[Name of Facility or work area]

Facility Security Survey Checklist

Date of Survey: \_\_\_\_\_\_\_\_\_\_\_\_

Building/Facility Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Floor/Work Area: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Person Conducting Survey: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Instructions: Write “Yes” or “No” in the left column of each table as applicable. Answer all other questions with either descriptive answers where indicated, Yes, No, or N/A (not applicable).

Facility/Floor Plan

Is there a written facility/floor plan with a general layout of the facility?

If so, does it include:

|  |  |
| --- | --- |
|  | Exit routes? |
|  | Exterior doors and entrances? |
|  | Location(s) of security equipment? |
|  | Fire extinguishers? |
|  | Interior walls and partitions? |
|  | Fire escapes? |
|  | Exterior windows? |
|  | Interior windows and passages? |
|  | Interior doors? |
|  | Purpose or function of each room? |

Perimeter Barriers

Does a fence or other type of physical barrier define the perimeter of the facility?

Specify type and height of physical barrier:

Describe the condition of physical barriers:

|  |  |
| --- | --- |
|  |  Is perimeter barrier considered to be a security safeguard? |
|  |  Is perimeter barrier set back 20 feet (ft) or more from transit facility property boundary? |
|  |  Is perimeter barrier under surveillance at all times? |

If chain link fence is used as the perimeter barrier:

|  |  |
| --- | --- |
|  |  Is it constructed of #11 gauge or heavier wire? |
|  |  Is mesh opening no larger than 2 inches square? |
|  |  Is selvage twisted and barbed at top and bottom? |
|  |  Is bottom of fence extended into the ground? |

If masonry wall is used:

|  |  |
| --- | --- |
|  |  Is it at least 7 ft high with a top guard of barbed wire or at least 8  ft high with broken glass set on edge and cemented to the top surface? |
|  |  Do building walls, floors, or roofs form a part of the perimeter barrier? |
|  |  Are all openings properly secured? |
| NOTE: Openings, with an area of 96 square inches or greater and located less than 18 ft above the level of the ground outside the perimeter barrier or less than 14 ft from controlled structures outside the perimeter barrier, should be provided with security equivalent to that of the perimeter. |

If building forms a part of the perimeter barrier:

|  |  |
| --- | --- |
|  |  Does it present a hazard at the point of juncture with the perimeter fence? |
|  |  Does it have any doors, windows, or other openings on the perimeter side? |

If a river, lake, or other body of water forms any part of the perimeter boundary, are additional security measures provided?

Are openings, such as culverts, tunnels, manholes for sewers and utility access, and sidewalk elevators, which permit access to the facility, secured?

Describe the physical characteristics of each perimeter entrance.

Are all entrance points in perimeter barriers guarded or secured?

Are all perimeter gates of such material and installation as to provide protection equivalent to the perimeter barriers of which they are a part?

Are gates and/or other perimeter entrances that are not in active use frequently inspected by guards or other personnel?

Is the security officer responsible for security of keys to perimeter entrances?

Are keys to perimeter entrances issued to other than facility personnel such as contractor personnel?

Are all normally used pedestrian and vehicle gates and other perimeter entrances lighted so as to ensure:

|  |  |
| --- | --- |
|  |  Proper identification of individuals and examination of credentials? |
|  |  That interiors of vehicles are clearly lighted? |
|  |  That glare from luminaries is not in the guards’ eyes? |

Are appropriate signs setting forth the provisions of entry conspicuously posted at all principal entrances?

Are “No Trespassing” signs posted on or adjacent to perimeter barriers at such intervals that at least one sign is visible at any approach to the barrier for a minimum distance of 50 yards?

Are clear zones maintained on both sides of the perimeter barrier?

Are automobiles permitted to park against or close to perimeter barriers?

Are lumber, boxes, or other materials allowed to be stacked against, or in close proximity to, perimeter barriers?

Do guards patrol perimeter areas?

Do guards observe and report insecure factors related to perimeter barriers?

Is an interior all-weather perimeter road provided for the use of guard patrol cars?

If so, describe the condition of the road:

Are perimeters protected by intrusion alarm devices?

Protective Lighting

Is the perimeter of the installation protected by lighting?

Does protective lighting provide a means of continuing the same degree of protection during the hours of darkness that is available during the daylight hours?

Are the cones of illumination from lamps directed downward and away from the facility proper and away from guard personnel?

Are lights mounted to provide a strip of light both inside and outside the fence?

Is perimeter lighting used so that guards remain in comparative darkness?

Are lights checked for proper operation before darkness?

Are repairs to lights and replacement of inoperative lamps effected immediately?

Do light beams overlap to provide coverage in case a bulb burns out?

Is additional lighting provided at active gates and points of possible intrusion?

Are gate guard shacks provided with proper illumination?

Are light finishes or stripes used on lower parts of buildings and structures to aid guard observation?

Does the facility have a dependable source of power for its lighting system?

Does the facility have a dependable auxiliary source of power?

Is the protective lighting system independent of the general transit facility lighting or power system?

Is the power supply for lights adequately protected?

Is there provision for standby or emergency lighting?

Is the standby or emergency equipment tested frequently?

Is emergency equipment designed to go into operation automatically when needed?

Is wiring for protective lighting properly mounted:

|  |  |
| --- | --- |
|  |  In tamper-resistant conduits? |
|  |  Underground? |
|  |  If above ground, high enough to reduce the possibility of tampering? |

Are switches and controls properly located, controlled, and protected?

|  |  |
| --- | --- |
|  |  Are they weatherproof and tamper-resistant? |
|  |  Are they readily accessible to security personnel? |
|  |  Are they located so that they are inaccessible from outside the perimeter  barrier? |
|  |  Is there a centrally located switch to control protective lighting? |

Is adequate lighting for guard use provided on indoor routes?

Are materials and equipment in shipping and storage areas properly arranged so as not to mask security lighting?

Alarm Systems

If an alarm system is used in the facility, what detection device is used?

|  |  |
| --- | --- |
|  |  Is it a local alarm system? |
|  |  Is it a central station system?  |
|  |  Is it connected to facility guard headquarters? |
|  |  Is it connected directly to the headquarters outside the facility proper? Is it a private protection service? Police station? Fire station? |

Is the system backed up by properly trained, alert guards?

Is the alarm system for active areas of structures turned off during operational hours?

Is the system tested before activating it after nonoperational periods?

Is the alarm system inspected regularly?

Is the system tamper resistant? Weatherproof?

Is an alternate alarm system provided for use in the event of failure of the primary system?

Is an alternate or independent source of power available for use on the system in the event of a power failure?

Is the emergency power source designed to cut in and operate automatically?

Are frequent tests conducted to determine the adequacy and promptness of response to alarm signals?

Security Communication System

Is there a security communications system?

What means of communications are used?

If telephone, describe type (e.g., commercial switchboard, independent switchboard, guard use only, call boxes):

If radio, describe the code used and if authentication required:

Is security communications equipment in use capable of transmitting instructions to all key posts simultaneously?

Is the equipment in use sufficient for guard to communicate with guard headquarters with minimum delay?

Is there more than one system of security communications available for exclusive use of security personnel?

Does one of these systems have an alternate or independent source?

Is there more than one system of communications restricted to security use available for communicating with outside protective agencies?

Has the communications center been provided with adequate security safeguards?

Personnel Identification System

Is an identification (ID) card or badge used to identify all personnel within the confines of the controlled areas?

Does the identification and control system include arrangements for the following:

|  |  |
| --- | --- |
|  | Protection of coded or printed components of badges and passes? |
|  | Designation of the various areas requiring special control measures? |
|  | Controlled issue of identification media? |

Are there written procedures for the method of identification at the time of entering and leaving the controlled area, as applied to both employees and visitors?

|  |  |
| --- | --- |
|  | Details of where, when, and how ID cards shall be carried? |
|  | Procedures to be followed in case of loss or damage to identification media? |
|  | Procedure for recovery and invalidation? |

If a badge exchange system is used for any controlled area, does the system provide for:

|  |  |
| --- | --- |
|  | Comparison of badge, pass, and personnel? |
|  | Physical exchange of pass for badge at the time of entrance and exit? |
|  | Security of badges not in use? |

Are personnel who are regularly required to enter areas of varying degrees of security interest provided with special identification?

Are personnel who require infrequent access to a critical area and who have not been issued regular security identification for such area treated as “visitors” thereto, and issued either:

|  |  |
| --- | --- |
|  | A visitor’s badge or pass? |
|  | A special pass? |

Are all personnel required to wear the security identification badge while on duty?

Do guards at control points compare badges to bearers both upon entry and upon exit?

Are badges recorded and controlled by rigid accountability procedures?

Are lost badges replaced with one bearing a different number or one that is otherwise not identical to the one lost?

What are the procedures relative to lost, damaged, and/or forgotten badges?

Are rosters of lost badges posted at guard control points?

Are badges of such design and appearance as to enable guards and other personnel to recognize quickly and positively the authorizations and limitations applicable to the bearers?

Do existing procedures ensure the return of identification badges upon termination of employment?

What types of badges are issued to outside contractor employees working within the installation?

Are all phases of the system under supervision and control of a security officer?

Is there a visitor escort procedure established?

Do guards check on visitors' movements to ensure that they do not enter areas for which they do not have the required authorization?

Are visitors required to conspicuously display identification on outer garments at all times while in controlled areas?

When visitors leave the installation, are they required to turn in their identification badges?

Is the departure time in each case recorded on the visitor's register?

Are visitors who are indicating an intention to return at a later time permitted to retain their identification badges?

What procedures are invoked when visitor identification media are not turned in before departure of the visitor?

Is there a central receptionist?

If yes, specify functions:

Functions performed under supervision of security officer, if any:

Are vendors, tradesmen, utility servicemen, special equipment servicemen, etc., issued a special or distinctive type of visitor’s badge?

What measures are employed, other than the issuance of identification badges, to control the movement of personnel from other transportation companies working within the perimeter of the facility?

Is the transit security officer the responsible official for all aspects of visitor control?

Vehicle Identification and Control System

Is an effective procedure used for control of special vehicles?

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| --- | --- |
|  | Emergency vehicles? |
|  | VIP vehicles? |
|  | Special courier vehicles? |
|  | Vendor vehicles? |
|  | Vehicles with loads that are impracticable to search? |

Is there coordination between guard headquarters and the activities that handle cargo movements?

Is a regular security education program in effect?

Vehicle Control

Are vehicles that are allowed regular access to the transit registered with the security officer?

Have definite procedures been established for the registration of private cars?

Do the vehicle registration provisions apply also to motor vehicles owned or operated by employees of any individual firm, corporation, or contractor engaged in activities at the transit facility and individuals, partnerships, or other business concerns whose business activities require daily or frequent use of their vehicles at the transit facility?

Is annual registration provided for?

Are registration tags affixed to all registered vehicles?

Do the controls for registration tags include:

|  |  |
| --- | --- |
|  | Prohibition against transfer of registration tags for use with a vehicle other than the one for which originally issued? |
|  | Replacement of lost tags at the registrant's expense? |
|  | Return of tags to the security officer when a vehicle is no longer authorized entry into the facility? |
|  | Destruction of invalidated decalcomania? |
|  | Whether the security section is notified when an employee leaves for over 30 days? |

What is the nature and scope of registration records maintained by the security officer?

Do private gate guards make periodic checks to ensure that vehicles are operated on the premises only by properly licensed persons?

Is a definite system used to control the movement of commercial trucks and other goods conveyances into and out of the most secure areas of the transit facility?

Are loading and unloading platforms located outside transit operations and separated there/ from/by controlled and guard-supervised entrances?

Are all trucks and other conveyances required to enter through service gates manned by guards?

If trucks are permitted direct access to the transit maintenance or administrative facility, are truck drivers and vehicle contents carefully examined?

Does the check at entrances cover both incoming and outgoing vehicles?

Are truck registers maintained?

Are registers maintained on all company vehicles entering and leaving the facility?

Does the supervision of loading and unloading operations ensure that unauthorized goods or people do not enter or leave the installation via trucks or other conveyances?

Are temporary tags issued to visitors’ vehicles?

Are automobiles allowed to be parked within 50 ft of major transit facilities and stations?

Are parking lots provided?

Are interior parking areas located away from sensitive points?

Are interior parking areas fenced so that occupants of automobiles must pass through a pedestrian gate when entering or leaving the working area?

Are separate parking areas provided for visitors’ vehicles?

What is the extent of guard surveillance over interior parking areas?

Are there restrictions against employees entering parking areas during duty hours?

Are automobiles allowed to park so close to buildings or structures that they would be a fire threat or obstruct firefighters?

Are automobiles permitted to be parked close to controlled area fences?

Are parking facilities adequate?

Lock and Key Security

Has a key control official been appointed (normally a security officer)?

Are locks and keys to all buildings and entrances supervised and controlled by a key control official?

Does the key control official have overall authority and responsibility for issuance and replacement of locks and keys?

Are keys issued only to authorized personnel?

Are keys issued to other than transit personnel?

Is the removal of keys from the premises prohibited?

Are keys not in use maintained to indicate:

|  |  |
| --- | --- |
|  | Buildings and/or entrances for which keys are issued? |
|  | Number and identification of keys issued? |
|  | Location and number of master keys? |
|  | Location and number of duplicate keys? |
|  | Issue and turn-in of keys? |
|  | Location of locks and keys held in reserve? |

Are locks changed immediately upon loss or theft of keys?

If master keys are used, are they devoid of markings identifying them as such?

Are losses or thefts of keys promptly investigated by the key control personnel?

Must all requests for reproduction or duplication of keys be approved by the key control official?

Are locks on inactive gates and storage facilities under seal? Are they checked periodically by guard personnel?

Are padlocks rotated within the installation at least semiannually?

Where applicable, is manufacturer’s serial number obliterated on combination locks?

Guard Services

Is a guard force provided?

Indicate authorized and actual strength, broken down by positions.

Is present guard force strength commensurate with degree of security protection required?

Is use of guard forces reviewed periodically to ascertain effective and economical use?

Is supervisory responsibility for guard force operations vested in the security officer?

Is a guard headquarters area provided?

Does the guard headquarters area contain control equipment and instruments of all alarm, warning, and guard communications systems?

Are guards familiar with communications equipment used?

Does guard headquarters have direct communication with local municipal fire and police headquarters?

Are guards armed while on duty, and if so, with what type of weapon?

Are the weapons kept in arms racks and adequately secured when not in use?

Are ammunition supplies properly secured and issued only for authorized purposes?

Is each member of the guard force required to complete a course of basic training?

Are the subjects included in the various training courses adequate?

Does the training cover:

|  |  |
| --- | --- |
|  | Care and use of weapons? |
|  | Common forms of pilferage, theft, and sabotage activity? |
|  | Types of bombs and explosives? |
|  | Orientation on the facility, with emphasis on controlled and vulnerable areas? |
|  | Location of hazardous materials and processes? |
|  | Location and use of fire protective equipment, including sprinkler control valves? |
|  | Proper methods of search? |
|  | Observation and description? |
|  | Patrol work? |
|  | Supervision of visitors? |
|  | Preparation of written reports? |
|  | Location and operation of all important steam and gas valves and main electrical switches? |
|  | Conditions that may cause fire and explosions? |
|  | Location and use of first-aid equipment? |
|  | Duties in the event of fire, explosion, natural disaster, civil disturbance, blackout, or air raid? |
|  | Use of communications system? |
|  | General and special guard orders? |
|  | Authority to use force, conduct searches, and arrest or apprehend? |

Are activities of the guard force consistent with established policy?

Is supervision of the guard force adequate?

Are general and special orders properly posted?

Are guard orders reviewed periodically to ensure applicability?

Are periodic inspections and examinations conducted to determine the degree of understanding and compliance with all guard orders?

Do physical, functional, or other changes at the transit agency indicate the necessity for or feasibility of:

|  |  |
| --- | --- |
|  | Establishing additional guard posts? |
|  | Discontinuing any existing posts or patrols? |

Is two-way radio equipment installed on all guard patrol cars?

Are duties other than those related to security performed by guard personnel?

Other Plans and Programs

Are the following related safety and health plans and programs in place and functional (check those that are applicable):

|  |  |
| --- | --- |
|  | Emergency Action Plan or Evacuation Plan? |
|  | Fire Prevention Plan? |
|  | Disaster Recovery/Business Continuity Plan? |
|  | Pandemic Flu Plan? |
|  | Workplace Violence Plan? |
|  | Drug or Substance Abuse Plan? |
|  |  |
|  |  |