

Development Authority of the North Country Governance Policies

Subject: Access Control Plan

Adopted: August 26, 2021

Resolution: 2021-08-102



ACCESS CONTROL PLAN FOR THE WARNECK PUMP STATION AND MATERIALS MANAGEMENT FACILITIES

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SECTION 1.0 PURPOSE

This Access Control Plan has been developed for the Warneck Pump Station (WPS), Materials Management Facility (MMF), and the Recycling Transfer Station (RTS) in order to comply with: 1) the New York State Public Employer Workplace Violence Prevention Law that went into effect on March 4, 2007, with final regulations that took effect April 29, 2009; and 2) The Development Authority of the North Country's (Authority) Workplace Violence Prevention Policy by Resolution No. 2009-08-02 on August 20, 2009.

This Access Control Plan describes the methods, procedures, and measures to be used by the Authority to establish physical and personal control measures and prevent loss, damage or compromise of assets and interruption of business activities at the WPS, MMF, and RTS. This access plan only applies to facilities that are owned by the Authority; as such leased space is not included.

SECTION 2.0 MANAGEMENT CONTROLS

2.1 Risk Assessment

As part of the Authority's Workplace Violence Prevention Policy, each division completes a Workplace Security Checklist. These checklists are completed annually by division directors. The results of the checklist are compiled by the Authority's Director of Human Resources and reviewed by the Authority's Safety Committee for recommended actions.

2.2 Preparation Access Control Plan

A person knowledgeable with the access features at the facilities will prepare, as well as maintain, the Access Control Plan. Once the plan is completed, it will be maintained in OnBase. This Access Control Plan is to be made accessible to all employees and coordinated with local law enforcement. This document will be reviewed and updated annually or when a task is added or changed.

SECTION 3.0 WORKPLACE VIOLENCE PREVENTION TRAINING

Workplace Violence Prevention Training must be provided to all employees and a record must be kept of such training. This training must address the following topics:

1. Components of access control plan
2. Engineering controls instituted at the workplace
3. Work practice controls instituted at the workplace
4. Techniques to use in potentially volatile situations
5. How to anticipate/read behavior
6. Procedures to follow after an incident
7. Periodic refresher for on-site procedures
8. Recognizing substance abuse/paraphernalia

SECTION 4.0 FLOOR PLAN, EVACUATION PLAN

Emergency evacuation plans shall be posted near the exits of all offices and work areas at the WPS, MMF, and RTS. These plans show the general layout of the building floor plan and locations of exits, fire extinguishers, and pull stations.

All facilities shall have documented procedures for employees to follow in the event of an emergency situation and/or evacuation. Procedures and gathering points are included in the Health and Safety Manual reviewed by all employees. An annual evacuation drill shall be performed to ensure employee preparedness should an emergency situation arise.

SECTION 5.0 ENGINEERING CONTROLS

5.1 Warneck Pump Station Engineering Controls

With the exception of the front parking area, the WPS perimeter is completely enclosed with security fencing, having only one power entry gate. The access gate is kept closed at the facility. Access to the main entrance door at the WPS is controlled through a magnetic lock keypad. Personal codes are specific to employees, allowing for monitoring of access to the facility after business hours. Other doors are locked and the Water Quality Lead Operator maintains a list of employees that have been assigned a key to the facility.

The parking lot is well lit from sunset to sunrise. A closed circuit monitor located inside the administrative office displays the parking lot. The building is equipped with magnetic door closures, as well as motion detectors in the SCADA room and the operator room which will set off the alarm once the security system is activated. The first employee to arrive and last employee to leave at the end of business hours is responsible for activating the security control panel located at the main entrance to the facility. Once the system is activated, it will automatically call Rapid Response Monitoring of Syracuse, who is sub-contracted by Alltech Integrations Inc. when an alarm is triggered. Rapid Response will then dispatch emergency services based on our emergency call protocol and the type of alarm.

To enhance current facility controls, security video cameras have been added to the facility. These cameras are capable of recording activities at the site and are positioned to monitor critically sensitive areas.

5.2 MMF Engineering Controls

The Access Control Facility (ACF) / Operations & Maintenance (O&M) buildings at the MMF have electronic door locks at all entrance points and alarm panel touch pads inside the main entrance at each facility. The alarm touch pads require personal codes to access the facility. Employees are given access by the Division Director and the Lead Mechanic manages the day-to-day oversight of the system. The Lead Mechanic will maintain a list of personnel that have been provided with keys or access codes. The personal codes allow for tracking which employees enter buildings after business hours. Select employees, designated by the Division Director, possess keys to override the electronic key pads in case of malfunction. Security Plus is automatically notified when an alarm is set off and dispatches the appropriate emergency services.

The facility has a power entry gate to control vehicle access at the entrance to the facility on Route 177. This gate is open during business hours. Personnel working after hours are able to exit the facility by driving up to the gate which will automatically open and close after they

have exited the site. The last employee leaving the O&M building activates the security system. The parking lot is well lit between sunset and sunrise.

To enhance current facility controls, security video cameras are located throughout the facility. These cameras record activity at the site and are positioned to monitor critically sensitive areas.

5.3 RTS Engineering Controls

The RTS has several buildings including a main office building which includes a shop and maintenance area, processing/operations building, and cold storage buildings. When the facility is operational there are two to three employees that typically work at the facility. These employees operate equipment including the loader that feeds the compactor and a book de-binding machine; and perform office work on computers located in the main office building. The main office building is equipped with two electronic door locks and keypads: one is located at the front main entrance door and one is located on the side door. There is no security alarm. Employees are given access by the Division Director and the Lead Mechanic manages the day-to-day oversight of the system. The Lead Mechanic will maintain a list of personnel that have been provided with keys or access codes. The personal codes allow for tracking which employees enter buildings after business hours.

The facility has a simple access gate at the main entrance to prevent vehicular traffic after hours. This gate is open during business hours. The first employee entering the facility opens the gate and the last employee leaving the facility closes the gate, which is locked with a padlock. There is no parking lot lighting and minimal lighting around the buildings and entrance doors.

To enhance current facility controls, four security video cameras are located throughout the facility. These cameras record activity at the site and are positioned to monitor critically sensitive areas.

SECTION 6.0 WORK PRACTICE CONTROLS

Most employees should have only a computer, paperwork, and basic office supplies on their desk. Files containing sensitive information should not be left unattended on desks, especially over night. Warneck Pump Station and MMF facilities use an internal phone system as a means of secure communication among personnel of the Authority. Communication at the RTS is via cell phones only.

Office, shop, or other working areas should not have obstructed exits; any slight obstruction must be removed. Emergency phone numbers for 911 and Verisk 3E are posted near phones.

SECTION 7.0 PUBLIC ACCESS CONTROLS

7.1 Warneck Pump Station Public Access Controls

Visitors (all Authority and non-Authority employees) must use the main secure entrance that is opened electronically by the Administrative Associate, upon the visitor announcing themselves through the intercom placed by the door. There is a reception area, there is a glass partition separating visitors from the Administrative Associate. Employees receiving visitors shall notify the Administrative Associate in advance. The Administrative Associate will maintain a log of visitors entering the facility which will include the visitor's name, date, time of arrival/departure.

Visitors, other than Authority employees, shall be escorted around and out of the facility by Authority personnel, when appropriate.

7.2 MMF Public Access Controls

All visitors must sign in at the ACF upon arrival. Visitors and non-regular vendors shall be escorted around the facility, as appropriate. Authority staff at the Access Control Facility shall maintain a log of visitors entering the facility which will include the visitor's name, date, time of arrival and departure.

The shop/maintenance bay areas are not climate controlled and during summer, the overhead doors are kept open during the work day. This creates an unmanned, open area for unauthorized access into the O&M Building. There is an entrance vestibule between the shop and O&M Building. The door from the shop area has been retrofitted with a lock and keyless entry touch pad similar to the main entrance door. This will prevent unauthorized access into the O&M Building from the shop area.

7.3 RTS Public Access Controls

All visitors must sign in at the RTS upon arrival. Visitors and non-regular vendors shall be escorted around the facility, as appropriate. Authority staff at the RTS shall maintain a log of visitors entering the facility which will include the visitor's name, date, time of arrival and departure.

The shop and process areas are not climate controlled and the overhead doors are kept open during the work day. This creates an unmanned, open area for unauthorized access into the RTS Building. These shop doors are closed during the winter and all doors are closed during off hours. Given the limited staff that work at the facility and number of visitors, leaving these doors open during work hours has not created any security issues at the facility that would warrant capital expenditures to install engineering controls.

Revision Date: June 22, 2010

Revision Date: February 17, 2011; Resolution No. 2011-02-01

Revision Date: October 28, 2014

Revision Date: July 24, 2021