

Internal Loss Controls Security Survey

Confidential Document

Organization Name: _____
Address: _____
City: _____ State _____ Zip _____
Contact Person: _____

Conducted by:
Name: _____
Agency: _____
Date: _____

S = Satisfactory U = Unsatisfactory NA = Not Applicable

Note: Items checked as "U" are referenced at end of report with recommendations for improvement.

- | | S | U | NA |
|---|--------------------------|--------------------------|--------------------------|
| 1. Key Control | | | |
| A. Keys are issued only on the basis of need - not convenience | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B. The key issuance policy is reevaluated at least annually | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C. Records of when and to whom each key is issued are maintained by a responsible supervisor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D. Un-issued keys are marked, inventoried daily and stored in a secure key box overseen by the same supervisor responsible for issuance | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| E. One official is responsible for compliance of all of these policies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Personnel Screening | | | |
| A. Employment applications of all personnel are checked for truthfulness by contacting references or former employers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B. Employees in positions of extreme trust such as money handling, accounting or shipping/receiving are required to be bonded | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

	<u>S</u>	<u>U</u>	<u>NA</u>
3. Personnel Access Control			
A. Employees:			
1. All employees assigned specific work and break areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. All employees assigned specific entrances and parking areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Employees have and wear identification cards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. All restricted areas within the facility are clearly marked by signs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. One supervisor in each work area, who in turn reports to one overall authority, accountable for compliance by all employees of access control policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Visitors - Facilities Other Than Retail and Service:			
1. All visitors, other than delivery drivers, directed to a controlled lobby/reception area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. All delivery drivers are directed to report to the loading dock and stay with their load	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. All visitors are restricted from moving about within the facility without escort	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. One specific supervisor at each area of the facility responsible for compliance with these policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>S</u>	<u>U</u>	<u>NA</u>
C. Visitors - Retail and Service Facilities:			
1. All areas, not open to customers or clients, identified by signs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Sufficient employees available at all times to monitor and service customers and clients at front entrance			
3. Enough supervisors stationed in the areas servicing customers or clients at all times to insure compliance with all policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Employee Personal Property			
A. Lockers or other secure places provided for safekeeping of employee property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. If employees use their own tools or equipment on the job, procedures and locations for its safekeeping are established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Employees are appraised upon hiring that their lockers and desks are subject to inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Rules and policies regarding private property posted in break areas and enforced by a responsible supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Shipping and Receiving			
A. One person is responsible for insuring that all material delivered to the loading dock or receiving door is inventoried against bills of lading, in the presence of the delivery driver, before signing for it	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. The same person is responsible for insuring that the delivered material is received at the appropriate area of the facility and that person again inventories the material against an in-house requisition form in the presence of a responsible person before signing it over	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. The person who received the material is responsible for insuring that it is stored in a secure storage area or immediately distributed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<u>S</u>	<u>U</u>	<u>NA</u>
D. Periodic checks are made, by the person responsible for storing and distribution, against the inventory lists to insure that materials are in the specified locations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. The same procedures are followed in reverse order as material moves back from various points of the facility through the shipping system to the loading dock or shipping door	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. All boxes and crates are labeled to indicate contents and destination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. All employee packages (incoming and outgoing) are inspected by a responsible supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. All trash containers are checked periodically by a responsible supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Empty boxes and crates are routinely crushed before disposal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
J. One official is responsible for insuring compliance of all policies in this section	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>S</u>	<u>U</u>	<u>NA</u>
6. Machinery, Office Equipment and Tools			
A. Complete and accurate inventory lists of all company owned tools, machinery and office equipment available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Each supervisor is responsible for a quarterly inventory of all tools , machinery and equipment assigned for the use of his/her personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. There is a sign-out procedure for tools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Are serial numbers of all equipment including large machinery and vehicles recorded and stored in a secure location	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. A company logo or some distinctive marking is on every piece of company property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Documentation is in place for employees to sign out company tools for private use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Operation Identification is practiced	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. One company official is responsible for enforcing all of these policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Accounting Procedures			
A. Are accounts receivable and accounts payable handled by different individuals - or is all paperwork checked by a responsible supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Are all possible transactions handled by check to limit cash on hand	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Are all company issued checks recorded immediately by number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Are check blanks secured in a safe and issued by a supervisor as needed - in numerical order	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Are incoming checks immediately stamped "For Deposit Only"	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Are all canceled company checks compared to records of company expenditures to assure that no checks have been falsely issued or altered	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Is a list of authorized signatures maintained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Are money handling areas restricted to essential personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | |
|---|--------------------------|--------------------------|--------------------------|
| I. Are bank deposits made by courier service - or at random by a rotating detail of employees | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <u>S</u> | <u>U</u> | <u>NA</u> |
| J. If cash drawers or tills are used - is only one employee assigned to use each individual drawer | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| K. Is the opening operating "bank" and closing total counted - in the secure money handling area - by a supervisor in the presence of the cashier | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| L. Is a register tape or some transaction record compared with the cash total | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| M. Are credit card transactions handled in accordance with the card issuer's policies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| N. Is one official responsible for insuring compliance with all policies in this section | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

S U NA

8. Employee Training

- | | | | |
|---|--------------------------|--------------------------|--------------------------|
| A. Are new employee orientations, and periodic training sessions held to explain company security policies and procedures | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|--------------------------|

9. Emergency Planning

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| A. Have fire and civil defense authorities assisted in the formulation of an evacuation and disaster plan for this facility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| B. Are all fire extinguishers and emergency equipment checked at required intervals | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| C. Are company persons to be notified in case of emergency listed with security personnel and with the local police department | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D. Is this list reviewed annually by a position responsible (not person) for updating to account for employee changes | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| E. Is one official responsible for compliance with all these policies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

NOTE: Survey recommendations, if implemented, should substantially reduce a criminal opportunity but are not to be construed as a guarantee that a crime will not occur on the premises.

Additional security issues not included on this form but observed during survey should be included as a part of this survey.

ITEM #

RECOMMENDATIONS: (add photos and pages as needed)

