

ATTACHMENT A-1



Austin Water Utility

FACILITY SECURITY PROCEDURE FOR CONTRACTORS

SP-1070

**Austin Water Utility
Water and Wastewater Treatment Plants,
Water Pump Stations and Reservoirs, and Lift Stations
Service Centers and Administration Buildings**

Facility Security Procedure for Contractors

SP-1070

Revision Record

Version	Date	Description- Affected Pages	Approved By
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1 SECURITY POLICY

Paramount to the Austin Water Utility is:

- The production and delivery of adequate supply of safe drinking water to all customers
- Uninterrupted collection of wastewater, without spills, and
- Adequate processing of wastewater to safely return to the environment.

The Utility shall provide high quality physical security at all its facilities and shall initiate, implement, enforce, and update as needed, specific rules and procedures to protect property, personnel, equipment, and material against unauthorized entry, trespass, damage, sabotage, or other acts that might threaten the security of essential facilities, the quality of the drinking water, or the quality of treated wastewater.

2 SECURITY PROCEDURE

2.1 PURPOSE

The purpose of this Procedure is to provide Contractors and Subcontractors with standard operating methods, directives and instructions in accordance with the Utility's mission to protect its assets.

2.2 SECURITY PROCEDURE MAINTENANCE

The maintenance and updating of this Facility Security Procedure is the responsibility of the Security Manager with input from the Treatment Program Division Managers and Facilities Management.

This Facility Security Procedure will be reviewed and updated at least yearly. A record of all revisions will be maintained at the front of all copies.

2.3 RESTRICTED AREA ACCESS POLICY

2.3.1 Unescorted Access

Unescorted access is granted to those individuals that have completed the "Application for Authorization to Enter Secured Austin Water Utility Facilities" (Appendix B) and clear the background security check. An Austin Water Utility technology badge or badge decal will be issued.

2.3.2 Escorted Access

Escorted access is allowed provided an Austin Water Utility employee, a City employee representing the Utility or the Contractor provides the escort. (The Contractor must have valid unescorted access to the site.) The "Application for Authorization to Enter Secured Austin Water Utility Facilities" (Appendix B) must be submitted at least **five (5) working days** prior to the first day that employee is to work on the secured site to allow for adequate review.

The exception to submitting Appendix B for unescorted access is for those that will be on site for a short period of time, usually under one hour, such as deliver drivers. All others on site must complete Appendix B and have an escort.

2.4 CONTRACTOR'S BASIC SECURITY RESPONSIBILITIES

2.4.1 Read-and-Follow Requirement

All Contractors and Subcontractors shall read and follow this Procedure. The Contractor's Project Manager and Site Superintendent, and all Subcontractors' on-site Supervisors will be required to sign the "" (Appendix A)

attesting to the fact that they have read and understood this Procedure. The “Contractor’s Acknowledgement” signed by the Contractor’s Project Manager and Site Superintendent shall be delivered to the Utility at the Pre-construction Conference, and before any access is permitted to the work site. The “Contractor’s Acknowledgement” signed by the Subcontractors’ Project Managers and Site Supervisors will be delivered to the Utility at least **two (2) weeks** before the Subcontractor requires access to the site.

All Contractor’s and Subcontractors’ employees are expected to be thoroughly knowledgeable in the contents of this Procedure. Contractors and Subcontractors shall instruct their employees on the provisions and requirements of this procedure and shall emphasize the importance of their compliance. Any person’s failure to follow any of the provisions or requirements of this Procedure shall be considered sufficient grounds for their immediate removal from the job site and loss of access privileges.

2.4.2 Basic Security Functions

The basic security functions of Contractors and Subcontractors shall center on the protection of water and wastewater quality, personnel, and the Utility’s and Contractors’ property. These basic functions will involve securing and monitoring the project site, controlling access, preventing unlawful entry, unlocking and locking buildings, and enforcing Utility rules, policies, procedures and directives.

Contractors and Subcontractors shall provide deterrence against fire, theft, vandalism, and trespass and shall assist in the elimination of safety hazards and security breaches. In some cases, Contractors and Subcontractors will be called upon to assist in the detection and detention of persons guilty of trespassing on or committing offenses on Utility property. Uniformed officers from the Austin Police Department and local Sheriffs’ Departments shall provide the enforcement support for criminal acts committed on Utility property.

Contractors and Subcontractors shall accurately report and record all transgressions and incidents.

2.5 APPLICATIONS FOR AUTHORITY TO ENTER FACILITIES, BACKGROUND SECURITY CHECKS AND IDENTIFICATION BADGES

2.5.1 Applications for Authority to Enter Facilities

The Contractor shall submit an “Application for Authorization to Enter Secured Austin Water Utility Facilities” (Appendix B) for each of their employees and their Subcontractors’ employees before that employee is allowed to enter the project site. All information requested on the application shall be provided, including required signatures. Each application submitted shall be an original document. Copies or facsimiles are not acceptable.

For “*Unescorted*” access, each application shall be accompanied by a complete background security check. Each employee’s application and background security check shall be submitted at least **five (5) working days** prior to the first day that employee is to work on the secured site to allow for adequate review of the documents. Each background check submitted shall be an original document. Copies or facsimiles are not acceptable.

2.5.2 Background Security Checks

The Contractor shall submit a “Criminal History Records Check Disqualifying Criminal Offenses” (Appendix C) and provide a current background security check for each of their employees and their Subcontractors’ employees, submitted along with the “Application for Authorization to Enter Secured Austin Water Utility Facilities” (Appendix B). The background check must be performed by either the United States Federal Government (FBI) or the Department of Public Safety from the employee’s home state (the state in which the employee resides and from whom they obtained their driver’s license or identification card). The background security check for a non-US citizen shall be performed by their native country’s national law-enforcement

agency (e.g. a Canadian citizen shall submit a background check performed by the Royal Canadian Mounted Police).

The results of each background check shall be dated and submitted as an original, certified official document from the agency performing the check, and shall bear all appropriate letterheads, seals, and signatures. The background check shall clearly indicate the agency performing the check and include their address and telephone number. Background checks performed less than one year prior to the subject Contract's Notice-to-Proceed will be acceptable. The results of background checks may be audited at any time.

2.5.3 Security Identification Badges

Austin Water Utility utilizes two methods of Security ID Badges

Technology Badge: This badge is issued to contractors working at a facility for a period of time exceeding thirty days (30) days that require "*Unescorted*" access to the buildings. Examples are the cleaning crew, security guards, and long-term non-AWU employees. Badges are given an **expiration date** set to expire at the End of Business on the last day of the contract.

AWU Badge Decal + Contract Company Supplied ID Badge: This combination is used by contractors working at a facility where access to the buildings is not required. Examples are contractors working on construction projects, remodeling projects, lawn service, etc. Security Identification Badges for employees of Contractors and Subcontractors shall be picture badges as approved by Facility or Treatment Program Division Managers and authorized by the Security Manager. Contractors shall provide a Security ID Badge for each of their employees and their Subcontractors' employees who require access to protected Utility facilities to perform their work. The facilities they may access shall be limited to those locations necessary for the performance of their contract. Contractors shall provide clear, plastic badge holders with an appropriate clip or lanyard that will protect the badge and allow it to be worn and displayed safely by employees on the outside of their clothing.

The Security ID Badge shall be made of durable plastic material with minimum dimensions of 2 1/8 inches by 3 3/8 inches, and shall show a clear, photographic image of the bearer, with a vertical facial image no less than 3/4 inches high. Each badge shall clearly display the first and last name of the employee and the Company he/she works for. A space at least 3/4 inch high and one inch wide shall be kept free of information and shall be reserved for the Utility to apply a permanent, access authorization decal.

The Austin Water Utility's Project Manager (or Public Works PM), Plant Division Manager or Superintendent shall supervise and control the application of the permanent decal authorizing the badge bearer to enter protected Utility facilities. Such authorization to enter protected facilities shall require a review of the background security check and approval from Security Management.

The permanent decal is valid for a **two year period**, for example, decals with "14" are valid for the year of 2014 and 2015 no matter when in 2014 or 2015 it was issued. As of January 1, 2016 a new background check is required prior to the issuance of a new decal.



Austin Water Utility 2014 Decal

If the construction project continues past the decals validation date, AND the bearer still requires access, the Utility may apply a new decal to the Security ID Badge without the need of a new background check. Consult with Security Management.

2.5.4 Identification Badge Control and Handling

All personnel on the job site shall wear the Security Identification Badge on the outside of their clothing, in the front, at or above their waist. Arm band ID holders are acceptable.

Security Identification Badge holders will take reasonable cares to protect their badge from unauthorized use. ID badge holders will not allow others to use their badge.

In the event that a Security Identification Badge holder discovers that their badge has been lost, the badge holder shall immediately report the loss to the Contractor's Site Superintendent, who will immediately report the loss to the AWU Project Manager, and to the AWU Plant Superintendent (at treatment plants) or the AWU Operation Manager at the South First Support Center (512-972-0502) (for pump stations and reservoirs).

2.5.5 Revoking Access Authorization

Authorization to enter and/or work on any Austin Water Utility site is at the sole discretion of the Utility and may be revoked at any time.

Authorization to enter secured Utility sites shall be revoked immediately for the following reasons:

- The badge holder ends their employment with the Contractor or Subcontractor
- The badge holder allows another person to use their badge, or the badge holder permits, or allows another person without a badge to enter a secured site.
- The badge holder acts without authorization to defeat any security device at any secured site.
- The badge holder's actions (or inaction) result(s) in damage to Utility facilities or threaten(s) the quality of the drinking water.
- The badge holder has been involved in a criminal action on site and has been determined as a threat to any persons or property at this site.

Personnel in the following positions may revoke Access Authorization:

- AWU Director and Assistant Directors for Treatment and for Engineering
- AWU Division Heads, Plant Superintendents, and Supervisors in the Treatment Program Area
- AWU Security Manager
- AWU and Consultant's Project Managers
- City of Austin Public Works Project Managers
- Contractor's Project Manager and Site Superintendent

If a person in one of the positions listed above ever believes that another person's Access Authorization should be immediately revoked to eliminate or mitigate a threat to site security or the security of the water, they shall contact the Project Manager or the Contractor's Site Superintendent. Any decal authorizing entry to Utility protected facilities shall be removed, and at the discretion of the Contractor, the badge taken from the person. The person shall be escorted from the work site.

2.6 FACILITY SECURITY AND ACCESS CONTROL

2.6.1 Access to Facilities

Access to Utility facilities shall be limited to:

- City of Austin Public Works or Austin Water Utility employees who possess appropriate unescorted access authorization by the Utility and have a valid Security Identification Badge.
- Contractor's and Subcontractors' employees who possess appropriate access authorization(s) and possess and wear a proper Utility-authorized Security Identification Badge. All Contractor's and Subcontractors' employees will follow Utility procedures while on the site.
- Contractor's or Subcontractors' supplier delivery personnel. Delivery personnel may be permitted access to complete material deliveries and will not be required to obtain a Security Identification Badge. Delivery personnel shall be closely escorted within the secured site by the Contractor's Site Superintendent and shall be permitted access only for the time required to unload the material being delivered. Under no circumstances will any delivery personnel be allowed to remain on site for longer than one hour. If delivery of any material or equipment is projected to require more than one hour's time, an "Application for Authorization to Enter Secured Water Treatment Facilities", complete Background Security Check, and Security Identification Badge will be required for all personnel associated with making that delivery.
- Visitors who have been authorized in advance, in writing, by the Plant Superintendent or Division Manager. (Persons who perform work on the site or deliver equipment or materials to the site are not considered to be visitors) Visitors who have been authorized such access will be closely escorted within the Utility facility by either a Utility employee who possesses the appropriate access authorization and Security Identification Badge, or the Contractor's Site Superintendent (who also possesses appropriate access authorization and Security Identification Badge). The Contractor shall maintain a Visitor Register to record all visits. The Visitor Register shall record the name of each visitor, their employer, citizenship, date of the visit, arrival and departure times, the purpose of visit and the name of the escort. This Visitor Register shall be made available at every project progress meeting and shall be delivered to the Utility Project Manager at the end of the project. Visitors do not require an ID badge.

2.6.2 Site Security Requirements

All Utility facilities shall be kept secure at all times. The following provisions, at a minimum shall be maintained:

- An eight-foot high perimeter fence shall be maintained without gaps or holes, with gate(s) locked with a tempered chain and padlock. A security guard may also be employed if desired by the Contractor or required by other sections of the Contract.
- All perimeter door(s) (if present) shall be locked and alarmed.
- Other installed security devices (if present) such as motion detectors, fence monitors and CCTV cameras shall be operational.
- All classified material (if present) within shall be properly stored.

During the Contractor's working hours, the Contractor's Site Superintendent shall maintain an active cellular telephone to enable the Utility's Plant Superintendent or the Central Security Operator to contact him/her in the event that a security alarm is triggered on the job site. If an alarm is triggered and the Plant Superintendent or the Central Security Operator is unable to contact the Contractor's Site Superintendent to ascertain the reason for the alarm, law enforcement officers will be summoned to the site.

At the beginning of each day that the Contractor or a Subcontractor performs work on a pump station or reservoir site, a Supervisor authorized by the Contractor (and previously identified to the pump station or reservoir Central Security Operator) shall open the security gate to the site as follows:

- Place a telephone call to the Central Security Operator (512-972-0502) before unlocking the gate.
- Identify themselves and advise the Central Security Operator that they are at the site entrance, identify where on the site they intend to work, and advise that they are about to open the gate. The Central Security Operator will disarm any alarms that might be triggered by the gate opening or by employees working in the areas identified. The Central Security Operator will advise the Supervisor placing the call when the alarms are disarmed.
- Unlock the gate, enter the site, and lock the gate or post a guard to assure that only authorized personnel wearing required, proper Security Identification Badges may enter.

At the end of every work day at a pump station or reservoir site, when the last employee has left the job site, the Contractor's Site Superintendent shall place a call to the Central Security Operator to advise that everyone has left the site, that the security gate is locked, and that the alarms should be rearmed.

2.6.3 Combinations and Key Controls

Knowledge of the combination of locks and access to any keys will be limited to designated individuals assigned to work in the associated facilities. All combinations will be changed regularly at times designated by the Division Manager, and whenever it is suspected the combination has been compromised.

Facility keys are cut to fit a number of cylinders. If a key shared with the Contractor is lost, all similar lock cylinders, whether present on the site or off the site, will be re-keyed by the Utility, at the expense of the Contractor.

2.6.4 Operation of Access-Controlled Doors at Remote Facilities

Entry to all remote facilities will be coordinated with the Central Security Operator. Many facilities include an access-control door. An access-control door may be used by authorized Security Identification Badge holders for entry and exit using the following procedure:

Entry procedure:

1. Contact the Central Security Operator (512-972-0502) and request permission to enter. Hang up the telephone.
2. The CSO will call back the person requesting to enter (on their previously authorized number) and verify the request.
3. The CSO will unlock the door or request that the person's Security Identification Badge be presented to the exterior card reader.
4. Unlock the deadbolt (if present)
5. Enter PIN
6. Open door
7. Enter
8. Close the door

Exit procedure:

1. Press crash bar
2. Open door
3. Exit
4. Close the door
5. Lock the deadbolt (if present)

6. Contact the CSO and request that the door be locked, advise them that the site's alarms need to be re-armed
7. The CSO shall lock the door and re-arm all alarm devices
8. The CSO shall call back and ask the requestor to verify that the door is locked

2.6.5 Tailgating

Tailgating is the entry of multiple individuals through an access-controlled door or gate without closing the door (or gate) between entries. Tailgating is allowed by authorized ID Badge holders provided that each presents their badge to the card reader or person controlling access prior to entry. Tailgating by unauthorized individuals or anyone not possessing an authorized ID Badge is not allowed.

APPENDIX A:

**CONTRACTOR’S ACKNOWLEDGEMENT
CITY OF AUSTIN WATER UTILITY
FACILITY SECURITY PROCEDURES FOR CONTRACTORS**

PROJECT NAME: _____

CIP/PROJECT NUMBER: _____

By signing this document, I acknowledge that I have received a copy of the Austin Water Utility’s **SP-1070 FACILITY SECURITY PROCEDURE FOR CONTRACTORS** and that I have read it and understand its contents. Furthermore, I agree to follow all the provisions contained therein.

CONTRACTOR: _____

PROJECT MANAGER:

Print

Signature

SITE SUPERINTENDENT:

Print

Signature

SUBCONTRACTOR: _____

PROJECT MANAGER:

Print

Signature

SITE SUPERINTENDENT:

Print

Signature

SUBCONTRACTOR: _____

PROJECT MANAGER:

Print

Signature

SITE SUPERINTENDENT:

Print

Signature

APPENDIX C:

Criminal History Records Check Disqualifying Criminal Offenses

An individual has a disqualifying offense if the individual has been convicted of, or found not guilty of by reason of insanity, any of the disqualifying crimes listed in this paragraph in any jurisdiction during the 10 years before the date of the individual’s application for unescorted access authority, or while the individual has unescorted access authority. The disqualifying criminal offenses are as follows:

1	Felony involving burglary.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	13	Murder.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2	Felony involving theft.	<input type="checkbox"/>	<input type="checkbox"/>	14	Assault with intent to murder.	<input type="checkbox"/>	<input type="checkbox"/>
3	Felony involving dishonesty, fraud, or misrepresentation.	<input type="checkbox"/>	<input type="checkbox"/>	15	Espionage.	<input type="checkbox"/>	<input type="checkbox"/>
4	Felony involving possession or distribution of stolen property.	<input type="checkbox"/>	<input type="checkbox"/>	16	Rape or aggravated sexual abuse.	<input type="checkbox"/>	<input type="checkbox"/>
5	Aggravated assault.	<input type="checkbox"/>	<input type="checkbox"/>	17	Kidnapping or hostage taking.	<input type="checkbox"/>	<input type="checkbox"/>
6	Felony involving bribery.	<input type="checkbox"/>	<input type="checkbox"/>	18	Treason.	<input type="checkbox"/>	<input type="checkbox"/>
7	Terrorist threat.	<input type="checkbox"/>	<input type="checkbox"/>	19	Felony involving dishonesty, fraud, or misrepresentation.	<input type="checkbox"/>	<input type="checkbox"/>
8	Armed or felony unarmed robbery.	<input type="checkbox"/>	<input type="checkbox"/>	20	Class A Criminal Mischief (500 or Above).	<input type="checkbox"/>	<input type="checkbox"/>
9	Felony involving willful destruction of property.	<input type="checkbox"/>	<input type="checkbox"/>	21	Criminal Trespass at Critical Infrastructure Facility.	<input type="checkbox"/>	<input type="checkbox"/>
10	Felony involving importation or manufacture of a controlled substance.	<input type="checkbox"/>	<input type="checkbox"/>	22	Burglary of Vehicle	<input type="checkbox"/>	<input type="checkbox"/>
11	Extortion.	<input type="checkbox"/>	<input type="checkbox"/>	23	Engaging in Organized Criminal Activity	<input type="checkbox"/>	<input type="checkbox"/>
12	Felony arson.	<input type="checkbox"/>	<input type="checkbox"/>	24	Conspiracy or attempt to commit any of the criminal acts listed on this page.	<input type="checkbox"/>	<input type="checkbox"/>

By signing below I certify that I do not have any of the above listed disqualifying criminal offenses.

Also signing below indicates my understanding that I have a continuing obligation under Title 49, CFR, Parts 1542.209 and 1544.229 to disclose to Austin Water Utility within 24 hours if I plead guilty or nolo contendere (“no contest”) to, have an adjudication withheld, have been convicted or found not guilty by reason of insanity to any of the disqualifying crimes listed on this application or the federal security regulations.

Also signing below indicates the information I have provided on this application is true, complete, and correct to the best of my knowledge and belief and is provided in good faith. I understand that a knowing and willful false statement on this application can be punished by fine or imprisonment or both. (See section 1001 of Title 18 United States Code.)

PRINT NAME

SIGNATURE

DATE