

## WORKBOOK 11.1: POLICIES AND PROCEDURES OVERVIEW



**Purpose:** To provide information about and examples of policies and procedures

### Need for Policies and Procedures

*Table 1: Policy and Procedure Development Guidelines* offers some examples of areas that require a specific written policy. For each of the reasons a policy might be necessary, the table lists examples of policies you should develop to meet the need.

**Table 1: Policy and Procedure Development Guidelines**

Reasons for Policies	Guidelines
Actions of employees indicate confusion about the most appropriate way to behave	Establish clear policy that states: <ul style="list-style-type: none"> <li>▪ Dress code requirements</li> <li>▪ Code of conduct</li> </ul>
There is a lack of guidance about the most suitable way to handle various situations	Create suitable guidance that includes: <ul style="list-style-type: none"> <li>▪ Standards of conduct issues</li> <li>▪ Emergency response</li> <li>▪ Use of force</li> <li>▪ Qualifications</li> </ul>
The critical infrastructure is not in compliance with governmental policies and laws	<ul style="list-style-type: none"> <li>▪ Maintain compliance with policies that outline specific government requirements</li> <li>▪ Audit against those requirements</li> </ul>
There are inconsistent work standards, rules, and regulations	Create consistent work standards, rules, and regulations such as: <ul style="list-style-type: none"> <li>▪ Progressive discipline (such as process of using increasingly severe steps when employee fails to correct a problem such as counseling, verbal reprimand, written warning, escalating number of days employee is suspended, termination)</li> <li>▪ Safety rules</li> <li>▪ Security rules</li> </ul>
The security force response is inconsistent, there is a need to ensure security technologies are functioning appropriately, or there is a need to make certain that policies and procedures are developed to provide guidance and direction	Create policies that: <ul style="list-style-type: none"> <li>▪ Dictate response times to incident locations, with specified number of personnel</li> <li>▪ Require preventive maintenance checks of security technologies</li> </ul>

## Characteristics of Policies and Procedures

*Table 2: Characteristics of Policies and Procedures* provides information about the distinctions between policies and procedures.

**Table 2: Characteristics of Policies and Procedures**

<b>Policies</b>	<b>Procedures</b>
General guidance	Specific tasks, steps, processes
Explains why policy exists	Explains when to take action
Tells when the rule applies	Describes alternatives
Describes who policy covers	Identifies roles and responsibilities of personnel; for example, procedures would identify the required tasks for security force during emergency procedures
Lists the consequences	How consequences will be enforced (disciplinary actions that should be expected)
Describes consequences	Gives examples of consequences
Simple narrative sentences and paragraphs	Normally written in outline format

## Policies and Procedures Review

*Table 3: Policies and Procedures Review* provides a summary of the policies and procedures that an organization should regularly review and update.

**Table 3: Policy and Procedures Review**

Policy Area	Applicable Procedures
Perimeter barriers	<ul style="list-style-type: none"> <li>▪ Checking the integrity of the barrier periodically</li> <li>▪ Checking for vegetation or other types of over growth on the barrier</li> <li>▪ Checking for barbed wire outriggers on fences to ensure they are tight</li> </ul>
Lighting	<ul style="list-style-type: none"> <li>▪ Checking areas (parking lots, walkways, and loading zones) to ensure appropriate lighting is used</li> <li>▪ Checking the lighting required by closed-circuit television to ensure appropriate lights levels are available</li> </ul>
Intruder detection systems	<ul style="list-style-type: none"> <li>▪ Periodically checking each system to ensure it functions appropriately</li> <li>▪ Periodically validating that intruder detection systems report an alarm to the security control center</li> </ul>
Closed-circuit television	<ul style="list-style-type: none"> <li>▪ Periodically checking each closed-circuit television unit to ensure it functions appropriately</li> <li>▪ Periodically checking the lighting available for the closed-circuit television units to ensure the picture seen is clear and free of electronic interference</li> <li>▪ Checking the monitors to ensure they are working properly and video data recording as required</li> </ul>
Access control systems	<ul style="list-style-type: none"> <li>▪ Checking each access control system (card readers, biometrics, and electronic swipe cards) to ensure they are properly functioning</li> <li>▪ Checking badges to ensure the integrity of the badge has not been compromised</li> <li>▪ Check the data information systems for access control to ensure that all personnel who are issued badges are currently authorized to possess a badge for the critical infrastructure</li> </ul>
Security force officers	<ul style="list-style-type: none"> <li>▪ Checking badges</li> <li>▪ Conducting vehicle searches</li> <li>▪ Processing visitors to the critical infrastructure</li> <li>▪ Conducting patrol operations around the facility</li> <li>▪ Reporting unusual occurrences</li> </ul>

Policy Area	Applicable Procedures
Lock and key control	<ul style="list-style-type: none"><li>▪ Checking out keys that are in security control center</li><li>▪ Annotating in the logbook missing and lost keys</li><li>▪ Checking the identification of anyone who has requested a key for temporary use</li></ul>
Secure asset locations	<ul style="list-style-type: none"><li>▪ Determining frequency and manner in which security patrols are conducted in secure asset locations</li><li>▪ Ensuring special procedures for entry, to include visitor access, and checking personnel for contraband items, such as cameras and recording devices</li></ul>