Assessment Checklist

Initial Outreach Checklist

This checklist is intended to be used to guide the initial outreach to asset owner/operators when conducting an assessment. The form and content of an introductory message may vary based on your agency or jurisdiction's policies and/or protocols, but there are several key elements that should be included. Those elements are outlined below.

- ☐ **Points of Contact** – The initial contact should provide points of contact for all assessment team members, as well as the key person and agency responsible for the oversight of the assessment.
- ☐ **Reason for the Assessment** – The message should specify the rationale for the assessment. It should contain details on the specific requirements, goals, or expected benefits of the assessment.
- ☐ **Start Date and End Date** – The initial outreach message should request a specific timeframe for the assessment, including the desired dates to begin the project, perform on-site data gathering and observations, and when the assessment will be completed.
- ☐ **Data Requirements from the Customer** – The assessment team should request information in advance, to reduce the amount of time required on site. Information that would prove useful includes previous security assessment reports, facility maps, system diagrams, emergency response and continuity of operations policies and procedures, and other policies and procedures dealing with emergency action plans.
- ☐ **Access and other Requirements for on-site Assessment** – The introductory outreach should list the on-site requirements for the assessment team so that the asset owner/operator may begin preparations. On-site requirements typically include physical access, access to the site point-of-contact while on-site, and access process (security check in procedures, etc.)
- ☐ **Safety Requirements** – Some sites may have specific safety plans with which the assessment team will need to be familiar prior to coming on-site. Some requirements include Personal Protective Equipment (PPE) such as hard hats, steel toed shoes, gloves, eye protection, and hearing protection. The initial outreach should inquire what such safety requirements the assessment team should expect on site, so they can bring the appropriate equipment.

Pre-Assessment Briefing

A pre-assessment briefing can help to set the expectations for the owner/operator of the facility to be assessed. It also provides a venue for them to openly address any concerns they may have, helping to focus the assessment team on specific areas or adjust the assessment approach accordingly.

The Pre-Assessment Briefing should cover the following topics:

- ☐ **Introduction** – The briefing should provide an introduction of the assessment team (as well as any key personnel who may not be on-site), a review of the assessment objective, and the schedule for the on-site assessment, including the final briefing.
- ☐ **What to Expect** – The presenter should let the asset owner/operator and their personnel know what to expect. It should be emphasized that the assessment is:

- A planning tool, not a scorecard
- Not always a quick fix
- What the asset owner/operator needs to know

On-Site Assessment Checklist

Use this list to help ensure critical areas of the facility and tasks of the assessment are addressed.

Tasks

- ☐ **Ride to Site Observations** – Document relevant items of note that were seen on the way to the site
- ☐ **Conduct Interviews** – Conduct all needed interviews with on-site staff. Ensure contact information is obtained.
- ☐ **Take Pictures** – Capture more pictures than you think you need; unneeded pictures can always be deleted later
- ☐ **Security Master Plan or Other Relevant Plans –** Obtain copies/links if possible and upload to Haystax

Critical Areas to Visit

- ☐ **Unique Architectural Features**
- ☐ **Structural Systems**
- ☐ **Building Envelope**
- ☐ **Utility Systems**
- ☐ **Mechanical Systems**
- ☐ **Plumbing and Gas**
- ☐ **Electrical Systems**
- ☐ **Fire Systems**
- ☐ **Communication and IT Systems**
- ☐ **Equipment Operations and Maintenance**
- ☐ **Security Systems**

Post-Site Visit Checklist

Below are key tasks to consider after conducting an in-person assessment and before considering the assessment complete.

- ☐ **Capture Additional Notes** – Review the assessment responses and include further context where needed to readers unfamiliar with the facility have all relevant detail. Include reference material in comment boxes if appropriate, as well as any supplementary material (pictures, documents, etc) obtained after the assessment.
- ☐ **Clean up Assessment** – Review the assessment responses, correcting mistakes and verifying answers are complete. This is especially critical if you used talk-to-text when conducting the assessment as, while useful and time-saving during assessments, talk-to-text data entry often leads to spelling and grammatical errors.

- **Determine Type of Product to Give asset Owner/Operators** – Many asset owners/operators will request feedback after an assessment. Discuss their expectations with them in advance. Communicate clearly what type of information you are able to offer after the assessment. Often assessors include a report from Haystax, a summary of key findings, options to address any identified concerns, and an indication of next steps that may be beneficial to them.