

Standard Operating Procedures in Security Management: A helicopter view

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Presentation Overview

- The big picture – why standardize procedures?
- Standard Operating Procedures defined
- Content Overview and Example
- Sample Outlines for various business types
- Key Elements to Cover
- How to Develop
- Keeping them up over time
 - Who should be involved
 - When should it be done
 - What are the ramifications if not done well
- What are the benefits of doing it right



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The big picture – why standardize procedures?



- Ever had an employee call in sick and performance suffers?
- Ever been caught off guard by events you thought were managed or maintained by others?
- Ever been sued or paid damages for failure to provide the expected service level?
- Why do some teams excel and others do not, when it appears they are equally staffed with talented people?
- When crises strikes, are you prepared, do your employees know their roles and expectations?
- If you expect routine activities to be executed uniformly, you need to write down your expectations, and formalize the desired outcome in Standard Operating Procedures.



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Top 10 reasons to Write Standard Operating Procedures*



1. To provide people with all the safety, health, environmental and operational information necessary to perform a job properly.
2. To ensure that security operations are performed consistently to maintain quality control of processes and products.
3. To ensure that business processes continue uninterrupted and are completed on a prescribed schedule..
4. To ensure that no failures occur in manufacturing and other business processes that would harm anyone in the surrounding community.
5. To ensure that approved procedures are followed in compliance with company and government regulations.

* adapted from Kenneth Fleischman Ph.D., Ten Reasons for Writing Standard Operating Procedures (SOPs), Lehigh University, PA.



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Top 10 reasons to Write Standard Operating Procedures (continued)

6. To serve as a training document for teaching users about the process for which the SOP was written.
7. To serve as a checklist for co-workers who observe job performance to reinforce proper performance.
8. To serve as a checklist for auditors.
9. To serve as an historical record of the how, why and when of steps in an existing process so there is a factual basis (not hearsay) for revising those steps when a process or equipment are changed.
10. To serve as an explanation of steps in a process so they can be reviewed in accident investigations.



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Benefits of Identifying SOPs



- Standards procedures establish uniformity
- Describe preferred methods or technology
- Identify industry standards, where possible
- Set minimum requirements for compliance
- Set performance expectation
- Identify escalation and incident reporting procedures
- Reduce your liability when followed



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Elements of Standard Operating Procedures (SOPs)



- Defined by topic or procedure
- Directed at operating level
- Provides detailed instructions
 - Defines procedure for routine activity or situation
 - Procedure outlines intent and policy
 - Establish expectations of management and employees
 - Outlines the recommended training for employee awareness of policy and procedure
- Describes physical aspects
 - Identifies resources required to complete the procedure
 - May provide other background information such as case studies, regulations, codes, or compliance standards
- Specifies actions
 - Provides procedures for handling potential situations
- Identifies compliance expectations and testing procedure



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Typical SOP Content Outline



- Title
- Date with revision numbers, if any
- Department or Division Issuing SOP
- Brief introduction on the purpose of particular SOP
- Concise Scope of Work Statement on Policy and Standards of Care
- Set Policy Jurisdiction / Department and impacted stakeholders
- Designate SOP inspection and enforcement by _____.
- Handling potential situations envisioned by policy
- Forms and tools required for implementation of policy
- Training expectation and materials
- Addendum with Terms, Definitions, other technical data if needed
- Periodic evaluation and policy updating



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Sample SOP Outlines for a diversity of security purposes and business cases



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Sample SOP, Public Housing Authority Security Department






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Sample SOP
Continued



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Sample SOP
Continued



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Sample SOP Continued



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Example from Security Systems Integration: SOP for Alarm Management Procedures



Source: Dave Patterson, CPP,
Vice Chairman, ASIS Physical
Security Council; and Steele 2/01

- Alarm point definition
 - Risk analysis
 - Identify doors/windows, etc
 - Time definitions
- Define CCTV interfaces.
- Develop response procedures
 - Type of alarm (e.g.)
 - Forced open
 - Held open
 - Propped open
 - Failed to secure
 - Invalid card read
 - Invalid ID
 - Access level violation
 - Actions



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Response Procedure Example

Alarm location – main entrance door

Time – 7:00 PM to 7:00 AM, 7 days a week

Priority – high

Alarm type – door forced open

Actions:

- View current image of camera 2 on alarm monitor
- View pre-alarm image from camera 2 on alarm monitor
- If suspicious activity dispatch patrol officer
- Acknowledge alarm on access control system
- Enter response in action window



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Alarm Mitigation Procedures

- Identify nuisance alarms
 - Examine alarm history
 - Correlate time and location
 - Classify alarms
 - Compare months
- Adjust shunt times according to patterns
- Provide signage
- Adjust patrol times and duties
- Preventive maintenance



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What if you have no written policy

1. Commit to get a Standard Operating Procedure as it will protect you, your firm, and your customers
2. If you have conventional business practices that seem to be working for you, document them, use Forensic Examination of Past Practice to document the heretofore unwritten policies
3. Check with your industry trade association for models suited to your industry.
4. Consult with your attorney and review any applicable regulatory requirements that should be included in your policy.
5. Prepare your draft SOP, review it, send it to your policy team for review, and adopt it.
6. Train your staff on how to use the SOP and the written policy
7. Routine inspect what you expect.
8. Lastly, update as necessary, but no less than once per year.



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How to Develop SOPs



- Plan
- First draft
- Internal review
- External review
- Testing
- Post
- Train
- Update

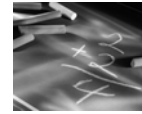


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Writing Style of SOPs



- Clear and concise—getting directly to the point and avoiding wordy sentences. Standard operating procedures should be communicated in the fewest possible words, phrases, and paragraphs.
- Complete—containing all the necessary information to perform the procedure,
- Objective—containing facts, not opinions, and
- Coherent—showing a logical thought process and sequentially listing all steps necessary to complete the procedure.

Source: Wayne Chaneski, *Competing Ideas: Writing Standard Operating Procedures*.



Update the SOP

- Periodically review policies and procedures
- Revise and adapt to changes
- Align rewards and consequences
- Periodically retrain
- Set up compliance teams to test



Who should be involved in Writing SOPs

- SOPs should be written by teams that include some or all of the following people:
 - those who will perform the job
 - those who will perform maintenance on equipment involved in an SOP
 - engineers or others who design equipment and processes
 - technical writers
 - safety personnel
 - environmental personnel
 - equipment manufacturers



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What are the ramifications if SOPs are not prepared sufficiently

- Inconsistent service
- Unknown response
- Reputation risk
- \$ profit loss through untrained employees
- \$ potential claim for failure to protect
- \$ potential claim for failure to secure
- \$\$\$\$ many other cost factors



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What are the benefits of doing it right

- You are prepared
- “You can sleep when the wind blows”
- When crises strikes, you have a game plan
- Reduced liabilities
- Increased profits from lower shrink, fraud, waste and abuse.
- Promotion to your next level of responsibility



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Some common Standard Operating Procedures found in Physical Security

- | | |
|----------------------------------|---------------------------------|
| ■ Personnel management | ■ Emergency card disabling |
| ■ Key Control | ■ Emergency response |
| ■ Key-override | ■ Disaster recovery |
| ■ Privileged card-holder | ■ Vandalism |
| ■ Employee access rights | ■ Trouble-shooting-the-system |
| ■ Forgotten ID cards | ■ System malfunctions |
| ■ Access violations | ■ Escalation |
| ■ Visitors | ■ Employee information handling |
| ■ Alarm management | ■ Handling unruly persons |
| ■ Lock-out | ■ Workplace violence |
| ■ Routine lost cards replacement | ■ Reporting and record-keeping |
| ■ CCTV monitoring | |
| ■ Parking | |

Source: Adapted from Dave Patterson, CPP, Vice
Chairman, ASIS Physical Security Council; and Steele 2/01




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Template for SOP Preparation

Anywhere Security Department – SOP 04/23/07

 The premiere security advisor to CSOs and their direct reports	Anywhere Security Department Standard Operating Procedures	Procedure #: N.N.N
	Date: [DATE]	Title: [TITLE]

1. Purpose
2. Applicability
3. Policies
4. Responsibilities
5. Procedures
6. Training
7. Enforcement
8. Appendices



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