------|
| Safety/Relief Valve |              |      |                        |        |
| Gauge               |              |      |                        |        |
| Inspector:          |              |      |                        |        |
|                     |              |      | Certification Expires: |        |

■ **Note** Fill out one form for each boiler. Modify for your specific building.

## CHILLED WATER SYSTEM

### Rapid Inspection Checklist

Chiller No.: CH-1

| Check                    | Physical Inspection   |
|--------------------------|---|
| <input type="checkbox"/> | Check that access doors are operable and sealed.                |
| <input type="checkbox"/> | Verify refrigerant level.                                       |
| <input type="checkbox"/> | Check chilled-water pump, flow and control valve.               |
| <input type="checkbox"/> | Check for closed shutoff valves.                                |
| <input type="checkbox"/> | Check sensors, controllers, and setpoint, actuator/positioners. |
| <input type="checkbox"/> | Check filters and fans.   |
| <input type="checkbox"/> | Check controls, switches, starters, and disconnects.            |
| <input type="checkbox"/> | Check expansion tank and air separator.                         |
| <input type="checkbox"/> | Check safeties and interlocks to fire protection system.        |
| <input type="checkbox"/> | Inspect for oil leaks and check oil level.                      |
| <input type="checkbox"/> | Check pH of chilled water.                                      |
| <input type="checkbox"/> | Check pH of condenser water.                                    |
| <input type="checkbox"/> | Inspect purge unit operation.                                   |
| <input type="checkbox"/> | Sample condenser water.   |
| <input type="checkbox"/> | Inspect V-belts (vapor compression chillers).                   |
| <input type="checkbox"/> | Sample lithium bromide for testing (absorption chillers only).  |
|                          | <b>Electrical</b>   |
| <input type="checkbox"/> | Power is available to unit disconnect.                          |
| <input type="checkbox"/> | Power is available to unit control panel.                       |
| <input type="checkbox"/> | Check refrigerant heaters.                                      |
| <input type="checkbox"/> | Check power supply.   |
|                          | <b>Controls</b>   |
| <input type="checkbox"/> | Control valves operable.  |
| <input type="checkbox"/> | Control actuators operable.                                     |
| <input type="checkbox"/> | Check Program Logic Controller.                                 |
| <input type="checkbox"/> | Damper actuators operable.                                      |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>                  |
| <input type="checkbox"/> | Filters are not clogged or blocked.                             |
| <input type="checkbox"/> | Chillers fully operational.                                     |

## CHILLER VISUAL INSPECTION

### Cyber-Attack Tree

| Ways that an Adversary Can Attack Chillers |   |
|--|---|
| <input type="checkbox"/>                   | Low-pressure trip: BCS thinks that refrigerant is low; has low or no water flow; or that there is a clogged water filter or screen.   |
| <input type="checkbox"/>                   | High-pressure trip: BCS thinks that water-cooled condenser has poor or no flow; air-cooled condenser is blocked with debris or has a fan that is not working; or that the chilled water tank temperature is too high. |
| <input type="checkbox"/>                   | Oil failure trip: BCS thinks that either low superheat or low oil.  |
| <input type="checkbox"/>                   | Freezestat: BCS thinks poor water flow or that the thermostat is set too low.   |
| <input type="checkbox"/>                   | Blown fuses or starter trips: BCS over-amped motor, compressor, or wires.   |
| <input type="checkbox"/>                   | System not reaching thermostat setpoint. BCS thinks that evaporator is iced up.   |
| <input type="checkbox"/>                   | Proof of flow: BCS thinks either flow or pressure switches in water circuit are suffering from low or no flow, water filter is blocked, or water valve is shut off.   |



1. Begin by looking for indicators or codes that come up on the diagnostic readouts.
2. Make a visual inspection of the electrical panel, water piping, and pump tank system.
3. Look for obvious problems, such as burned or broken wires, water pump not running, water valves shut off, and improper system water temperature.
4. Is the chiller running and not cooling, or not running at all?
5. Is the pump circulating water? What is the water temperature?
6. If the chiller isn't running, check the high-voltage circuits.
7. Does the chiller have power? Check all the fuses.
8. Start at the power side of the control transformer and check wire by wire. Trace the power wire from safety to safety.
9. Check the water flow switch and the freezestat control.
10. Strap temperature probes on the suction, discharge, and liquid lines.
11. Watch all the pressures, temperatures, and amperages.

## CHILLED WATER SYSTEM CHECKLIST

Chiller No.: CH-1

|   |  |                            |                                   |                       |                    |
|---|--|----------------------------|-----------------------------------|-----------------------|--------------------|
| <b>Building:</b>                        |  | <b>Location:</b>           |                                   | <b>Job Number:</b>    |                    |
| <b>Equipment:</b>                       |  | <b>Cooling Water Loop:</b> |                                   |                       |                    |
| <b>Test Equipment:</b>                  |  |                            | <b>Tested By:</b>                 |                       |                    |
| <b>Chiller Manufacturer:</b>            |  | <b>Model No.</b>           | <b>Serial No.</b>                 |                       | <b>BTU Rating:</b> |
|   |  |                            |                                   |                       |                    |
| <b>Pump Manufacturer:</b>               |  | <b>Model No.</b>           | <b>Serial No.</b>                 |                       | <b>Rated Flow:</b> |
|   |  |                            |                                   |                       |                    |
| <b>HP @ RPM</b>                         |  | <b>Rated NPSH</b>          |                                   | <b>Rated Pressure</b> |                    |
| <b>VISUAL AND MECHANICAL INSPECTION</b> |  |                            |                                   |                       |                    |
|   |  | <b>CONDITION</b>           |                                   |                       | <b>CONDITION</b>   |
| <b>Exterior of Equipment</b>            |  |                            | <b>Equipment Identification</b>   |                       |                    |
| <b>Completeness of Assembly</b>         |  |                            | <b>Bracing</b>                    |                       |                    |
| <b>Equipment Rotation</b>               |  |                            | <b>Labeling and Tagging</b>       |                       |                    |
| <b>Elec/Mech Interlocks</b>             |  |                            | <b>Safety Interlocks</b>          |                       |                    |
| <b>Instruments</b>                      |  |                            | <b>Working Space</b>              |                       |                    |
| <b>Proper Grounding</b>                 |  |                            | <b>Anchorage</b>                  |                       |                    |
| <b>Proper Insulation</b>                |  |                            | <b>System Flushed and Cleaned</b> |                       |                    |
| <b>Tightness of Bolts</b>               |  |                            | <b>Compare to Drawings</b>        |                       |                    |
| <b>Proper Lubrication</b>               |  |                            | <b>Control System</b>             |                       |                    |
| <b>Refrigerant Installed</b>            |  |                            | <b>Water Treatment Installed</b>  |                       |                    |

CONDITION: A-ACCEPTABLE; R-NEEDS REPAIR, REPLACEMENT, OR ADJUSTMENT;  
C- CORRECTED; NA-NOT APPLICABLE

| <b>CALIBRATION AND SETPOINT</b>     |   |                    |                 |              |               |
|-------------------------------------|---|--------------------|-----------------|--------------|---------------|
|                                     | <b>DESCRIPTION</b>                                      | <b>NOTES</b>       |                 |              |               |
| <b>Sensors</b>                      | Pressure, temperature, and condition sensors checked OK |                    |                 |              |               |
| <b>Controllers</b>                  | Control system interfaces with BCS                      |                    |                 |              |               |
| <b>Actuators</b>                    | Exercise annually for valve control                     |                    |                 |              |               |
| <b>Relief Valves Checked</b>        | Exercise annually for valve operation limits            |                    |                 |              |               |
| <b>HYDRONIC SYSTEM TESTS</b>        |   |                    |                 |              |               |
|                                     | <b>Operating Mode</b>                                   | <b>Temperature</b> | <b>Pressure</b> | <b>Flows</b> | <b>Levels</b> |
| <b>Chiller</b>                      |   |                    |                 |              |               |
| <b>Pump</b>                         |   |                    |                 |              |               |
| <b>Hydrostatic Test</b>             |   |                    |                 |              |               |
| <b>Balance Test</b>                 |   |                    |                 |              |               |
| <b>Cooling Coil Number</b>          |   |                    |                 |              |               |
| <b>Expansion Tank/Air Separator</b> |   |                    |                 |              |               |
| <b>Control Valves</b>               |   |                    |                 |              |               |
| <b>System test</b>                  | <b>Performed Annually</b>                               |                    |                 |              |               |
| <b>Notes:</b>                       |   |                    |                 |              |               |

## AIR HANDLING UNIT CHECKLIST

### Rapid Inspection Checklist

**AIR HANDLER No.: AHU-1**

| Check                    | Physical Inspection  |
|--------------------------|--|
| <input type="checkbox"/> | Verify that access doors are operable and sealed.  |
| <input type="checkbox"/> | Verify that condensate drainage is unobstructed. (Verify drainage by pouring a cup of water into drain pan.) |
| <input type="checkbox"/> | Check fan belt operation and adjustment.   |
|                          | <b>Electrical</b>  |
| <input type="checkbox"/> | Power is available to unit disconnect.   |
| <input type="checkbox"/> | Power is available to unit control panel.  |
| <input type="checkbox"/> | Proper motor rotation verified.  |
| <input type="checkbox"/> | Power is stable at proper voltage.   |
| <input type="checkbox"/> | UV light is fully operational.   |
|                          | <b>Coils</b>   |
| <input type="checkbox"/> | Chilled-water piping properly connected.   |
| <input type="checkbox"/> | Hot-water piping properly connected.   |
|                          | <b>Controls</b>  |
| <input type="checkbox"/> | Control valves operable.   |
| <input type="checkbox"/> | Control actuators operable.  |
| <input type="checkbox"/> | Dampers operable.  |
| <input type="checkbox"/> | Damper actuators operable.   |
| <input type="checkbox"/> | Verify proper operation of duct static pressure sensor.  |
| <input type="checkbox"/> | Fan air volume controller operable.  |
| <input type="checkbox"/> | Air Measuring Stations operational.  |
| <input type="checkbox"/> | Air handler controls system operational.   |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>   |
| <input type="checkbox"/> | Filters are not clogged or blocked.  |

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■ **Note** Fill out one form for each air handling unit. Modify for your specific building.

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## AIR HANDLING UNIT VISUAL INSPECTION

### Cyber-Attack Tree

**AIR HANDLER No.: AHU-1**

1. Begin by looking for indicators or codes that come up on the diagnostic readouts.
2. Is the system low in airflow?
3. Check parameters such as pressure, power, speed, elevation, and temperature.
4. Check actual airflow compared to the desired airflow.
5. Document test measurements and their locations.
6. Check all driveline components, such as bearings, couplings, V-belts, and motors.
7. Ensure that the fan wheel is properly aligned with the inlet bell and housing, is free to turn, and turns in the right direction.
8. Check the fan and system for any obstructions, build-up, leaks, or missing parts.
9. Run the fan at full speed, verifying that it's running close to the design speed.
10. Check that the fan is running smoothly and that the bearings aren't running hot.
11. Make sure that the fan isn't overloading the motor.

Air handlers are controlled by the BCS, which has the ability to turn the system's fans on or off, and open and close the dampers. Verify the BCS configuration setpoints and time clock to ensure that it's giving the fan the correct command to operate and that is opening and closing the appropriate dampers.

Air handlers have variable frequency drives that adjust the fan speeds based on static pressure in the ductwork. When a VFD isn't receiving a signal from the BCS, it defaults to either its minimum speed or to its high speed.

# COMPUTER ROOM AIR CONDITIONER

## Rapid Inspection Checklist

**CRAC No.: CR-1**

| Check                    | Physical Inspection  |
|--------------------------|--|
| <input type="checkbox"/> | Verify that access doors are operable and sealed.  |
| <input type="checkbox"/> | Verify that condensate drainage is unobstructed. (Verify drainage by pouring a cup of water into drain pan.) |
| <input type="checkbox"/> | Check fan belt operation and adjustment.   |
|                          | <b>Electrical</b>  |
| <input type="checkbox"/> | Power is available to unit disconnect.   |
| <input type="checkbox"/> | Proper motor rotation verified.  |
| <input type="checkbox"/> | Proper motor rotation verified.  |
| <input type="checkbox"/> | Power is stable at proper voltage.   |
|                          | <b>Coils/Humidifier</b>  |
| <input type="checkbox"/> | Chilled-water piping properly connected.   |
| <input type="checkbox"/> | Hot-water piping properly connected.   |
|                          | <b>Controls</b>  |
| <input type="checkbox"/> | Control valves operable.   |
| <input type="checkbox"/> | Unit control system operable and verified.   |
| <input type="checkbox"/> | Verify proper operation of thermostat.   |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>   |
| <input type="checkbox"/> | CRAC unit is operating properly.   |



## PUMP: PRIMARY CHILLED WATER

### Rapid Inspection Checklist

**Pump No.: PCHW-1**

| Check                    | Physical Inspection                            |
|--------------------------|--|
| <input type="checkbox"/> | Piping system inspected.                       |
|                          | <b>Electrical</b>                              |
| <input type="checkbox"/> | Power is available to pump disconnect.         |
| <input type="checkbox"/> | Pump rotation verified.                        |
| <input type="checkbox"/> | Control system interlocks functional.          |
| <input type="checkbox"/> | VFD operation verified (where applicable).     |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Pressure/temperature gauges operating.         |

### Pump Control Questions

1. What causes the pump to initially start?
2. What causes the pump to cycle?
3. How is capacity controlled?
4. What is the differential pressure control point?
5. Is there is a lead/lag strategy?
6. Are pumps staged?

## PUMP: SECONDARY CHILLED WATER

### Rapid Inspection Checklist

**Pump No.: SCHW-1**

| Check                    | Physical Inspection                            |
|--------------------------|--|
| <input type="checkbox"/> | Piping system inspected.                       |
|                          | <b>Electrical</b>                              |
| <input type="checkbox"/> | Power is available to pump disconnect.         |
| <input type="checkbox"/> | Pump rotation verified.                        |
| <input type="checkbox"/> | Control system interlocks functional.          |
| <input type="checkbox"/> | VFD operation verified (where applicable).     |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Pressure/temperature gauges operating.         |

### Pump Control Questions

1. What causes the pump to initially start?
2. What causes the pump to cycle?
3. How is capacity controlled?
4. What is the differential pressure control point?
5. Is there is a lead/lag strategy?
6. Are pumps staged?

## PUMP: PRIMARY DOMESTIC HOT WATER

### Rapid Inspection Checklist

**Pump No.: PDHW-1**

| Check                    | Physical Inspection                            |
|--------------------------|--|
| <input type="checkbox"/> | Piping system inspected.                       |
|                          | <b>Electrical</b>                              |
| <input type="checkbox"/> | Power is available to pump disconnect.         |
| <input type="checkbox"/> | Pump rotation verified.                        |
| <input type="checkbox"/> | Control system interlocks functional.          |
| <input type="checkbox"/> | VFD operation verified (where applicable).     |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Pressure/temperature gauges operating.         |

### Pump Control Questions

1. What causes the pump to initially start?
2. What causes the pump to cycle?
3. How is capacity controlled?
4. What is the differential pressure control point?
5. Is there is a lead/lag strategy?
6. Are pumps staged?

## PUMP: SECONDARY DOMESTIC HOT WATER

### Rapid Inspection Checklist

**Pump No.: SDHW-1**

| Check                    | Physical Inspection                            |
|--------------------------|--|
| <input type="checkbox"/> | Piping system inspected.                       |
|                          | <b>Electrical</b>                              |
| <input type="checkbox"/> | Power is available to pump disconnect.         |
| <input type="checkbox"/> | Pump rotation verified.                        |
| <input type="checkbox"/> | Control system interlocks functional.          |
| <input type="checkbox"/> | VFD operation verified (where applicable).     |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Pressure/temperature gauges operating.         |

### Pump Control Questions

1. What causes the pump to initially start?
2. What causes the pump to cycle?
3. How is capacity controlled?
4. What is the differential pressure control point?
5. Is there is a lead/lag strategy?
6. Are pumps staged?

## FAN COIL UNIT

### Rapid Inspection Checklist

Fan Coil Unit No.: FCU-1

| Check                    | Physical Inspection                               |
|--------------------------|---|
| <input type="checkbox"/> | Verify that access doors are operable and sealed. |
| <input type="checkbox"/> | Verify that condensate drainage is unobstructed.  |
| <input type="checkbox"/> | Check fan belt operation and adjustment.          |
|                          | <b>Electrical</b>                                 |
| <input type="checkbox"/> | Power is available to unit disconnect.            |
| <input type="checkbox"/> | Power is available to unit control panel.         |
| <input type="checkbox"/> | Proper motor rotation verified.                   |
| <input type="checkbox"/> | Verify that power is stable at proper voltage.    |
|                          | <b>Coils</b>                                      |
| <input type="checkbox"/> | Chilled-water piping properly connected.          |
| <input type="checkbox"/> | Hot-water piping properly connected.              |
|                          | <b>Controls</b>                                   |
| <input type="checkbox"/> | Control valves operable.                          |
| <input type="checkbox"/> | Control actuators operable.                       |
| <input type="checkbox"/> | Verify proper operation of thermostat.            |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>    |
| <input type="checkbox"/> | Pressure/temperature gauges operating.            |

---

■ **Note** Fill out one form for each fan coil unit. Modify for your specific building.

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## DIESEL BACKUP GENERATOR

### Rapid Inspection Checklist

Generator No.: DG-1

| Check                    | Physical Inspection                                 |
|--------------------------|---|
| <input type="checkbox"/> | Access doors are operable and sealed.               |
| <input type="checkbox"/> | Recovery system ductwork is unobstructed and clean. |
| <input type="checkbox"/> | Recovery system wheel is operational.               |
| <input type="checkbox"/> | Cooling system is operating properly.               |
|                          | <b>Electrical</b>                                   |
| <input type="checkbox"/> | Power is available to unit disconnect.              |
| <input type="checkbox"/> | Power is available to unit control panel.           |
| <input type="checkbox"/> | Proper engine rotation verified.                    |
| <input type="checkbox"/> | Power is stable at proper voltage.                  |
|                          | <b>Generator Fuel</b>                               |
| <input type="checkbox"/> | Fuel is available to generator.                     |
| <input type="checkbox"/> | Diesel fuel is not contaminated.                    |
|                          | <b>Controls</b>                                     |
| <input type="checkbox"/> | Engine control properly programmed.                 |
| <input type="checkbox"/> | Control dampers/actuators operable.                 |
| <input type="checkbox"/> | Outside Air Flow Measurement Arrays operable.       |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>      |
| <input type="checkbox"/> | Filters removed and replaced.                       |

# DIESEL SYSTEM CHECKLIST

Generator No.: DG-1

| DIESEL SYSTEM CHECKLIST          |  |                     |                          |                       |                  |
|----------------------------------|--|---------------------|--------------------------|-----------------------|------------------|
| Building:                        |  | Location:           |                          | Job Number:           |                  |
| Equipment:                       |  | System Designation: |                          |                       |                  |
| Test Equipment:                  |  | Tested By:          |                          |                       |                  |
| Pump Manufacturer:               |  | Model No.           |                          | Serial No.            | Flow Rating gpm: |
|                                  |  |                     |                          |                       |                  |
| Type:                            |  | HP @ RPM            |                          | Pressure Rating psig: |                  |
|                                  |  |                     |                          |                       |                  |
| Heater Manufacturer:             |  | Model No.           |                          | Serial No.            | Flow Rating gpm: |
|                                  |  |                     |                          |                       |                  |
| Cooler Manufacturer:             |  | Model No.           |                          | Serial No.            | Flow Rating gpm: |
|                                  |  |                     |                          |                       |                  |
| VISUAL AND MECHANICAL INSPECTION |  |                     |                          |                       |                  |
|                                  |  | CONDITION           |                          |                       | CONDITION        |
| Exterior of Equipment            |  |                     | Equipment Identification |                       |                  |
| Completeness of Assembly         |  |                     | Bracing                  |                       |                  |
| Equipment Rotation               |  |                     | Labeling and Tagging     |                       |                  |
| Elec/Mech Interlocks             |  |                     | Safety Interlocks        |                       |                  |
| Instruments                      |  |                     | Working Space            |                       |                  |
| Proper Grounding                 |  |                     | Anchorage                |                       |                  |
| Proper Insulation                |  |                     | Leaks                    |                       |                  |
| Tightness of Bolts               |  |                     | Compare to Drawings      |                       |                  |
| Proper Lubrication               |  |                     | Control System           |                       |                  |

CONDITION: A-ACCEPTABLE; R-NEEDS REPAIR, REPLACEMENT, OR ADJUSTMENT;  
 C- CORRECTED; NA-NOT APPLICABLE

| <b>CALIBRATION AND SETPOINT</b> |  |                    |                 |              |               |
|---------------------------------|--|--------------------|-----------------|--------------|---------------|
|                                 | <b>DESCRIPTION</b>                                   | <b>NOTES</b>       |                 |              |               |
| <b>Sensors</b>                  | Main tank levels are consistent with sensor readings |                    |                 |              |               |
| <b>Controllers</b>              | Main tank controllers indicate all conditions normal |                    |                 |              |               |
| <b>Actuators</b>                | NA   |                    |                 |              |               |
| <b>HYDRONIC SYSTEM TESTS</b>    |  |                    |                 |              |               |
|                                 | <b>Operating Mode</b>                                | <b>Temperature</b> | <b>Pressure</b> | <b>Flows</b> | <b>Levels</b> |
| <b>Pump</b>                     |  |                    |                 |              |               |
| <b>Heater</b>                   |  |                    |                 |              |               |
| <b>Cooler</b>                   |  |                    |                 |              |               |
| <b>Engine</b>                   |  |                    |                 |              |               |
| <b>Hydrostatic Test</b>         |  |                    |                 |              |               |
| <b>System test</b>              | <b>Performed Annually</b>                            |                    |                 |              |               |
| <b>Notes:</b>                   |  |                    |                 |              |               |



# LUBE OIL SYSTEM

## Rapid Inspection Checklist

Lube Oil System No.: LO-1

| Check                    | Physical Inspection                                 |
|--------------------------|---|
| <input type="checkbox"/> | Access doors are operable and sealed.               |
| <input type="checkbox"/> | Recovery system ductwork is unobstructed and clean. |
| <input type="checkbox"/> | Recovery system wheel operational.                  |
| <input type="checkbox"/> | Cooling system is operating properly.               |
|                          | <b>Electrical</b>                                   |
| <input type="checkbox"/> | Power is available to unit disconnect.              |
| <input type="checkbox"/> | Power is available to unit control panel.           |
| <input type="checkbox"/> | Proper engine rotation verified.                    |
| <input type="checkbox"/> | Power is stable at proper voltage.                  |
|                          | <b>Lube Oil</b>                                     |
| <input type="checkbox"/> | Lube oil is available.                              |
| <input type="checkbox"/> | Lube oil is not contaminated.                       |
|                          | <b>Controls</b>                                     |
| <input type="checkbox"/> | Engine control properly programmed.                 |
| <input type="checkbox"/> | Control dampers/actuators operable.                 |
| <input type="checkbox"/> | Outside Air Flow Measurement Arrays operable.       |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b>      |
| <input type="checkbox"/> | Filters removed and replaced.                       |
| <input type="checkbox"/> | TAB report approved.                                |

# LUBE OIL SYSTEM CHECKLIST

Lube Oil System No.: LO-1

| LUBE OIL SYSTEM CHECKLIST |           |                     |  |                       |                  |
|---------------------------|-----------|---------------------|--|-----------------------|------------------|
| Building:                 |           | Location:           |  | Job Number:           |                  |
| Equipment:                |           | System Designation: |  |                       |                  |
| Test Equipment:           |           |                     |  | Tested By:            |                  |
| Pump Manufacturer:        | Model No. |                     |  | Serial No.            | Flow Rating gpm: |
|                           |           |                     |  |                       |                  |
| Type:                     | HP @ RPM  |                     |  | Pressure Rating psig: |                  |
|                           |           |                     |  |                       |                  |
| Heater Manufacturer:      | Model No. |                     |  | Serial No.            | Flow Rating gpm: |
|                           |           |                     |  |                       |                  |
| Cooler Manufacturer:      | Model No. |                     |  | Serial No.            | Flow Rating gpm: |
|                           |           |                     |  |                       |                  |

| VISUAL AND MECHANICAL INSPECTION |  |           |                          |  |           |
|----------------------------------|--|-----------|--------------------------|--|-----------|
|                                  |  | CONDITION |                          |  | CONDITION |
| Exterior of Equipment            |  |           | Equipment Identification |  |           |
| Completeness of Assembly         |  |           | Bracing                  |  |           |
| Equipment Rotation               |  |           | Labeling and Tagging     |  |           |
| Elec/Mech Interlocks             |  |           | Safety Interlocks        |  |           |
| Instruments                      |  |           | Working Space            |  |           |
| Proper Grounding                 |  |           | Anchorage                |  |           |
| Proper Insulation                |  |           | Leaks                    |  |           |
| Tightness of Bolts               |  |           | Compare to Drawings      |  |           |
| Proper Lubrication               |  |           | Control System           |  |           |

CONDITION: A-ACCEPTABLE; R-NEEDS REPAIR, REPLACEMENT, OR ADJUSTMENT;  
C- CORRECTED; NA-NOT APPLICABLE

| <b>CALIBRATION AND SETPOINT</b> |  |                    |                 |              |               |
|---------------------------------|--|--------------------|-----------------|--------------|---------------|
|                                 | <b>DESCRIPTION</b>                                   | <b>NOTES</b>       |                 |              |               |
| <b>Sensors</b>                  | Main tank levels are consistent with sensor readings |                    |                 |              |               |
| <b>Controllers</b>              | Main tank controllers indicate all conditions normal |                    |                 |              |               |
| <b>Actuators</b>                | NA   |                    |                 |              |               |
| <b>HYDRONIC SYSTEM TESTS</b>    |  |                    |                 |              |               |
|                                 | <b>Operating Mode</b>                                | <b>Temperature</b> | <b>Pressure</b> | <b>Flows</b> | <b>Levels</b> |
| <b>Pump</b>                     |  |                    |                 |              |               |
| <b>Heater</b>                   |  |                    |                 |              |               |
| <b>Cooler</b>                   |  |                    |                 |              |               |
| <b>Engine</b>                   |  |                    |                 |              |               |
| <b>Hydrostatic Test</b>         |  |                    |                 |              |               |
| <b>System test</b>              | <b>Performed Annually</b>                            |                    |                 |              |               |
| <b>Notes:</b>                   |  |                    |                 |              |               |
|                                 |  |                    |                 |              |               |

## VENTILATION SYSTEM CHECKLIST

### Rapid Inspection Checklist

Ventilation System No.: V-1

| Check                    | Physical Inspection                            |
|--------------------------|--|
| <input type="checkbox"/> | Fan belt operating and adjusted.               |
|                          | <b>Electrical</b>                              |
| <input type="checkbox"/> | Power is available to fan disconnect.          |
| <input type="checkbox"/> | Proper motor rotation verified.                |
| <input type="checkbox"/> | Power is stable at proper voltage.             |
|                          | <b>Controls</b>                                |
| <input type="checkbox"/> | Control interlocks are properly operating.     |
| <input type="checkbox"/> | Control interlocks are operable.               |
| <input type="checkbox"/> | Dampers/actuators are properly operating.      |
| <input type="checkbox"/> | Dampers/actuators are operable.                |
| <input type="checkbox"/> | Thermostat is operating properly.              |
|                          | <b>Testing, Adjusting, and Balancing (TAB)</b> |
| <input type="checkbox"/> | Exhaust fan is operating properly.             |

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■ **Note** Fill out one form for each ventilation system. Modify for your specific building.

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# VENTILATION SYSTEM

## Rapid Inspection Checklist

Ventilation System No.: V-1

| VENTILATION SYSTEM CHECKLIST |  |           |                       |                      |                 |
|------------------------------|--|-----------|-----------------------|----------------------|-----------------|
| Building:                    |  | Location: |                       | Job Number:          |                 |
| Equipment:                   |  |           | Air Loop Designation: |                      |                 |
| Test Equipment:              |  |           | Tested By:            |                      |                 |
| Fan Manufacturer:            |  | Model No. |                       | Serial No.           | Rated Flow cfm: |
|                              |  |           |                       |                      |                 |
| Fan Type:                    |  | HP @ RPM  |                       | Rated Pressure psig: |                 |

| VISUAL AND MECHANICAL INSPECTION |  |           |                          |  |           |
|----------------------------------|--|-----------|--------------------------|--|-----------|
|                                  |  | CONDITION |                          |  | CONDITION |
| Exterior of Equipment            |  |           | Equipment Identification |  |           |
| Completeness of Assembly         |  |           | Bracing                  |  |           |
| Equipment Rotation               |  |           | Labeling and Tagging     |  |           |
| Elec/Mech Interlocks             |  |           | Safety Interlocks        |  |           |
| Instruments                      |  |           | Working Space            |  |           |
| Proper Grounding                 |  |           | Anchorage                |  |           |
| Proper Insulation                |  |           | Leaks                    |  |           |
| Tightness of Bolts               |  |           | Compare to Drawings      |  |           |
| Proper Lubrication               |  |           | Control System           |  |           |
| Condensate Drip Pans             |  |           | Filters                  |  |           |

CONDITION: A-ACCEPTABLE; R-NEEDS REPAIR, REPLACEMENT, OR ADJUSTMENT;  
 C- CORRECTED; NA-NOT APPLICABLE

| HYDRONIC SYSTEM TESTS        |  |             |          |       |        |
|------------------------------|--|-------------|----------|-------|--------|
|                              | Operating Mode   | Temperature | Pressure | Flows | Levels |
| Chiller                      |  |             |          |       |        |
| Pump                         |  |             |          |       |        |
| Hydrostatic Test             |  |             |          |       |        |
| Balance Test                 |  |             |          |       |        |
| Cooling Coil Number          |  |             |          |       |        |
| Expansion Tank/Air Separator |  |             |          |       |        |
| Control Valves               |  |             |          |       |        |
| System Test                  | Performed Annually                                     |             |          |       |        |
| Notes:                       |  |             |          |       |        |
|                              |  |             |          |       |        |
| CALIBRATION AND SETPOINT     |  |             |          |       |        |
|                              | DESCRIPTION  |             | NOTES    |       |        |
| Sensors                      | Checked sensors with standard                          |             |          |       |        |
| Controllers                  | Cycled controllers for response                        |             |          |       |        |
| Actuators                    | Checked full operation from fully open to fully closed |             |          |       |        |
| Fire Dampers Checked         | Actuated fire dampers. Checked for proper operation    |             |          |       |        |
| Smoke Dampers Checked        | Actuated smoke dampers. Checked for proper operation   |             |          |       |        |

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■ **Note** Fill out one form for each piece of ventilation equipment. Modify for your specific building.

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## ELECTRICAL SWITCHGEAR INSPECTION

### Cyber-Attack Tree

| <b>Ways that an Adversary Can Attack an Electrical Switchgear</b> |  |
|---|--|
| <input type="checkbox"/>  | Sends invalid disconnect messages to meters.   |
| <input type="checkbox"/>  | Compromises head end.  |
| <input type="checkbox"/>  | Blocks DR messages.  |
| <input type="checkbox"/>  | Causes inappropriate DR messages through improper DRAS configuration.  |
| <input type="checkbox"/>  | Adds spurious trip parameters to trip unit offline.  |
| <input type="checkbox"/>  | Trips equipment offline through vendor remote connection.  |
| <input type="checkbox"/>  | Allows direct access from another network through improper firewall rule configuration.  |
| <input type="checkbox"/>  | Sends DR message that cause services to send “last gasp” or “self-test failed” messages direct to devices.   |
| <input type="checkbox"/>  | Reconfigures meter via optical port.   |
| <input type="checkbox"/>  | Floods communications channel with other messages, preventing legitimate DR messages from being received and transmitted.  |
| <input type="checkbox"/>  | Modifies DRAS configuration to send DR messages at incorrect times or to incorrect devices.  |
| <input type="checkbox"/>  | Manufactures an artificial cascade to trigger a blackout through sequential tripping of select feeders and components, causing automated tripping due to power and voltage fluctuations. |
| <input type="checkbox"/>  | Stops flow of wireless communications between devices.   |
| <input type="checkbox"/>  | Overwhelms alarm-processing capability by sending unnecessary alarms.  |

## ELECTRICAL SWITCHGEAR CHECKLIST

### Rapid Inspection Checklist

Switchgear No.: S-1

| Check                    | Physical Inspection  |
|--------------------------|--|
| <input type="checkbox"/> | Check nameplate information.   |
| <input type="checkbox"/> | Inspect covers, panels, and doors.   |
| <input type="checkbox"/> | Check for smooth and proper movement of racking mechanisms, shutter, rollers, rails, and guides. |
| <input type="checkbox"/> | Check alignment of primary and secondary contacts.   |
| <input type="checkbox"/> | Check operation of mechanical interlocks.  |
|                          | <b>Electrical</b>  |
| <input type="checkbox"/> | Check phasing connection of busbar.  |
| <input type="checkbox"/> | Perform mechanical check and visual inspection for breaker.                                      |
| <input type="checkbox"/> | Perform electrical check and visual inspection for transformers.                                 |
| <input type="checkbox"/> | Perform mechanical check and visual inspection on disconnect switches.                           |

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■ **Note** Fill out one form for each piece of equipment. Modify for your specific building.

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## RESTART OPERATING CONDITIONS

### Reassessment

Repaired equipment shall be reassessed by comparing current conditions with normal operating conditions. A report shall be prepared with recommendations when building can be reoccupied.

|  |  |    |  |                            |  |        |
|--|--|----|--|----------------------------|--|--------|
| <b>Conditioned Space Temperature</b>   |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>Unconditioned Space Temperature</b> |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>Duct Temperature</b>                |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>Outside Air Temperature</b>         |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>High Temperature Hot Water</b>      |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>Chilled Water</b>                   |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |
| <b>Heating Hot Water</b>               |  |    |  |                            |  |        |
| Operating Range:                       |  | to |  | deg F. Current Conditions: |  | deg F. |



## OTHER EQUIPMENT TO BE CHECKED

| System  | Description   |
|---|---|
| Fire Detection System                         |   |
| Parking Controls System                       | Has been done before. British airport garage was hacked, preventing parking controls from allowing autos to enter garage causing flight delays. |
| Traffic Barriers                              |   |
| Elevators                                     |   |
| Fire Pump                                     |   |
| Smoke Evac System                             |   |
| Lighting Controls                             |   |
| Security Systems                              |   |
| CCTV  |   |
| Access Control System                         |   |
| Storm Drainage System                         |   |
| Incinerators                                  |   |
| Fire Sprinkler System                         |   |
| Domestic Hot Water System                     |   |
| Cable TV System                               |   |
| Public Address System                         |   |
| Energy Recovery Systems                       |   |
| Solar Energy System                           |   |
| Medium-Voltage Electrical Distribution System |   |
| Low-Voltage Electrical Distribution System    |   |
| Electric Power Monitoring System              |   |
| Duress Alarm Systems                          |   |
| Sewerage Pump System                          |   |
| Wastewater Pump System                        |   |
| Storm Drainage Utilities                      |   |
| Sanitary Sewerage Utilities                   |   |
| Door Locking System                           |   |

## PHASE 3: RECOVERY

Effective recovery after a cyber-physical attack requires ensuring that new reintegration devices will not be reinfected. The only way to avoid this problem is to verify that each device on the network is clean of any cyber incident remnants. All devices in the network should be replaced or reflashed with known, good firm/software to provide confidence that reinfection will not occur.

| Task No. | Prior Task | Description  | IRT Team      | Est. Start | Est. Finish |
|----------|------------|--|---------------|------------|-------------|
|          |            | <b>RESTART</b> undamaged equip—manual control        | FAC           |            |             |
|          |            | <b>PURCHASE</b> new building equipment               | FAC           |            |             |
|          |            | <b>INSTALL</b> new building equipment                | FAC           |            |             |
|          |            | <b>RUN</b> new equip—manual mode                     | FAC           |            |             |
|          |            | <b>RECEIVE</b> new BCS IT equipment                  | Tech          |            |             |
|          |            | <b>INSTALL</b> BCS software from vendor CD-ROMs      | Tech          |            |             |
|          |            | <b>INSTALL</b> new BCS servers                       | Tech          |            |             |
|          |            | <b>BOOT</b> the BCS servers                          | Tech          |            |             |
|          |            | <b>TEST</b> operating system                         | Tech          |            |             |
|          |            | <b>TEST</b> network                                  | Tech          |            |             |
|          |            | <b>TEST</b> BCS                                      | Tech          |            |             |
|          |            | <b>CONNECT</b> building equipment to new BCS         | MGMT/FAC/Tech |            |             |
|          |            | <b>TEST</b> BCS with building equipment              | MGMT/FAC/Tech |            |             |
|          |            | <b>ADVISE</b> upper management                       | MGMT          |            |             |
|          |            | <b>REASSESS</b> the situation                        | MGMT          |            |             |
|          |            | <b>SCHEDULE</b> move dates for tenant return         | MGMT/FAC/Tech |            |             |
|          |            | <b>ESTABLISH</b> new building operating schedule     | MGMT/FAC/Tech |            |             |
|          |            | <b>MOVE</b> tenants back to building                 | MGMT          |            |             |
|          |            | <b>RESUME</b> normal operations                      | MGMT/FAC/Tech |            |             |
|          |            | <b>MONITOR</b> help desk for tenant concerns         | MGMT/FAC/Tech |            |             |
|          |            | <b>PREPARE</b> media statements                      | MGMT/SEC      |            |             |
|          |            | <b>PREPARE</b> after-action report                   | MGMT/FAC/Tech |            |             |
|          |            | <b>UPDATE</b> Recovery Procedures w/ lessons learned | MGMT/FAC/Tech |            |             |

## RECOVERY EVENT RECORDING FORM

1. Key events during the recovery phase must be recorded.
2. Separate form should be prepared for every major piece of equipment affected.
3. Event log shall be maintained by the Recovery Procedures Coordinator.
4. Event log should be started at the announcement of a cyber-physical attack and a copy of the log passed on to the Incident Recovery Teams once the initial dangers have been controlled.
5. The following event log should be completed to record all key events during the recovery phase.

| <b>Description of Cyber-Physical Attack:</b> |                    |                    |                  |
|--|--------------------|--------------------|------------------|
| <b>Recovery Start Date:</b>                  |                    |                    |                  |
| <b>Equipment and systems affected:</b>       |                    |                    |                  |
| Recovery Start Date                          | Work Complete Date | Resources Involved | Person in Charge |
|  |                    |                    |                  |
|  |                    |                    |                  |
|  |                    |                    |                  |
|  |                    |                    |                  |
|  |                    |                    |                  |

## BUILDING CONTROLS SYSTEM

|   |   |
|---|---|
| <b>The following Recovery and Reintegration checklists apply to all devices on the BCS network:</b> |   |
| Servers   |   |
| Workstations  |   |
| Routers/Switches/Modems/Printers  |   |
| Remote Terminal Units (RTU)/MTU/PLC   |   |
| Intelligent Electronic Devices (IED)s; Controllers, Breakers, Switches, Re-closers, Regulators      |   |
| Human-Machine Interface (HMI)   |   |
| Firewalls   |   |
| Media Converters (Serial to Fiber, Serial to Ethernet)  |   |
|   |   |
| <b>BCS Recovery</b>   |   |
| <input type="checkbox"/>  | <b>DOCUMENT</b> steps taken during recovery procedures for forensic analysis of the cyber incident and possible use as evidence later on.   |
| <input type="checkbox"/>  | <b>MAINTAIN</b> primary power (if possible) to the BCS device until an image of the onboard memory can be saved.  |
| <input type="checkbox"/>  | <b>SAVE</b> an image of any hard drive(s) and volatile memory (if possible) for forensic analysis. This may require a reboot. <b>CAPTURE</b> volatile memory first, and then image the drive. |
| <input type="checkbox"/>  | <b>REMOVE and REPLACE</b> the affected BCS device.  |
| <input type="checkbox"/>  | <b>DO NOT REIMAGE</b> any devices. Reimaging the affected device drive(s) will destroy forensic evidence of the cyber incident.   |
| <input type="checkbox"/>  | <b>VERIFY</b> that the latest operating system, software, and firmware patches are installed on the device. <b>INSTALL</b> updates prior to reintegration in the BCS.                         |
| <input type="checkbox"/>  | <b>UPDATE</b> passwords on all BCS devices (including seldom-used obscure modules).   |
| <input type="checkbox"/>  | <b>UPDATE</b> the antivirus software and intrusion detection software and <b>RUN</b> a full system scan.  |

| <b>BCS Reintegration</b> |  |
|--------------------------|--|
| <input type="checkbox"/> | <b>DO NOT RECONNECT</b> the device to other devices in the network until each device in the affected network layer or affected sub-system has been recovered per these procedures.   |
| <input type="checkbox"/> | <b>VERIFY</b> that each device in the isolated layer or sub-system has been properly recovered. <b>CONSULT</b> the cyber incident records to confirm that <i>recovery</i> has been performed on these devices prior to reintegration on the BCS network. |
| <input type="checkbox"/> | When each device in the layer or sub-system has been properly recovered and documented, <b>RECONNECT</b> all of the devices.   |
| <input type="checkbox"/> | <b>DO NOT RECONNECT</b> to the enterprise network.   |
| <input type="checkbox"/> | <b>VERIFY</b> that the forensics specialists have eliminated cyber-incident artifacts using detection tools (IDS, Log Review, NMap, Netstat, Wireshark, etc.) and documented the results.  |
| <input type="checkbox"/> | <b>MONITOR</b> the BCS for anomalous <i>behavior</i> .   |
| <input type="checkbox"/> | If anomalous behavior is still evident, <b>REPEAT</b> the detection procedures and/or mitigation procedures as necessary.  |
| <input type="checkbox"/> | When the layer or sub-system is operating without evidence of the cyber incident, and the Recovery Procedures Coordinator gives approval, <b>RECONNECT</b> the isolated layer or sub-system to the BCS.  |
| <input type="checkbox"/> | <b>MONITOR</b> the system for anomalous behavior.  |
| <input type="checkbox"/> | If anomalous behavior is still evident, <b>REPEAT</b> the detection procedures and/or mitigation procedures as necessary.  |
| <input type="checkbox"/> | <b>SUBMIT</b> all records of recovery actions to the Recovery Procedures Coordinator.  |
| <input type="checkbox"/> | <b>RETURN</b> to <i>routine monitoring</i> of the network.   |

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■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

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## BUILDING CONTROLS SYSTEM FIELD TEST

- All point-to-point testing of end field devices through proper input/output to graphic and operator interface shall be completed and approved.
- All field calibration shall be completed and approved.
- Detailed functional tests shall verify that the system adheres to the Sequence of Operation.
- All alarm limits shall be completed and approved.
- All schedule start/stops and system setpoints shall be entered, operating and approved.

### General

Adjust, calibrate, measure, program, configure, set the time schedules, and ensure that the systems function as specified in the Sequence of Operations.

### Systems Check

An item-by-item check shall be performed for each HVAC system.

**Step 1: System Inspection:** With the system in unoccupied mode and with fan hand-off-auto switches in the OFF position, it shall be verified that power and main air are available where required and that all output devices are in their failsafe and normal positions. Each local display panel and each M&C Client shall be inspected to verify that all displays indicate shutdown conditions.

**Step 2: Calibration Accuracy Check:** A two-point accuracy check of the calibration of each HVAC control system sensing element and transmitter shall be performed by comparing the value from the test instrument to the corresponding SNVT. Digital indicating test instruments shall be used, such as digital thermometers, motor-driven psychrometers, and tachometers. The test instruments shall be at least twice as accurate as the specified sensor accuracy. The calibration of the test instruments shall be traceable to National Institute of Standards and Technology standards. The first checkpoint shall be with the HVAC system in unoccupied mode with fan hand-off-auto switches in the OFF position, and the second check point shall be with the HVAC system in an operational condition. Calibration checks shall verify that the sensing element-to-DDC system readout accuracies at two points are within the specified product accuracy tolerances. If not, the device shall be recalibrated or replaced and the calibration check repeated.

**Step 3: Actuator Range Check:** With the system running, a signal shall be applied to each actuator through the DDC Hardware controller. Proper operation of the actuators and positioners for all actuated devices shall be verified and the signal levels shall be recorded for the extreme positions of each device. The signal shall be varied over its full range, and it shall be verified that the actuators travel from zero stroke to full stroke within the signal range. Where applicable, it shall be verified that all sequenced actuators move from zero stroke to full stroke in the proper direction, and move the connected device in the proper direction from one extreme position to the other.

## BOILER OR PRESSURE VESSEL

### Functional Performance Test

|                          |   |
|--------------------------|---|
| <input type="checkbox"/> | Incident Response Team shall inspect, restart, and verify the proper operation of boilers, including the following (IRT to sign off each item):   |
| <input type="checkbox"/> | <b>OBSERVE</b> the burner flame to identify combustion problems.  |
| <input type="checkbox"/> | Before lighting a boiler, always <b>PURGE</b> the furnace thoroughly. This is particularly important if oil has spilled into the furnace. The purge will evacuate the inventory of unburned gases until the concentration is below the explosive limits.  |
| <input type="checkbox"/> | <b>VERIFY</b> that the water treatment system is operating properly, producing boiler feedwater for the temperatures and pressures involved.  |
| <input type="checkbox"/> | <b>NEVER</b> —under any circumstance—disable a low-water trip.  |
| <input type="checkbox"/> | <b>VERIFY</b> that the water leaving the deaerator is free of oxygen, that the deaerator is operated at the proper pressure, and that the storage tank water is at saturation temperature. A continuous vent from the deaerator is necessary to <b>DISCHARGE</b> non-condensable gases.   |
| <input type="checkbox"/> | Continuously <b>MONITOR</b> the quality of condensate coming back from the process to enable the diversion of the condensate in the event of a catastrophic process equipment failure.  |
| <input type="checkbox"/> | <b>NEVER</b> blowdown a furnace wall header while the boiler is operating.  |
| <input type="checkbox"/> | <b>ALWAYS</b> ensure that the steam drum vent valve is open whenever the boiler pressure is less than 5 psig.   |
| <input type="checkbox"/> | The boiler's warm-up curve should be strictly followed. The standard warm-up curve for a typical boiler is not to increase the boiler water temperature over 100°F per hour. It is not unusual for a continuous minimum fire to exceed this maximum warm-up rate. During start-up, the burner must be intermittently fired to <b>ENSURE</b> that this rate is not exceeded. |
| <input type="checkbox"/> | If necessary, <b>DRAIN</b> and flush the boiler, open all handholes and manholes, clean and remove soot and scale from the firesides.   |
| <input type="checkbox"/> | <b>INSTALL</b> new gaskets, <b>REPLACE</b> all handhole and manhole covers, <b>REFILL</b> boiler and <b>PERFORM</b> a hydrostatic test, if required.  |
| <input type="checkbox"/> | <b>DISASSEMBLE</b> the low-water cutoff and water feeding devices. Clean, recondition, and reassemble them. Leak <b>TEST</b> all fuel safety-shutoff valves.  |

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■ **Note** Fill out one form for each boiler.

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## CHILLED WATER SYSTEM

### Functional Performance Test

**Chiller No.: CH-1**

|  |  |                       |                       |               |
|--|--|-----------------------|-----------------------|---------------|
| Incident Response Team shall inspect, restart, and verify the proper operation of chillers, including the following (IRT to sign off each item):                     |  |                       |                       |               |
| <input type="checkbox"/>   | <b>START</b> the building air handling units to provide a cooling load for the chiller.  |                       |                       |               |
| <input type="checkbox"/>   | <b>SWITCH</b> system to “warm-up” mode to open all supply ducts where VAV boxes may be present. Set fan-powered box coils to full heat.                                  |                       |                       |               |
| <input type="checkbox"/>   | <b>OPERATE</b> boilers or use outside air to provide cooling load in the building, depending upon the outside air temperature and the design conditions to be simulated. |                       |                       |               |
| <b>RECORD</b> chiller inlet/outlet pressure readings and compare to chiller design conditions, Test and Balance Report, and chiller manufacturer’s performance data. |  |                       |                       |               |
|  |  |                       |                       |               |
|  | <b>Chilled water flow</b>  |                       |                       | <b>gpm</b>    |
|  | <b>DESIGN</b>  | <b>TEST &amp; BAL</b> | <b>FULL PERF TEST</b> | <b>ACTUAL</b> |
| Chiller Inlet Pressure (psig)  |  |                       |                       |               |
| Chiller Outlet Pressure (psig)   |  |                       |                       |               |
|  |  |                       |                       |               |
| <b>RECORD</b> chilled water supply, return temperature readings, and compare to readout on chiller control panel.  |  |                       |                       |               |
|  | <b>DISPLAYED</b>   |                       | <b>ACTUAL</b>         |               |
| Chilled Water Supply Temp (°F)   |  |                       |                       |               |
| Chilled Water Return Temp (°F)   |  |                       |                       |               |
|  |  |                       |                       |               |

|   |                |  |                |  |                |
|---|----------------|--|----------------|--|----------------|
| <b>RECORD</b> for chiller: amperage each phase, voltage phase to phase, voltage phase to ground, and power factor             |                |  |                |  |                |
|   | <b>PHASE 1</b> |  | <b>PHASE 2</b> |  | <b>PHASE 3</b> |
| Amperage  |                |  |                |  |                |
| Voltage   |                |  |                |  |                |
| Voltage   |                |  |                |  |                |
| Voltage to Ground   |                |  |                |  |                |
| Power Factor  |                |  |                |  |                |
| KW (use PMT)  |                |  |                |  |                |
| <b>RECORD</b> for chilled water pump: amperage each phase, voltage phase to phase, voltage phase to ground, and power factor. |                |  |                |  |                |
|   | <b>PHASE 1</b> |  | <b>PHASE 2</b> |  | <b>PHASE 3</b> |
| Amperage  |                |  |                |  |                |
| Voltage   |                |  |                |  |                |
| Voltage   |                |  |                |  |                |
| Voltage to Ground   |                |  |                |  |                |
| Power Factor  |                |  |                |  |                |
| KW (use PMT)  |                |  |                |  |                |
| <b>RECORD</b> the following information:  |                |  |                |  |                |
| Ambient outside air DB temperature (°F):  |                |  |                |  |                |
| Entering chilled water temperature (°F):  |                |  |                |  |                |
| Leaving chilled water temperature (°F):   |                |  |                |  |                |

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared. Confirm the energy performance over load range. The chiller should run one hour before performing load tests.

## AIR HANDLING UNIT

### Functional Performance Test

**AIR HANDLER No.: AHU-1**

|   |   |                  |               |                  |
|---|---|------------------|---------------|------------------|
| Incident Response Team shall inspect, restart, and verify the proper operation of air handling unit, including the following (IRT to sign off each item): |   |                  |               |                  |
| <input type="checkbox"/>  | <b>ENSURE</b> a slight negative pressure exists on inboard side of outside air dampers throughout the operation of the dampers. <b>MODULATE</b> OA, RA, and EA dampers from fully open to fully closed positions. |                  |               |                  |
| The following shall be <b>VERIFIED</b> . Supply and return fans (where applicable) operating mode is initiated:   |   |                  |               |                  |
| <input type="checkbox"/>  | (1) All dampers in <b>NORMAL</b> position prior to fan start.   |                  |               |                  |
| <input type="checkbox"/>  | (2) All valves in <b>NORMAL</b> position prior to fan start.  |                  |               |                  |
| <input type="checkbox"/>  | (3) System safeties allow start if safety conditions are met.   |                  |               |                  |
| <input type="checkbox"/>  | (4) VAV fan controller shall <b>SOFT-START</b> fan.   |                  |               |                  |
| <input type="checkbox"/>  | (5) <b>MODULATE</b> all VAV boxes to minimum airflow and verify that the static pressure does not exceed the high static pressure shutdown setpoint.  |                  |               |                  |
| <input type="checkbox"/>  | (6) Return all VAV boxes to <b>AUTO</b> .   |                  |               |                  |
| <b>Occupied mode of operation: economizer de-energized.</b>   |   |                  |               |                  |
| <input type="checkbox"/>  | (1) Outside air damper is at <b>MINIMUM</b> position.   |                  |               |                  |
| <input type="checkbox"/>  | (2) Return air damper is <b>OPEN</b> .  |                  |               |                  |
| <input type="checkbox"/>  | (3) Relief air damper is at <b>MINIMUM</b> position.  |                  |               |                  |
| <input type="checkbox"/>  | (4) Chilled water control valve <b>MODULATING</b> to maintain leaving air temperature setpoint.   |                  |               |                  |
| <b>SETPOINT</b>   |   | <b>deg F.</b>    | <b>Actual</b> | <b>deg F.</b>    |
| <input type="checkbox"/>  | Fan VAV controller receiving signal from duct static pressure sensor and <b>MODULATING</b> fan to maintain supply duct static pressure setpoint.  |                  |               |                  |
| <b>SETPOINT</b>   |   | <b>inches-wg</b> | <b>Actual</b> | <b>inches-wg</b> |

| <b>Occupied mode of operation—economizer energized.</b>  |  |           |               |  |           |
|--|--|-----------|---------------|--|-----------|
| <input type="checkbox"/>   | (1) Outside air damper <b>MODULATED</b> to maintain mixed air temperature setpoint.  |           |               |  |           |
| <b>SETPOINT</b>  |  | deg F.    | <b>Actual</b> |  | deg F.    |
| Outside air damper position  |  |           |               |  | percent   |
| <input type="checkbox"/>   | (2) Relief air damper <b>MODULATES</b> with outside air damper per sequence of operation.  |           |               |  |           |
| Relief air damper position   |  |           |               |  | percent   |
| <input type="checkbox"/>   | (3) Chilled water control valve <b>MODULATING</b> to maintain leaving air temperature setpoint.  |           |               |  |           |
| <b>SETPOINT</b>  |  | deg F.    | <b>Actual</b> |  | deg F.    |
| <input type="checkbox"/>   | (4) Hot-water control valve <b>MODULATING</b> to maintain leaving air temperature setpoint.  |           |               |  |           |
| <b>SETPOINT</b>  |  | deg F.    | <b>Actual</b> |  | deg F.    |
| <input type="checkbox"/>   | (5) Fan VAV controller receives signal from duct static pressure sensor and <b>MODULATES</b> fan to maintain supply duct static pressure setpoint. |           |               |  |           |
| <b>SETPOINT</b>  |  | inches-wg | <b>Actual</b> |  | inches-wg |
| <b>Unoccupied mode of operation.</b>   |  |           |               |  |           |
| <input type="checkbox"/>   | (1) <b>OBSERVE</b> fan starts when space temperature calls for heating or cooling.   |           |               |  |           |
| <b>Note: This does not apply to series boxes.</b>  |  |           |               |  |           |
| <input type="checkbox"/>   | (2) All dampers in <b>NORMAL</b> position.   |           |               |  |           |
| <input type="checkbox"/>   | (3) <b>VERIFY</b> space temp is maintained as specified in sequence of operation.  |           |               |  |           |
| The following shall be <b>VERIFIED</b> when the supply and return fans (where applicable) off mode is initiated: |  |           |               |  |           |
| <input type="checkbox"/>   | (1) All dampers in <b>NORMAL</b> position.   |           |               |  |           |
| <input type="checkbox"/>   | (2) All valves in <b>NORMAL</b> position.  |           |               |  |           |
| <input type="checkbox"/>   | (3) Fan <b>DE-ENERGIZES</b> .  |           |               |  |           |

|  |  |        |                                       |
|--|--|--------|---------------------------------------|
| <b>VERIFY</b> the chilled water coil control valve operation by setting all VAVs to maximum and minimum cooling. |  |        |                                       |
| <b>Max Cooling</b><br>Supply air temp:   |  | deg F, | <b>VERIFY</b> cooling valve operation |
| <b>Min Cooling</b><br>Supply air temp:   |  | deg F, | <b>VERIFY</b> cooling valve operation |
| <input type="checkbox"/>   | <b>VERIFY</b> safety shut down initiated by low-temperature protection thermostat. |        |                                       |
| <input type="checkbox"/>   | <b>VERIFY</b> that occupancy schedule is programmed into time clock/UMCS.          |        |                                       |

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■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

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## COMPUTER ROOM AIR CONDITIONER

### Functional Performance Test

**CRAC No.: CR-1**

|   |   |
|---|---|
| Incident Response Team shall inspect, restart, and verify the proper operation of computer room unit in accordance with specification, including the following (IRT to sign off each item): |   |
| <input type="checkbox"/>  | System safeties allow start if safety conditions are met.   |
| <input type="checkbox"/>  | <b>VERIFY</b> cooling and heating operation by varying thermostat setpoint from space setpoint to space setpoint plus 10 degrees, space setpoint minus 10 degrees, and returning to space setpoint. |
| <input type="checkbox"/>  | <b>VERIFY</b> humidifier operation by varying humidistat setpoint from space setpoint to space setpoint plus 20 percent RH, and returning to space setpoint.  |
| <input type="checkbox"/>  | <b>VERIFY</b> that airflow is within tolerance.   |

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■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared. Fill out one form for each CRAC unit.

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# COOLING TOWER

## Functional Performance Test

**Cooling Tower No.: CT-1**

Incident Response Team shall inspect, restart, and verify the proper operation of cooling towers, including the following (IRT to sign off each item):

- START** the building air handling units to provide a cooling load.
- SWITCH** system to “warm-up” mode to open all supply ducts, where VAV boxes may be present. Set fan-powered box coils to full heat.
- OPERATE** boilers or use outside air to provide cooling load in building, depending upon the outside air temperature and the design conditions to be simulated.

**RECORD** CWS Header and CWR Header temperature readings and compare to cooling tower design conditions, Test and Balance Report, and manufacturer’s performance data.

|                        |  |            |
|------------------------|--|------------|
| <b>Water Flow Rate</b> |  | <b>gpm</b> |
|------------------------|--|------------|

**RECORD** the cooling tower water supply and return temperature readings. Compare to readout on the cooling tower control panel.

|                                       | <b>DISPLAYED</b> | <b>ACTUAL</b> |
|---------------------------------------|------------------|---------------|
| Cooling Water Supply Header Temp (°F) |                  |               |
| Cooling Water Return Header Temp (°F) |                  |               |
| Entering Wet Bulb Temp (°F)           |                  |               |

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

|   |  |
|---|--|
| <b>Ambient Air Conditions</b>           |  |
| Dry Bulb (°F)                           |  |
| Wet Bulb (°F)                           |  |
| Relative Humidity (%)                   |  |
| <b>Conditions at Cooling Tower Exit</b> |  |
| Dry Bulb (°F)                           |  |
| Wet Bulb (°F)                           |  |
| Relative Humidity (%)                   |  |

# PUMP: PRIMARY CHILLED WATER

## Functional Performance Test

**Pump No.: PCHW-1**

|   |  |                          |                          |                    |                          |
|---|--|--------------------------|--------------------------|--------------------|--------------------------|
| IRT shall demonstrate operation of pumps in accordance with specifications, including the following:<br><b>ACTIVATE</b> pump start using control system commands. |  |                          |                          |                    |                          |
| <input type="checkbox"/>  | <b>VERIFY</b> correct operation in:  |                          |                          |                    |                          |
| <b>HAND</b>   | <input type="checkbox"/>   | <b>OFF</b>               | <input type="checkbox"/> | <b>AUTO</b>        | <input type="checkbox"/> |
| <input type="checkbox"/>  | <b>VERIFY</b> pressure drop across strainer:   |                          |                          |                    |                          |
|   |  | Strainer inlet pressure  |                          |                    | psig                     |
|   |  | Strainer outlet pressure |                          |                    | psig                     |
| <input type="checkbox"/>  | <b>VERIFY</b> pump inlet/outlet pressure reading, compare to Testing, Adjusting, and Balancing (TAB) Report and pump design conditions.  |                          |                          |                    |                          |
|   | <b>DESIGN</b>  |                          | <b>TAB</b>               |                    | <b>ACTUAL</b>            |
| Pump inlet pressure psig  |  |                          |                          |                    |                          |
| Pump outlet pressure psig   |  |                          |                          |                    |                          |
| <input type="checkbox"/>  | <b>OPERATE</b> pump at shutoff and at 100 percent of designed flow when all components are in full flow.<br><b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices.  |                          |                          |                    |                          |
|   |  | <b>SHUTOFF</b>           |                          | <b>100 PERCENT</b> |                          |
|   | Pump inlet pressure psig   |                          |                          |                    |                          |
|   | Pump outlet pressure psig  |                          |                          |                    |                          |
|   | Pump flow rate gpm   |                          |                          |                    |                          |
|   |  |                          | <b>SETPOINT</b>          |                    |                          |
|   | Differential Pressure Transmitter  |                          |                          |                    |                          |
| <input type="checkbox"/>  | For variable speed pumps, <b>OPERATE</b> pump at shutoff (shutoff to be done in manual on variable speed drive at the minimum rpm that the system is being controlled at) and at minimum flow or when all components are in full bypass. <b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices. |                          |                          |                    |                          |

|  |                                   |                |                 |                    |  |
|--|-----------------------------------|----------------|-----------------|--------------------|--|
|  |                                   | <b>SHUTOFF</b> |                 | <b>100 PERCENT</b> |  |
|  | Pump inlet pressure<br>psig       |                |                 |                    |  |
|  | Pump outlet<br>pressure psig      |                |                 |                    |  |
|  | Pump flow rate gpm                |                |                 |                    |  |
|  |                                   |                | <b>SETPOINT</b> |                    |  |
|  | Differential Pressure Transmitter |                |                 |                    |  |

|   |  |         |  |         |  |
|---|--|---------|--|---------|--|
| <b>MEASURE</b> motor amperage each phase and voltage phase to phase and phase to ground for both the full flow and the minimum flow conditions. <b>COMPARE</b> amperage to nameplate FLA. |  |         |  |         |  |
| <b>Full flow:</b>   |  |         |  |         |  |
| Nameplate FLA   |  |         |  |         |  |
| Amperage Phase 1  |  | Phase 2 |  | Phase 3 |  |
| Voltage Ph1-Ph2   |  | Ph1-Ph3 |  | Ph2-Ph3 |  |
| Voltage Ph1-gnd   |  | Ph2-gnd |  | Ph3-gnd |  |
| <b>Minimum flow:</b>  |  |         |  |         |  |
| Amperage Phase 1  |  | Phase 2 |  | Phase 3 |  |
| Voltage Ph1-Ph2   |  | Ph1-Ph3 |  | Ph2-Ph3 |  |
| Voltage Ph1-gnd   |  | Ph2-gnd |  | Ph3-gnd |  |
| <b>Note any unusual noise.</b>  |  |         |  |         |  |

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■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

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# PUMP: SECONDARY CHILLED WATER

## Functional Performance Test

Pump No.: SCHW-1

|   |  |                |                          |                    |                          |
|---|--|----------------|--------------------------|--------------------|--------------------------|
| IRT shall demonstrate the operation of pumps in accordance with specifications, including the following:<br><b>ACTIVATE</b> pump start using control system commands. |  |                |                          |                    |                          |
| <input type="checkbox"/>  | <b>VERIFY</b> correct operation in:  |                |                          |                    |                          |
| <b>HAND</b>   | <input type="checkbox"/>   | <b>OFF</b>     | <input type="checkbox"/> | <b>AUTO</b>        | <input type="checkbox"/> |
| <input type="checkbox"/>  | <b>VERIFY</b> pressure drop across strainer:   |                |                          |                    |                          |
|   |  |                | Strainer inlet pressure  |                    | psig                     |
|   |  |                | Strainer outlet pressure |                    | psig                     |
| <input type="checkbox"/>  | <b>VERIFY</b> pump inlet/outlet pressure reading, compare to Testing, Adjusting, and Balancing (TAB) Report and pump design conditions.  |                |                          |                    |                          |
|   | <b>DESIGN</b>  |                | <b>TAB</b>               |                    | <b>ACTUAL</b>            |
| Pump inlet pressure psig  |  |                |                          |                    |                          |
| Pump outlet pressure psig   |  |                |                          |                    |                          |
| <input type="checkbox"/>  | <b>OPERATE</b> pump at shutoff and at 100 percent of designed flow when all components are in full flow.<br><b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices.  |                |                          |                    |                          |
|   |  | <b>SHUTOFF</b> |                          | <b>100 PERCENT</b> |                          |
|   | Pump inlet pressure psig   |                |                          |                    |                          |
|   | Pump outlet pressure psig  |                |                          |                    |                          |
|   | Pump flow rate gpm   |                |                          |                    |                          |
|   |  |                | <b>SETPOINT</b>          |                    |                          |
|   | Differential Pressure Transmitter  |                |                          |                    |                          |
| <input type="checkbox"/>  | For variable speed pumps, <b>OPERATE</b> pump at shutoff (shutoff to be done in manual on variable speed drive at the minimum rpm that the system is being controlled at) and at minimum flow or when all components are in full bypass. <b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices. |                |                          |                    |                          |

|  |                                   |                |                 |                    |  |
|--|-----------------------------------|----------------|-----------------|--------------------|--|
|  |                                   | <b>SHUTOFF</b> |                 | <b>100 PERCENT</b> |  |
|  | Pump inlet pressure<br>psig       |                |                 |                    |  |
|  | Pump outlet<br>pressure psig      |                |                 |                    |  |
|  | Pump flow rate gpm                |                |                 |                    |  |
|  |                                   |                | <b>SETPOINT</b> |                    |  |
|  | Differential Pressure Transmitter |                |                 |                    |  |

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

|   |  |         |  |         |  |
|---|--|---------|--|---------|--|
| <b>MEASURE</b> motor amperage each phase and voltage phase to phase and phase to ground for both the full flow and the minimum flow conditions. <b>COMPARE</b> amperage to nameplate FLA. |  |         |  |         |  |
| <b>Full flow:</b>   |  |         |  |         |  |
| Nameplate FLA   |  |         |  |         |  |
| Amperage Phase 1  |  | Phase 2 |  | Phase 3 |  |
| Voltage Ph1-Ph2   |  | Ph1-Ph3 |  | Ph2-Ph3 |  |
| Voltage Ph1-gnd   |  | Ph2-gnd |  | Ph3-gnd |  |
| <b>Minimum flow:</b>  |  |         |  |         |  |
| Amperage Phase 1  |  | Phase 2 |  | Phase 3 |  |
| Voltage Ph1-Ph2   |  | Ph1-Ph3 |  | Ph2-Ph3 |  |
| Voltage Ph1-gnd   |  | Ph2-gnd |  | Ph3-gnd |  |
| Note any unusual noise.   |  |         |  |         |  |

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

## PUMP: PRIMARY DOMESTIC HOT WATER

### Functional Performance Test

|   |  |                |                          |                    |                          |
|---|--|----------------|--------------------------|--------------------|--------------------------|
| IRT shall demonstrate operation of pumps in accordance with specifications, including the following:<br><b>ACTIVATE</b> pump start using control system commands. |  |                |                          |                    |                          |
| <input type="checkbox"/>  | <b>VERIFY</b> correct operation in:  |                |                          |                    |                          |
| <b>HAND</b>   | <input type="checkbox"/>   | <b>OFF</b>     | <input type="checkbox"/> | <b>AUTO</b>        | <input type="checkbox"/> |
| <input type="checkbox"/>  | <b>VERIFY</b> pressure drop across strainer:   |                |                          |                    |                          |
|   |  |                | Strainer inlet pressure  |                    | psig                     |
|   |  |                | Strainer outlet pressure |                    | psig                     |
| <input type="checkbox"/>  | <b>VERIFY</b> pump inlet/outlet pressure reading, compare to Testing, Adjusting, and Balancing (TAB) Report and pump design conditions.  |                |                          |                    |                          |
|   | <b>DESIGN</b>  |                | <b>TAB</b>               |                    | <b>ACTUAL</b>            |
| Pump inlet pressure psig  |  |                |                          |                    |                          |
| Pump outlet pressure psig   |  |                |                          |                    |                          |
| <input type="checkbox"/>  | <b>OPERATE</b> pump at shutoff and at 100 percent of designed flow when all components are in full flow.<br><b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices.  |                |                          |                    |                          |
|   |  | <b>SHUTOFF</b> |                          | <b>100 PERCENT</b> |                          |
|   | Pump inlet pressure psig   |                |                          |                    |                          |
|   | Pump outlet pressure psig  |                |                          |                    |                          |
|   | Pump flow rate gpm   |                |                          |                    |                          |
|   |  |                | <b>SETPOINT</b>          |                    |                          |
|   | Differential Pressure Transmitter  |                |                          |                    |                          |
| <input type="checkbox"/>  | For variable speed pumps, <b>OPERATE</b> pump at shutoff (shutoff to be done in manual on variable speed drive at the minimum rpm that the system is being controlled at) and at minimum flow or when all components are in full bypass. <b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices. |                |                          |                    |                          |

|  |                                   |                |                 |                    |  |
|--|-----------------------------------|----------------|-----------------|--------------------|--|
|  |                                   | <b>SHUTOFF</b> |                 | <b>100 PERCENT</b> |  |
|  | Pump inlet pressure<br>psig       |                |                 |                    |  |
|  | Pump outlet<br>pressure psig      |                |                 |                    |  |
|  | Pump flow rate gpm                |                |                 |                    |  |
|  |                                   |                | <b>SETPOINT</b> |                    |  |
|  | Differential Pressure Transmitter |                |                 |                    |  |

**MEASURE** motor amperage each phase and voltage phase to phase and phase to ground for both the full flow and the minimum flow conditions. **COMPARE** amperage to nameplate FLA.

**Full flow:**

|                  |  |         |         |
|------------------|--|---------|---------|
| Nameplate FLA    |  |         |         |
| Amperage Phase 1 |  | Phase 2 | Phase 3 |
| Voltage Ph1-Ph2  |  | Ph1-Ph3 | Ph2-Ph3 |
| Voltage Ph1-gnd  |  | Ph2-gnd | Ph3-gnd |

**Minimum flow:**

|                  |  |         |         |
|------------------|--|---------|---------|
| Amperage Phase 1 |  | Phase 2 | Phase 3 |
| Voltage Ph1-Ph2  |  | Ph1-Ph3 | Ph2-Ph3 |
| Voltage Ph1-gnd  |  | Ph2-gnd | Ph3-gnd |

Note any unusual noise.

---

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

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# PUMP: SECONDARY DOMESTIC HOT WATER

## Functional Performance Test

Pump No.: SDHW-1

|   |  |                |                          |                    |                                     |
|---|--|----------------|--------------------------|--------------------|-------------------------------------|
| IRT shall demonstrate the operation of pumps in accordance with specifications, including the following:<br><b>ACTIVATE</b> pump start using control system commands. |  |                |                          |                    |                                     |
| <input type="checkbox"/>  | <b>VERIFY</b> correct operation in:  |                |                          |                    |                                     |
| <b>HAND</b>   | <input type="checkbox"/>   | <b>OFF</b>     | <input type="checkbox"/> | <b>AUTO</b>        | <input checked="" type="checkbox"/> |
| <input type="checkbox"/>  | <b>VERIFY</b> pressure drop across strainer:   |                |                          |                    |                                     |
|   |  |                | Strainer inlet pressure  |                    | psig                                |
|   |  |                | Strainer outlet pressure |                    | psig                                |
| <input type="checkbox"/>  | <b>VERIFY</b> pump inlet/outlet pressure reading, compare to Testing, Adjusting, and Balancing (TAB) Report and pump design conditions.  |                |                          |                    |                                     |
|   | <b>DESIGN</b>  |                | <b>TAB</b>               |                    | <b>ACTUAL</b>                       |
| Pump inlet pressure psig  |  |                |                          |                    |                                     |
| Pump outlet pressure psig   |  |                |                          |                    |                                     |
| <input type="checkbox"/>  | <b>OPERATE</b> pump at shutoff and at 100 percent of designed flow when all components are in full flow. <b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices.   |                |                          |                    |                                     |
|   |  | <b>SHUTOFF</b> |                          | <b>100 PERCENT</b> |                                     |
|   | Pump inlet pressure psig   |                |                          |                    |                                     |
|   | Pump outlet pressure psig  |                |                          |                    |                                     |
|   | Pump flow rate gpm   |                |                          |                    |                                     |
|   |  |                | <b>SETPOINT</b>          |                    |                                     |
|   | Differential Pressure Transmitter  |                |                          |                    |                                     |
| <input type="checkbox"/>  | For variable speed pumps, <b>OPERATE</b> pump at shutoff (shutoff to be done in manual on variable speed drive at the minimum rpm that the system is being controlled at) and at minimum flow or when all components are in full bypass. <b>PLOT</b> test readings on pump curve and compare results against readings taken from flow measuring devices. |                |                          |                    |                                     |



|  |                                   |                |                 |                    |  |
|--|-----------------------------------|----------------|-----------------|--------------------|--|
|  |                                   | <b>SHUTOFF</b> |                 | <b>100 PERCENT</b> |  |
|  | Pump inlet pressure psig          |                |                 |                    |  |
|  | Pump outlet pressure psig         |                |                 |                    |  |
|  | Pump flow rate gpm                |                |                 |                    |  |
|  |                                   |                | <b>SETPOINT</b> |                    |  |
|  | Differential Pressure Transmitter |                |                 |                    |  |

**MEASURE** motor amperage each phase and voltage phase to phase and phase to ground for both the full flow and the minimum flow conditions. **COMPARE** amperage to nameplate FLA.

**Full flow:**

|                  |  |         |  |         |
|------------------|--|---------|--|---------|
| Nameplate FLA    |  |         |  |         |
| Amperage Phase 1 |  | Phase 2 |  | Phase 3 |
| Voltage Ph1-Ph2  |  | Ph1-Ph3 |  | Ph2-Ph3 |
| Voltage Ph1-gnd  |  | Ph2-gnd |  | Ph3-gnd |

**Minimum flow:**

|                  |  |         |  |         |
|------------------|--|---------|--|---------|
| Amperage Phase 1 |  | Phase 2 |  | Phase 3 |
| Voltage Ph1-Ph2  |  | Ph1-Ph3 |  | Ph2-Ph3 |
| Voltage Ph1-gnd  |  | Ph2-gnd |  | Ph3-gnd |

Note any unusual noise.

■ **Note** Customize the form for your specific building. Verify the normal operating conditions when the recovery procedures are prepared.

# FAN COIL UNIT

## Functional Performance Test

Fan Coil Unit No.: FCU-1

|   |  |                                      |               |               |               |
|---|--|--------------------------------------|---------------|---------------|---------------|
| IRT shall demonstrate operation of selected fan coils in accordance with specifications, including the following: |  |                                      |               |               |               |
| <input type="checkbox"/>  | Cooling only fan coils: <b>VERIFY</b> fan coil unit response to room temp setpoint adjustment.   |                                      |               |               |               |
|   |  | <b>CHECK</b> blower fan airflow      |               |               | cfm           |
|   |  | <b>CHECK</b> cooling coil water flow |               |               | gpm           |
| <input type="checkbox"/>  | <b>VERIFY</b> proper operation of cooling water control valve.                                   |                                      |               |               |               |
| <input type="checkbox"/>  | <b>CHECK</b> cooling mode inlet air temperature  |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>CHECK</b> cooling mode outlet air temperature   |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>MEASURE</b> coil sensible capacity and compare to design:                                     |                                      |               |               |               |
|   | <b>ACTUAL</b>  |                                      | <b>BTU/hr</b> | <b>DESIGN</b> | <b>BTU/hr</b> |
| <input type="checkbox"/>  | Cooling/heating fan coils: <b>VERIFY</b> fan coil unit response to room temp setpoint adjustment |                                      |               |               |               |
| <input type="checkbox"/>  | <b>CHECK</b> blower fan airflow.   |                                      |               |               | cfm           |
| <input type="checkbox"/>  | <b>CHECK</b> cooling coil water flow.  |                                      |               |               | gpm           |
| <input type="checkbox"/>  | <b>VERIFY</b> proper operation of cooling water control valve.                                   |                                      |               |               |               |
| <input type="checkbox"/>  | <b>CHECK</b> cooling mode inlet air temperature.   |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>CHECK</b> cooling mode outlet air temperature.  |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>MEASURE</b> cooling coil sensible capacity and compare to design:                             |                                      |               |               |               |
|   | <b>ACTUAL</b>  |                                      | <b>BTU/hr</b> | <b>DESIGN</b> | <b>BTU/hr</b> |
| <input type="checkbox"/>  | <b>CHECK</b> heating coil water flow.  |                                      |               |               | gpm           |
| <input type="checkbox"/>  | <b>VERIFY</b> proper operation of heating water control valve.                                   |                                      |               |               |               |
| <input type="checkbox"/>  | <b>CHECK</b> heating mode inlet air temperature.   |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>CHECK</b> heating mode outlet air temperature.  |                                      |               |               | deg F         |
| <input type="checkbox"/>  | <b>MEASURE</b> heating coil capacity and compare to design:                                      |                                      |               |               |               |
|   | <b>ACTUAL</b>  |                                      | <b>BTU/hr</b> | <b>DESIGN</b> | <b>BTU/hr</b> |

■ **Note** Customize the form to suit your specific building. Verify the normal operating conditions when the recovery procedures are prepared. Fill out one form for each fan coil unit.

## DIESEL BACKUP GENERATOR

### Functional Performance Test

**Generator No.: DG-1**

|   |   |               |        |               |        |
|---|---|---------------|--------|---------------|--------|
| IRT shall demonstrate the operation of backup generators in accordance with specifications, including the following: <b>START</b> equipment to provide energy source for building recovery. |   |               |        |               |        |
| <input type="checkbox"/>  | <b>VERIFY</b> that backup generators are providing recoverable energy.    |               |        |               |        |
| <input type="checkbox"/>  | <b>VERIFY</b> that recovery system senses available energy and activates. |               |        |               |        |
|   |   | <b>DESIGN</b> |        | <b>ACTUAL</b> |        |
|   | Primary inlet air temp  |               | deg F  |               | deg F  |
|   | Primary outlet air temp   |               | deg F  |               | deg F  |
|   | Primary flow rate   |               | cfm    |               | cfm    |
|   | Secondary inlet air temp  |               | deg F  |               | deg F  |
|   | Secondary outlet air temp   |               | deg F  |               | deg F  |
|   | Secondary flow rate   |               | cfm    |               | cfm    |
|   | Primary energy BTU/hr   |               | BTU/hr |               | BTU/hr |
|   | Secondary energy BTU/hr   |               | BTU/hr |               | BTU/hr |
| <input type="checkbox"/>  | <b>VERIFY</b> that the switchgear senses available energy and activates.  |               |        |               |        |

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■ **Note** Customize the form for your specific building and verify the normal operating conditions when the recovery procedures are prepared.

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# VENTILATION UNIT

## Functional Performance Test

Ventilation System No.: V-1

|   |  |  |           |               |           |
|---|--|--|-----------|---------------|-----------|
| Incident Response Team shall inspect, restart, and verify the proper operation of the air handling unit, including the following (IRT to sign off each item): |  |  |           |               |           |
| <input type="checkbox"/>  | <b>ENSURE</b> that a slight negative pressure exists on the inboard side of outside air dampers throughout the operation of the dampers. <b>MODULATE</b> OA, RA, and EA dampers from fully open to fully closed positions. |  |           |               |           |
| The following shall be <b>VERIFIED</b> . Supply and return fans (where applicable) operating mode is initiated:   |  |  |           |               |           |
| <input type="checkbox"/>  | All dampers in <b>NORMAL</b> position prior to fan start.  |  |           |               |           |
| <input type="checkbox"/>  | All valves in <b>NORMAL</b> position prior to fan start.   |  |           |               |           |
| <input type="checkbox"/>  | System safeties allow start if safety conditions are met.  |  |           |               |           |
| <input type="checkbox"/>  | VAV fan controller shall <b>SOFT-START</b> fan.  |  |           |               |           |
| <input type="checkbox"/>  | <b>MODULATE</b> all VAV boxes to <b>MINIMUM</b> airflow and verify that the static pressure does not exceed the high static pressure shutdown setpoint.  |  |           |               |           |
|   | <b>RETURN</b> all VAV boxes to auto.   |  |           |               |           |
| <b>Occupied</b> mode of operation—economizer <b>DE-ENERGIZED</b> .  |  |  |           |               |           |
| <input type="checkbox"/>  | Outside air damper is at <b>MINIMUM</b> position.  |  |           |               |           |
| <input type="checkbox"/>  | Make sure that the return air damper is <b>OPEN</b> .  |  |           |               |           |
| <input type="checkbox"/>  | Relief air damper is at <b>MINIMUM</b> position.   |  |           |               |           |
| <input type="checkbox"/>  | Chilled water control valve is <b>MODULATING</b> to maintain leaving air temperature setpoint.   |  |           |               |           |
|   | <b>SETPOINT</b>  |  | deg F.    | <b>ACTUAL</b> | deg F.    |
| <input type="checkbox"/>  | Fan VAV controller receiving signal from duct static pressure sensor and <b>MODULATING</b> fan to <b>MAINTAIN</b> supply duct static pressure setpoint.  |  |           |               |           |
|   | <b>SETPOINT</b>  |  | inches-wg | <b>ACTUAL</b> | inches-wg |
| <b>Occupied</b> mode of operation— economizer <b>ENERGIZED</b> .  |  |  |           |               |           |
|   | Outside air damper <b>MODULATED</b> to maintain mixed air temperature setpoint.  |  |           |               |           |
|   | <b>SETPOINT</b>  |  | deg F.    | <b>ACTUAL</b> | deg F.    |
| <input type="checkbox"/>  | Outside air damper position  |  |           | percent       |           |
| <input type="checkbox"/>  | Relief air damper <b>MODULATES</b> with outside air damper per sequence of operation.  |  |           |               |           |
|   | Relief air damper position   |  |           | percent       |           |
| <input type="checkbox"/>  | Chilled water control valve <b>MODULATING</b> to maintain leaving air temperature setpoint.  |  |           |               |           |
|   | <b>SETPOINT</b>  |  | deg F.    | <b>ACTUAL</b> | deg F.    |
| <input type="checkbox"/>  | Hot-water control valve <b>MODULATING</b> to maintain leaving air temperature setpoint.  |  |           |               |           |
|   | <b>SETPOINT</b>  |  | deg F.    | <b>ACTUAL</b> | deg F.    |

|  |   |  |                                       |               |  |           |
|--|---|--|---------------------------------------|---------------|--|-----------|
| Fan VAV controller receives signal from duct static pressure sensor and modulates fan to <b>MAINTAIN</b> supply duct static pressure setpoint. |   |  |                                       |               |  |           |
|  | <b>SETPOINT</b>   |  | inches-wg                             | <b>ACTUAL</b> |  | inches-wg |
| <b>Unoccupied</b> mode of operation  |   |  |                                       |               |  |           |
| <input type="checkbox"/>   | <b>OBSERVE</b> fan starts when space temperature calls for heating or cooling.                                    |  |                                       |               |  |           |
| <b>Note: This does not apply to series boxes.</b>  |   |  |                                       |               |  |           |
| <input type="checkbox"/>   | All dampers are in <b>NORMAL</b> position.  |  |                                       |               |  |           |
| <input type="checkbox"/>   | <b>VERIFY</b> space temp is maintained as specified in sequence of operation.                                     |  |                                       |               |  |           |
| <input type="checkbox"/>   | The following shall be verified when the supply and return fans (where applicable) <b>OFF MODE</b> is initiated:  |  |                                       |               |  |           |
| <input type="checkbox"/>   | All dampers are in <b>NORMAL</b> position.  |  |                                       |               |  |           |
| <input type="checkbox"/>   | All valves are in <b>NORMAL</b> position.   |  |                                       |               |  |           |
| <input type="checkbox"/>   | Fan <b>DE-ENERGIZES</b> .   |  |                                       |               |  |           |
| <input type="checkbox"/>   | <b>VERIFY</b> the chilled water coil control valve operation by setting all VAV's to maximum and minimum cooling. |  |                                       |               |  |           |
|  | Max Cooling Supply air temp:  |  | deg F, Verify cooling valve operation |               |  |           |
|  | Min Cooling Supply air temp:  |  | deg F, Verify cooling valve operation |               |  |           |
| <input type="checkbox"/>   | <b>VERIFY</b> safety shut down initiated by low temperature protection thermostat.                                |  |                                       |               |  |           |
| <input type="checkbox"/>   | <b>VERIFY</b> occupancy schedule is programmed into time clock/UMCS.  |  |                                       |               |  |           |

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■ **Note** Customize the form to suit your specific building and verify the normal operating conditions when the recovery procedures are prepared.

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## ELECTRICAL SWITCHGEAR CHECKLIST

### Functional Performance Test

Switchgear No.: S-1

|   |  |
|---|--|
| Incident Response Team shall inspect, restart, and verify the proper operation of electrical switchgear, including the following (IRT to sign off each item): |  |
|   | <b>CHECK</b> for voltage imbalance. Maximum allowable is 2%.   |
| <b>Insulation Resistance Test</b>   |  |
| <input type="checkbox"/>  | <b>INSPECT</b> to make sure that surface dust and moisture have been removed from the component under test.                                    |
| <input type="checkbox"/>  | <b>ENSURE</b> that the component is isolated from other connected systems, which may feed back to other components or circuits not under test. |
| <input type="checkbox"/>  | Voltage shall be <b>applied</b> between one phase and other phases connected with ground; testing shall be repeated for other phases.          |
| <input type="checkbox"/>  | The following shall be verified when the supply and return fans' (where applicable) <b>OFF MODE</b> is initiated:                              |
| <b>High Voltage Test</b>  |  |
| <input type="checkbox"/>  | <b>DETERMINE</b> that the equipment is in proper condition to put back in service by performing the following tests:                           |
| <input type="checkbox"/>  | AC Hi-pot test for switchgear with leakage current indicator for overload protection.  |
| <input type="checkbox"/>  | DC Hi-pot test for cables with leakage current indicator for overload protection.  |

## INTEGRATED SYSTEMS TEST: EMERGENCY POWER

|  |                          |                                     |  |
|--|--------------------------|-------------------------------------|--|
| <b>Building:</b>                             |                          | <b>Date:</b>                        |  |
| <b>Participants</b>                          |                          |                                     |  |
| <b>Individual Name:</b>                      |                          | <b>Participation Role:</b>          |  |
|  |                          |                                     |  |
|  |                          |                                     |  |
|  |                          |                                     |  |
|  |                          |                                     |  |
| <b>Date of Test</b>                          |                          | <b>Weather</b>                      |  |
| <b>Date of Test</b>                          |                          | <b>Weather</b>                      |  |
| <b>Date of Test</b>                          |                          | <b>Weather</b>                      |  |
| <b>Date of Test</b>                          |                          | <b>Weather</b>                      |  |
| <b>Testing Procedures and Record</b>         |                          |                                     |  |
| <b>Sequence of Operation</b>                 | <b>Pass</b>              | <b>Fail</b>                         | <b>Comments</b>  |
| Example: Duct static maintained at setpoint. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Fire smoke damper is closed and needs to be open to provide air to the duct static sensor. |
|  | <input type="checkbox"/> | <input type="checkbox"/>            |  |
|  | <input type="checkbox"/> | <input type="checkbox"/>            |  |
|  | <input type="checkbox"/> | <input type="checkbox"/>            |  |
|  | <input type="checkbox"/> | <input type="checkbox"/>            |  |

## INTEGRATED SYSTEMS TEST: EMERGENCY POWER

| Testing Procedures and Record  |                          |                          |          |
|--|--------------------------|--------------------------|----------|
| Sequence of Operation  | Pass                     | Fail                     | Comments |
| <b>Chilled Water System</b>  |                          |                          |          |
| Upon power failure, <b>VERIFY</b> that the following occurs:   |                          |                          |          |
| Chillers <b>SHUT DOWN</b> . After transfer of power, chillers <b>RESTART</b> .   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> that chillers return to previous operation.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Pumps <b>MAINTAIN</b> operation. After transfer of power via open transition, pumps <b>RESTART</b> .                   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> that pumps return to previous operation.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Load is <b>MAINTAINED</b> .  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Temperatures <b>REMAIN</b> within operational range.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| CHW Flows <b>REMAIN</b> within operational range.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Loss of power alarms are <b>TRIGGERED</b> at BCS for chillers and pumps.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>Condenser Water System</b>  |                          |                          |          |
| Upon power failure, <b>VERIFY</b> that the following occurs:   |                          |                          |          |
| Cooling Towers <b>MAINTAIN</b> operation. After transfer of power via open transition, cooling towers <b>RESTART</b> . | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> cooling towers return to previous operation.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Pumps <b>MAINTAIN</b> operation. After transfer of power via open transition, pumps <b>RESTART</b> .                   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> that pumps return to previous operation.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Load is <b>MAINTAINED</b> .  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Temperatures <b>REMAIN</b> within operational range.   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| CW Flows <b>REMAIN</b> within operational range.   | <input type="checkbox"/> | <input type="checkbox"/> |          |



## INTEGRATED SYSTEMS TEST: EMERGENCY POWER

| Testing Procedures and Record   |                          |                          |          |
|---|--------------------------|--------------------------|----------|
| Sequence of Operation   | Pass                     | Fail                     | Comments |
| Loss of power alarms are <b>TRIGGERED</b> at BCS for cooling towers and pumps.                                  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>Heating Water System</b>   |                          |                          |          |
| Upon power failure, <b>VERIFY</b> that the following occurs:  |                          |                          |          |
| Boilers <b>MAINTAIN</b> operation. After transfer of power via open transition, cooling towers <b>RESTART</b> . | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> that boilers return to previous operation.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Pumps <b>MAINTAIN</b> operation. After transfer of power via open transition, pumps <b>RESTART</b> .            | <input type="checkbox"/> | <input type="checkbox"/> |          |
| <b>VERIFY</b> that pumps return to previous operation.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Load is <b>MAINTAINED</b> .   | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Temperatures <b>REMAIN</b> within operational range.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| CW Flows <b>REMAIN</b> within operational range.  | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Loss of power alarms are <b>TRIGGERED</b> at BCS for boilers and pumps.   | <input type="checkbox"/> | <input type="checkbox"/> |          |









## BUILDING EQUIPMENT SCHEDULE

The equipment schedule indicates the unique identifier, manufacturer, model number, part number, and descriptive name for each control device, hardware, and component installed.

| <b>Equipment Schedule</b> |                         |                     |                     |                    |
|---------------------------|-------------------------|---------------------|---------------------|--------------------|
| <b>ID No</b>              | <b>Descriptive Name</b> | <b>Manufacturer</b> | <b>Model Number</b> | <b>Part Number</b> |
|                           | Boiler                  |                     |                     |                    |
|                           | Chiller                 |                     |                     |                    |
|                           | Cooling Tower           |                     |                     |                    |
|                           | Water Heater            |                     |                     |                    |
|                           | Air Handling Unit       |                     |                     |                    |
|                           | Pressure Vessel         |                     |                     |                    |
|                           | Primary CW Pump         |                     |                     |                    |
|                           | Second CW Pump          |                     |                     |                    |
|                           | Primary HW Pump         |                     |                     |                    |
|                           | Second HW Pump          |                     |                     |                    |
|                           | Generator               |                     |                     |                    |

## BUILDING OCCUPANCY SCHEDULE

The occupancy schedule indicates the seasonal building start time for building equipment to reach the required building temperature and the time that equipment is set back to caretaker temperature.

| <b>Occupancy Schedule</b> |                              |                              |                               |
|---------------------------|------------------------------|------------------------------|-------------------------------|
|                           | <b>HVAC Start/Stop Times</b> | <b>Office Lighting Times</b> | <b>Comments</b>               |
| <b>Spring</b>             |                              |                              |                               |
| Sun                       |                              |                              | unoccupied                    |
| Mon                       | 0530-2200                    | 0600-2200                    | 74 deg F. 15% to 55% humidity |
| Tues                      | 0530-2200                    | 0600-2200                    | 74 deg F. 15% to 55% humidity |
| Wed                       | 0530-2200                    | 0600-2200                    | 74 deg F. 15% to 55% humidity |
| Thurs                     | 0530-2200                    | 0600-2200                    | 74 deg F. 15% to 55% humidity |
| Fri                       | 0530-2000                    | 0600-2000                    | 74 deg F. 15% to 55% humidity |
| Sat                       |                              |                              | unoccupied                    |
| <b>Summer</b>             |                              |                              |                               |
| Sun                       |                              |                              |                               |
| Mon                       |                              |                              |                               |
| Tues                      |                              |                              |                               |
| Wed                       |                              |                              |                               |
| Thurs                     |                              |                              |                               |
| Fri                       |                              |                              |                               |
| Sat                       |                              |                              |                               |

*(continued)*

| <b>Occupancy Schedule</b> |                              |                              |                 |
|---------------------------|------------------------------|------------------------------|-----------------|
|                           | <b>HVAC Start/Stop Times</b> | <b>Office Lighting Times</b> | <b>Comments</b> |
| <b>Fall</b>               |                              |                              |                 |
| Sun                       |                              |                              |                 |
| Mon                       |                              |                              |                 |
| Tues                      |                              |                              |                 |
| Wed                       |                              |                              |                 |
| Thurs                     |                              |                              |                 |
| Fri                       |                              |                              |                 |
| Sat                       |                              |                              |                 |
| <b>Winter</b>             |                              |                              |                 |
| Sun                       |                              |                              |                 |
| Mon                       |                              |                              |                 |
| Tues                      |                              |                              |                 |
| Wed                       |                              |                              |                 |
| Thurs                     |                              |                              |                 |
| Fri                       |                              |                              |                 |
| Sat                       |                              |                              |                 |





## BUILDING CONTROL NETWORK RISER DIAGRAM

The Riser Diagram for all DDC hardware and network hardware, including network terminators, shall be attached. It provides the unique identifier, common descriptive name, physical sequential order (previous and next device on the network), room identifier, and location within a room.

## SEQUENCE OF OPERATION

The Sequence of Operation is unique to each building and should be readily available to the IRT. These can be found in the as-built drawings, original project specifications, or manufacturer operating manuals. Attach a copy here.

| Sequence of Operation    |                                    |
|--------------------------|------------------------------------|
| Attached                 | Operating and Maintenance Manuals  |
| <input type="checkbox"/> | Boilers                            |
| <input type="checkbox"/> | Chillers                           |
| <input type="checkbox"/> | Cooling Towers                     |
| <input type="checkbox"/> | Domestic Hot-Water Heaters         |
| <input type="checkbox"/> | Air Handling Units                 |
| <input type="checkbox"/> | Pressure Vessels                   |
| <input type="checkbox"/> | Primary Chilled-Water Pumps        |
| <input type="checkbox"/> | Secondary Chilled-Water Pumps      |
| <input type="checkbox"/> | Primary Domestic Hot-Water Pumps   |
| <input type="checkbox"/> | Secondary Domestic Hot-Water Pumps |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |



## COMMISSIONING REPORT

The Commissioning Report is unique to each building and should be readily available to the IRT. The report includes checklists and functional test results that provide historical data that will be helpful for before and after comparison by the IRT.

## EQUIPMENT MAINTENANCE MANUALS

All equipment manufacturers supply operating manuals with their equipment. Unfortunately, many buildings do not have manuals and operating instructions available. These manuals may have either been lost or misplaced. It is the responsibility of the supervisor to obtain these publications and see that they are read, understood, and followed, and that a hard copy is available in the Building Operations Center. Collect all manuals in one location.

| Equipment Manuals        |                                    |
|--------------------------|------------------------------------|
| Available                | Operating and Maintenance Manuals  |
| <input type="checkbox"/> | Boilers                            |
| <input type="checkbox"/> | Chillers                           |
| <input type="checkbox"/> | Cooling Towers                     |
| <input type="checkbox"/> | Domestic Hot-Water Heaters         |
| <input type="checkbox"/> | Air Handling Units                 |
| <input type="checkbox"/> | Pressure Vessels                   |
| <input type="checkbox"/> | Primary Chilled-Water Pumps        |
| <input type="checkbox"/> | Secondary Chilled-Water Pumps      |
| <input type="checkbox"/> | Primary Domestic Hot-Water Pumps   |
| <input type="checkbox"/> | Secondary Domestic Hot-Water Pumps |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |
| <input type="checkbox"/> |                                    |





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