

**AUDIT FUNCTIONAL GUIDE****NUMBER:** AUD SEC 001  
**EFFECTIVE DATE:** January 01, 2003**SUBJECT****Security Procedure & Work Programs****SUPERSEDES:** new**DATED:** --**PAGE** 1 of 1Approval: Original Signed by Head of Division  
Manager of Audit Division

Date: June 30, 2002

**DEFINITION AND SCOPE**

"Premises Security" as used here includes all aspects regarding premises, values, equipment, personnel and customers safety undertaken by Bank personnel or by subcontracted companies and their appointed personnel with respect to Bank Headquarter, branches or subsidiaries.

**PURPOSE**

While each element of Bank security measures is intended to achieve its own particular objectives, it must also reflect favorably on the corporation as a whole. Security measures are aimed at offering a safe working place for Alpha employees, a secure financial institution for Alpha customers and a benchmark in respect of any professional services compared with peers.

Audit Division's missions on security issues are intended to offer to Alpha's management a clear view on how the security standards are observed within Bank's premises.

**STANDARDS**

Bank security measures will be:

1. Effective:

**SECURITY DEVELOPMENT**

In order to be effective, security must be developed according to a plan. The plan must consider:

- secured objectives definition - what is to be secured, level of enforcement, and secured locations.
- the security strategy - what targets (and how) the security should attain in order to achieve its purpose.
- the security plan - where the security measures should be applied in order to reach it's purpose most effectively and efficiently.
- the executions themselves - how they turn the strategy into effective security measures and controls that will achieve the strategic objectives.

**SECURITY EFFECTIVENESS**

There are many tools available to measure the effectiveness of security and every effort should be made to employ them. For major contracts, tracking studies and market comparisons will be used. Employment of these and other measurement tools will determine whether the security system has done its job and should be maintained as it is, altered or tighter enforced. Security people have the obligation to be accountable for all security measures and strive for improvement in its measurement and evaluation.

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When planning the site where a building is to be rented or constructed, it is recommended taking into consideration environmental factors with an influence on security:

- shock/vibration from close-by traffic routes (road traffic, railway, underground railway).
- closeness to optimum traffic routes, and thus escape routes, can facilitate the execution of attacks.
- in the vicinity of water bodies and in low plains, flooding is a probability.
- in the vicinity of power plants or factories.

Precise building plans must be kept updated for the building and its associated premises, and *all* facts regarding supply lines are to be included. It must be possible, by consulting those plans, to get a picture of the situation in a simple and quick way. Power supply lines and computer cabling should be included for minimizing the risk of lines being inadvertently damaged during repair/maintenance work and for immediate and appropriate intervention when and where needed.

Building parts requiring protection (server room, data media archives, air conditioning center, distributing frames for power supply, switching and wiring rooms, spare parts store) should not have any markings regarding their use because these give hints to a potential offender having access to the building so that he can prepare his actions more specifically and thus with a greater chance of success.

In instances when it will not be possible to avoid accommodation of IT systems in rooms or parts of the building which can easily be seen from outside, adequate measures will have to be taken to prevent observation from outside or to provide against the utilization of the room becoming apparent to outsiders (not just *one* window of an entire floor will be shielded against general view).

Rooms or building parts requiring protection should not be in exposed or endangered areas: basement rooms exposed to water damage, first-floor rooms facing public traffic zones and exposed to attacks, vandalism and force majeure (traffic accidents in the vicinity of the building) and first-floor rooms of buildings with courtyards that cannot easily be observed.

Different combustible materials carry different fire loads and their location and storage within the premises should be measured and monitored. A fire load is produced by any combustible material brought into a building. It is determined by the quantity and the calorific value of such material. For example, locating the server or IT devices near the paper supply room or near the power switchboard increases the risk of fire.

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<b>Control / action</b>		<b>Yes</b>	<b>No</b>
<b>1. General</b>			
There is a person responsible with security tasks		<input type="checkbox"/>	<input type="checkbox"/>
A job description exists for the security manager		<input type="checkbox"/>	<input type="checkbox"/>
An independent check (written evidence) of security manager's performance exists		<input type="checkbox"/>	<input type="checkbox"/>
A contract with the security company exists (copy and/or original)		<input type="checkbox"/>	<input type="checkbox"/>
Security contract terms and provision are enforced (shift duration, intervention time, intervention protocol, security personnel replaced upon request, force majeure)		<input type="checkbox"/>	<input type="checkbox"/>
The contracted guard company subcontracted the security services to a third party		<input type="checkbox"/>	<input type="checkbox"/>
A contract with the power supply company exists		<input type="checkbox"/>	<input type="checkbox"/>
The premises are insured for fire, flood and other accidents (insurance police valid)		<input type="checkbox"/>	<input type="checkbox"/>
Building insurance policy renewal is monitored and a log / evidence is maintained		<input type="checkbox"/>	<input type="checkbox"/>
Building rental/ lease contract terms are observed and monitored		<input type="checkbox"/>	<input type="checkbox"/>
Compliance with fire-protection requirements imposed by law and fire department is assured and monitored and a log is maintained		<input type="checkbox"/>	<input type="checkbox"/>
The security plan has all approvals from authorities (police, fire department etc.)		<input type="checkbox"/>	<input type="checkbox"/>
The premises are located in an area environmentally appropriate for banking operations (no shock/vibration from road traffic, railway, underground, power plants, low plains exposed to flood)		<input type="checkbox"/>	<input type="checkbox"/>
The premises are located in an area where vandalism acts or attacks are highly improbable (residential, commercial center and away of escape routes)		<input type="checkbox"/>	<input type="checkbox"/>
Premises are insulated from accidental water infiltration from neighbors		<input type="checkbox"/>	<input type="checkbox"/>
There are no apparent immanent hazards (human originated or environmental) and/or all identified are counteracted		<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Building parts requiring protection</b>			
Building parts requiring protection are not visible from outside		<input type="checkbox"/>	<input type="checkbox"/>
Utilization of rooms requiring protection is not apparent to outsiders		<input type="checkbox"/>	<input type="checkbox"/>
All rooms requiring protection have safety doors and / or safety windows		<input type="checkbox"/>	<input type="checkbox"/>
Access to rooms requiring protection is banned for customers		<input type="checkbox"/>	<input type="checkbox"/>
Vault access is effected only to appointed persons and following security procedures		<input type="checkbox"/>	<input type="checkbox"/>
Access keys to vault are safely deposited		<input type="checkbox"/>	<input type="checkbox"/>
Access key to vault, seals and cipher have supporting documents		<input type="checkbox"/>	<input type="checkbox"/>
Replacement exists for vault keys, cipher and seal when on holiday		<input type="checkbox"/>	<input type="checkbox"/>
The vault is made of steel and has armoured access doors		<input type="checkbox"/>	<input type="checkbox"/>
Access to vault is video monitored by the guard personnel		<input type="checkbox"/>	<input type="checkbox"/>
The vault has intruder (movement) and vibration sensors		<input type="checkbox"/>	<input type="checkbox"/>
The vault is protected against flood, accidental water infiltrations and fire		<input type="checkbox"/>	<input type="checkbox"/>
Wiring for vault's sensors are properly secured and do not allow accidentally interruption during building maintenance/ repair		<input type="checkbox"/>	<input type="checkbox"/>
Exterior walls and windows (including to neighbors in the same building) have special construction		<input type="checkbox"/>	<input type="checkbox"/>
All rooms having contact with exterior are identified and no "grey areas" exists		<input type="checkbox"/>	<input type="checkbox"/>
Air conditioning system is placed in a secure area within the premises		<input type="checkbox"/>	<input type="checkbox"/>
Outside premises air conditioning is highly visible to security personnel and secured		<input type="checkbox"/>	<input type="checkbox"/>
Air conditioning is sufficient for maintaining a proper work temperature for server		<input type="checkbox"/>	<input type="checkbox"/>
A security log or control exists on individuals' or vehicles' movements in the vicinity of premises		<input type="checkbox"/>	<input type="checkbox"/>

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<b>Control / action</b>		<b>Yes</b>	<b>No</b>
<b>3. Security action plan and security system</b>			
A security action plan exists for occurrence of vandalism acts, attack, fire, flood etc.		<input type="checkbox"/>	<input type="checkbox"/>
Unused side-entrances are locked and their safety is regularly reviewed		<input type="checkbox"/>	<input type="checkbox"/>
All rooms have intruder/ fire detection devices		<input type="checkbox"/>	<input type="checkbox"/>
All intruder/ fire detection devices are regularly serviced and tested		<input type="checkbox"/>	<input type="checkbox"/>
A "contact persons list" exists for the guard company		<input type="checkbox"/>	<input type="checkbox"/>
The guard company is automatically (the system does) announced for intervention		<input type="checkbox"/>	<input type="checkbox"/>
Alternative contact/alarm measures exists if the alarm system is not working		<input type="checkbox"/>	<input type="checkbox"/>
Contact/ alarm measures are adequate (assure effective and prompt intervention)		<input type="checkbox"/>	<input type="checkbox"/>
The security system has a separate power supply		<input type="checkbox"/>	<input type="checkbox"/>
The security system's power supply is connected to the generator of a _____		<input type="checkbox"/>	<input type="checkbox"/>
The security system has a back-up power supply		<input type="checkbox"/>	<input type="checkbox"/>
In case of power breakdown, the back-up power supply works for _____ hours		<input type="checkbox"/>	<input type="checkbox"/>
In case of power breakdown, electricity company intervention happens in _____ hours		<input type="checkbox"/>	<input type="checkbox"/>
A contract exists with the electricity company regulating urgent intervention		<input type="checkbox"/>	<input type="checkbox"/>
In case of power fluctuations, over-voltage does not affect security system		<input type="checkbox"/>	<input type="checkbox"/>
No additional equipment is cabled together with the security system		<input type="checkbox"/>	<input type="checkbox"/>
The cabling for security system is secured and not exposed to accidental damage		<input type="checkbox"/>	<input type="checkbox"/>
Over-voltage _____ impacts _____ activity _____ in _____		<input type="checkbox"/>	<input type="checkbox"/>
Actual cable routing has been designed by maintenance personnel		<input type="checkbox"/>	<input type="checkbox"/>
External cable routing avoids wet and fire-exposed areas and electrical fields		<input type="checkbox"/>	<input type="checkbox"/>
Easy access to water supply source for firemen		<input type="checkbox"/>	<input type="checkbox"/>
No employee is located close to a radiation source (high-capacity copier/printer)		<input type="checkbox"/>	<input type="checkbox"/>
Fire load for each room is monitored and a log is kept		<input type="checkbox"/>	<input type="checkbox"/>
The load-bearing capacity of the floor has been measured before protective cabinets installation		<input type="checkbox"/>	<input type="checkbox"/>
Video monitoring cameras allow a proper monitoring of customers when in premises		<input type="checkbox"/>	<input type="checkbox"/>
Video monitoring cameras allow a proper surveillance of building immediate vicinity		<input type="checkbox"/>	<input type="checkbox"/>
Access to security room (security system) is restricted		<input type="checkbox"/>	<input type="checkbox"/>
Video tapes are locked and safe from theft, fire or other intentional or accidental damage		<input type="checkbox"/>	<input type="checkbox"/>
Video tapes number is adequate for surveillance (covers at least two weeks)		<input type="checkbox"/>	<input type="checkbox"/>
Building plan and fire exits are properly exposed and signaled for general use		<input type="checkbox"/>	<input type="checkbox"/>
Building parts requiring protection have special markings on building plans		<input type="checkbox"/>	<input type="checkbox"/>
A confidential building plan exists only for internal use		<input type="checkbox"/>	<input type="checkbox"/>
<b>4. Power supply</b>			
Power supply lines are marked and updated on the confidential building plan		<input type="checkbox"/>	<input type="checkbox"/>
Power supply lines and wiring circuits are appropriately adapted to number of employees and work requirements (the system is not down by adding a phone)		<input type="checkbox"/>	<input type="checkbox"/>
An UPS exists at least for sensitive departments (EDP, accounting)		<input type="checkbox"/>	<input type="checkbox"/>
Access to UPS is banned for customers		<input type="checkbox"/>	<input type="checkbox"/>
An external lightning protection device exists		<input type="checkbox"/>	<input type="checkbox"/>
The lightning protection device regularly checked and maintained		<input type="checkbox"/>	<input type="checkbox"/>
The lightning protection device is requested by authorities or insurers		<input type="checkbox"/>	<input type="checkbox"/>

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<b>Control / action</b>		<b>Yes</b>	<b>No</b>
Sufficient over-voltage protection exists in the building		<input type="checkbox"/>	<input type="checkbox"/>
The power supply can be interrupted only by authorized persons and for emergency		<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Safety measures</b>			
Hand-held fire extinguishers are properly signaled (visible)		<input type="checkbox"/>	<input type="checkbox"/>
Personnel has appropriate training for using hand-held fire extinguishers		<input type="checkbox"/>	<input type="checkbox"/>
Hand-held fire extinguishers are regularly inspected and maintained		<input type="checkbox"/>	<input type="checkbox"/>
Personnel has appropriate training on security issues and a written log is maintained		<input type="checkbox"/>	<input type="checkbox"/>
All personnel has been advised of the steps to be taken in case of alert		<input type="checkbox"/>	<input type="checkbox"/>
Personnel has instructions for securing windows and doors to outside when leaving		<input type="checkbox"/>	<input type="checkbox"/>
Regular checks are made to see whether windows and doors have been closed by occupants after leaving the rooms		<input type="checkbox"/>	<input type="checkbox"/>
Access doors are properly locked (if security standards require) during audit mission		<input type="checkbox"/>	<input type="checkbox"/>
There are additional access entries not secured and/or observed as risky		<input type="checkbox"/>	<input type="checkbox"/>
A written and effective control exists over key issuance, receipt and replacement during and at the end of employment		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel is easily identifiable (wearing an appropriate uniform)		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel has an appropriate appearance (decent dress and behavior)		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel has an appropriate appearance (solid appearance)		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel is holding a fire weapon		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel is holding a high-voltage weapon		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel is holding other security equipment (gas or other)		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel is delivering only security tasks (no logistics, administration, car wash, deliveries, catering etc.)		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel location is efficient for an effective control on intruders		<input type="checkbox"/>	<input type="checkbox"/>
Security personnel has an effective control on intruders (intruders/ customers movements within premise are effectively observed/ monitored, either through cameras or by eye contact)		<input type="checkbox"/>	<input type="checkbox"/>
An entrance control service exists and all visitors outside working hours are checked		<input type="checkbox"/>	<input type="checkbox"/>
Areas accessible to visitors are clearly defined and observed (respected)		<input type="checkbox"/>	<input type="checkbox"/>
No third party (including personnel relatives) has access to personnel's working area		<input type="checkbox"/>	<input type="checkbox"/>
All visitors are escorted while in premises or easily observed		<input type="checkbox"/>	<input type="checkbox"/>
The fax machine is placed in areas which are not freely accessible		<input type="checkbox"/>	<input type="checkbox"/>