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Facility Criticality and Mitigations Option Tool

Created by the Security Executive Council

Publicly held companies are required by the Securities and Exchange Commission to file an annual 10-K report complete with an examination of risk factors. While it would seem that the security organization ought to play a role in developing the enterprise risk assessment (ERA) to meet this requirement, companies' boards often hire outside consultants or task Audit or Finance with this responsibility. Security leaders do not always have a voice in the process.

Because of this, the CSO's classification of security risk areas, such as facilities (see table below), by criticality and risk mitigation options may not correspond with classifications identified in the ERA. A more holistic view of risk would better serve the organization.

The Criticality/Mitigation Options tool was developed to help security leaders bridge this gap by providing them with an organized, visual format for communicating the security organization's perception of risk levels and mitigation options.

This outcome of this process can be presented to the board or the ERA team as the starting point of a conversation about how to align facility classification criteria so that it considers not only financial or legal risk but also business continuity and crisis management concerns.

Using facilities as an example, the sample below provides potential options for security risk mitigation related to criticality level. The options should be adjusted to your organization based on industry, facility type, location, corporate culture, etc. While the example below discusses facility security, the same process of classification of criticality

and identifying mitigation options should be applied to other risk areas such as employees, travelers, and expats.

	Facility Security Options	Comments
Level 5 Criticality Targeted or Collateral Risk Sites	Review & ensure all actions at lower levels are occurring	
	Announce severe threat condition and explain expected actions	
	Deploy security personnel, emergency response teams, or assigned personnel according to plan	
	Prepare or begin total site shut down	
	Restrict or close all building access. Restrict access/parking to critical areas	
	Close or restrict entry to site to designated persons and emergency responders	
	Reduce site workforce to required critical people only.	
	Keep on-site sheltered personnel up to date on local/national events	
	Begin periodic briefings to law enforcement and Sr. Management	
	Inspect /search all incoming boxes, packages.	
	Restrict or suspend deliveries, mail, and shipments except emergency supplies if necessary	
Level 4 Criticality Mission Critical Sites	Review & ensure all actions at lower levels are occurring	
	Notify all staff of threat level and brief them on assignment & expected actions	
	Ensure access control audit trails in place & functional	
	Prepare to search incoming individuals & vehicles	
	Restrict on site parking, deliveries, & inbound shipments	
	Place critical staff and emergency responders on notice to be available & appoint a "Security Team"	
	Compile & review daily reports on all unusual activities & occurrences	
	Review emergency operations center & establish communication with emergency management officials	
	Monitor world & local events closely including a daily review of the Corporate Security Website & links to key sites	
	Enact random time security guard shift changes	
	Ensure the facility manager and other members of leadership can be contacted 24 hours a day	
	Increase physical security and protection measures	
	If possible, have law enforcement vehicles park around the sight or facility	
	Provide all contractors, vendors and temps with identification & require they wear on company property	
Employees must wear identification while on company property		

Level 3 Criticality Key Facility Sites	Notify all staff of threat level and brief them on assignment & expected actions	
	Review & ensure all actions at lower levels are occurring	
	Test gates, security doors/locks, cameras, monitors, recording, & communication equipment	
	Establish or verify law enforcement communications	
	Review specific site or business unit security requirements	
	Monitor government information & notification sources	
	Review and communicate reminder on bomb threats, unauthorized people, reporting & lockdown procedures	
	Full time security person for site or business	

Level 2 Criticality Enhanced Security Sites	Review & ensure all actions at lower levels are occurring	
	Maintain security levels and periodic validate the effectiveness of key measures via testing or drills	
	Identify and maintain restricted access areas	
	Utilize enhanced access controls such as security officers, electronic access, etc.	
	Maintain fenced areas to reduce liability or hazard risks	
	Review & update as necessary operational plans & procedures	
	Review security, threat, emergency, & recovery plans	
	Review supplies and necessity inventories	
Develop or strengthen liaison program with security & law enforcement personnel from surrounding sites & communities		

Baseline Level Criticality Baseline Security for all Sites	All sites operate at this level of security or are making progress towards it	
	Appoint a facility security coordinator	
	Site management & security coordinator are briefed & accept responsible for site security	
	Complete risk assessment of site security risks	
	Develop a site security plan, obtain site management concurrence & submit annual letter to Head of Corp. Security	
	Educate employees on security risks and responsibilities	
	Post security signs & warnings	
	Issue identification & control access to the site	
	Meet lighting minimums	
	Establish program for Protecting Business Information	
	Report and investigate security incidents	
	Complete, maintain & test emergency response plan	
	Budget for added security measures	

Visit the Security Executive Council website for other resources in the [Risk-Based Security: Board Level Risk/Enterprise Risk Management \(ERM\)](#) series.

About the Security Executive Council

The SEC is the leading research and advisory firm focused on corporate security risk mitigation solutions. Having worked with hundreds of companies and organizations we have witnessed the proven practices that produce the most positive transformation. Our subject matter experts have deep expertise in all aspects of security risk mitigation strategy; they collaborate with security leaders to transform security programs into more capable and valued centers of excellence. Watch our [3-minute video](#) to learn more.

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