

**Security Policies/Procedures/Incident Occurrence Reporting**  
**Client No. XXXX**

- A. Are there written Security Policies and Procedures?  
No.....  
Yes.....  
N/A.....
  
- A.1 If Yes, what do they contain? (Obtain a copy if possible or record the salient features).  
N/A
  
- A.2 Where are these documents kept?  
N/A
  
- A.3 Are they accessible to everyone?  
N/A
  
- A.3.1 If Yes, how do they get access?  
N/A
  
- A.4 Who do these documents apply to?  
N/A
  
- A.5 How are the employees trained?  
There is no training program
  
- A.5.1 How often are they trained?  
N/A
  
- A.6 Are training records accessible?  
No.....  
Yes.....  
N/A.....
  
- A.7 How are the policies enforced?  
N/A
  
- B. Does the water utility have a written ID badge policy?  
Yes, use Pasco International access control system
  
- B.1 How are the employees trained?  
N/A - no training

- B.2 How often are they trained?  
N/A
- B.3 How are the policies enforced?  
N/A
- B.4 What is the policy for forgotten badges?  
Employees are issued a temporary badge
- B.5 What is the policy for lost badges?  
Employee's badge is canceled and a new badge is issued
- B.6 What type(s) of access control (site and/or building) systems are used?  
All perimeter doors to the Water Treatment Plant are supposed to be locked 24/7. Major access doors are controlled via proximity card reader - other doors have mechanical locks. Doors to all other facilities have mechanical locks (excluding the Romaine Meter House which has electronic access control)
- B.6.1 Where is electronic access control operational?  
Water Treatment Plant
- B.6.2 Are PIN's used?  
No, N/A
- B.6.3 Do all employees have access to all facilities?  
Yes
- B.6.4 Is there a key control policy?  
No - only the manager at the Water Treatment Plant has keys, all other employees use the same "key ring"
- B.6.4.1 If Yes, how is it enforced?  
N/A
- C. Are background checks performed on employees?  
No
- C.1 If Yes, how detailed?  
N/A
- C.2 How often updated?  
N/A
- C.3 Are periodic/random drug and alcohol screenings conducted?  
No

- C.3.1 If Yes, describe.  
N/A
  
- D. Do other organizations share any of the water utility's facilities?  
No
  
- D.1 If Yes, how are they controlled?  
N/A
  
- E. Are there exit procedures for employees leaving (ending employment)?  
No
  
- E.1 If Yes, how detailed?  
N/A
  
- E.2 Are there written procedures? If Yes, obtain a copy.  
N/A
  
- E.2.1 Are keys required to be turned in?  
Yes
  
- E.2.2 Are badges required to be turned in?  
Yes
  
- E.2.3 Are the electronic access badges automatically disabled?  
Yes
  
- F. Does the water utility have a response (guard) force?  
No
  
- F.1 If Yes, is it contract or direct?  
N/A
  
- F.2 How is the guard force trained?  
N/A
  
- F.3 Is the guard force armed?  
N/A
  
- F.3.1 Is there a policy on lethal force?  
No
  
- F.4 Does the guard force conduct regular rounds or random patrols?  
N/A - No guard force
  
- F.5 How do the operators and guards interact?  
N/A

- F.5.1 Is there any joint training?  
N/A
- F.6 Who monitors the security alarms?  
The head end monitoring equipment is located in the Project Manager's office in the Water Treatment Plant - the office is closed and locked at night
- F.6.1 What are the response procedures to security alarms?  
The perimeter door in alarm is confirmed, and checked and nearby cameras are reviewed
- F.6.1.1 Are the alarms logged?  
No
- F.6.1.2 Do the logs contain dispositions of each event?  
Identifies the door in alarm - alarm history is maintained on disk and print out
- F.6.2 What is the nuisance alarm rate?  
Virtually zero
- F6.2.1 Is the nuisance alarm rate within acceptable limits?  
Yes
- F.7 Are alarms turned off during normal business hours?  
No, alarms are on 24/7
- F.8 Do any of the alarms automatically alert outside parties?  
Only duress alarms are monitored by King Central monitoring service
- F.8.1 Does the alarm system operate through the SCADA system?  
No, no SCADA system
- F.8.2 How are SCADA operators trained on security?  
N/A
- F.9 Are there duress alarms?  
Yes, wireless
- F.9.1 Where and what happens?  
Duress alarms are monitored by King Central monitoring service. When they receive an alarm they contact the local police
- G. What are the policies for confronting unknown visitors accessing the site/facility?  
None

- G.1 What is the guard's response?  
N/A
- G.2 What is the employee's response?  
N/A - no written policy
- G.3 Is anyone notified before the guards or other employees confront unknown visitors?  
N/A - no written policy
- H. How does the water utility deal with contractors?  
The contractor's drivers license is checked, they sign in upon arrival and are escorted - most work areas are surveilled by cameras
- H.1 Are there captive contractors - janitorial, maintenance, etc?  
No, but the security installation company has card (card reader) access
- H.1.1 Are background checks done on captive contractors?  
No
- H.1.2 How often are captive contractors trained on security policies and procedures?  
N/A
- H.1.3 What are the captive contractors requirements for site access?  
They are escorted in and the work area is under general surveillance
- H.2 How is access controlled for construction and/or other contractors?  
They are escorted in and the work area is under general surveillance
- H.2.1 Are background checks conducted on construction and/or other contractors?  
No
- H.2.2 How often are these types of contractors trained on security policies and procedures?  
N/A - they are not trained
- H.2.3 What are the types of contractors requirements for site/facility access?  
Cursory background check or long history doing work for United Water Management and Services
- I. How does the water utility deal with vendors?  
They are escorted
- I.1 How is vendor access controlled?  
Few vendors visit the site - if they visit, they are escorted

- J. How does the water utility handle chemical deliveries?  
The delivery company must call 24 hr before delivery, send fax with photo/license - upon arrival at delivery gate the driver is escorted in to the chemical loading area - a sample is taken before pump-in begins
- J.1 Are the chemicals checked before unloading?  
Samples are taken (checked for specific gravity) before unloading - there are no written procedures for chemical deliveries
- J.2 Are there restricted delivery hours?  
Yes, 7:00 am to 2:00 pm
- K. How does the water utility deal with visitors?  
Virtually no visitors
- K.1 Does the water utility give tours?  
No
- K.2 How is visitor vehicular traffic controlled?  
Must park in designated parking area
- K.2.1 Are random searches conducted on visitors?  
No
- K.2.2 Are car decals used?  
No
- L. Does the water utility have an Incident Command System?  
Yes
- L.1 If Yes, obtain a copy or record the salient features.  
See copy of table of contents of 24-Hour Hazardous Materials Program and the Emergency Response Plan
- L.1.1 Is there information on responding to terrorism events?  
No
- L.2 Has any training been done with any other emergency service provider?  
Yes, Parsippany Township - training is conducted on-site
- L.3 Provide a brief description of current emergency response plans (ERP).  
See copy of the Emergency Response Plan Table of Contents
- L3.1 Is any training provided for ERP?  
Some Hazmat for all employees

- L3.1.1 Is there any training documentation available? If Yes, obtain a copy.  
Yes, see copy of the Emergency Response Plan Table of Contents
- L.3.2 How is the ERP information communicated?  
Copies are available at the Water Treatment Plant Control Room and conference/  
library room
- M. Is there any written agreement in place with local law enforcement?  
No, only long term oral understanding
- M.1 What is the typical response time?  
2 - 4 minutes at the Water Treatment Plant/Dam area
- M.2 What types of response teams respond?  
Parsippany Emergency Medical, Hazmat, and Fire Units, and the State DEP
- M.2.1 How many response teams are trained in the water utility security procedures?  
Parsippany Emergency Medical, Hazmat, and Fire Units, and the State DEP
- N. Is there incident reporting?  
Yes - forms are available, however, only one incident occurred in the last 25 years
- N.1 Are there unusual occurrence reporting system(s)?  
No
- N.2 How long have they been operational?  
N/A
- N.2.1 Who reviews these reports?  
N/A
- N.2.2 What action is taken to the response, if any?  
N/A
- N.2.3 Is data from incident reporting trended in any way?  
N/A
- N.3 Do the guards keep a log?  
N/A
- N.4 Do the operators keep a log?  
Yes
- N.5 What types of incidents have occurred in the past?  
One incident in the last 25 years - there was a call from the local police about an  
escaped mental asylum patient

- N.5.1 Vandalism?  
One incident in the last 25 years - two meters at a meter house were smashed in 1979
- N.5.2 Threats?  
None
- N.5.3 Intrusion?  
None
- N5.4 Hacking?  
None
- N.5.5 Is there a theft problem?  
No
- N.6 What types of employee incidents have occurred?  
One employee cut the automobile tires of another employee in 1995
- N.7 How does the water utility characterize the management/union relationship?  
Uneventful

Client: XXXX

Interviewer: XXXXX XXXXXXXX

Facilitator: XXXXXX XXXXXX