Security Aduit
Questionnaire

DO A 043122
CONFIDENTIAL

Louisiana Division
October 4, 1993

TO: All Superintendents

RE: SECURITY AUDIT QUESTIONNAIRE

As part of the Division's Consolidated Audit program, the attached questionnaire is a tool for each plant/department to use in evaluating where they are on Security/Emergency Response requirements, and what plans and actions would be required to achieve the Corporate Minimum Requirement.

To explain the compliance portion of the audit, the following numbered breakdown of the questions has been established:

1 - Does Not Exist
2 - Meets 25% of the requirements
3 - Meets 50% of the requirements
4 - Meets 75% of the requirements
5 - Meets 100% of the requirements

The questions listed are there to generate thought and are not intended to be a complete list. Please answer all questions honestly, and refer to the source material for more detail. If you have further questions on this, please contact me.

Al Lott
Security/Emergency Services

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U.S. AREA CONSOLIDATED AUDIT

SECURITY/EMERGENCY SERVICES

SOURCE: Corporate Security Minimum Requirements

POLICY: The control of Dow assets, process technology, manufacturing know-how and other proprietary information is a fundamental responsibility of all Dow employees. Supervision is responsible to develop a line driven Security Program to control these assets, and provide a secure working environment.

Compliance Level (1,2,3,4 or 5)

A. Access Control:

Previous/Current

1. Do all Dow employees wear badges? 4______
2. Do all Contractor employees wear badges? 5______
3. Are all visitors (Government, consultants, joint ventures, plant tours) escorted, and do they have a pass? 5______

   Explain your process. All visitors must sign in and be escorted unless that visitor has been properly indoctrinated and the host has determined that they are approved and qualified to be in the block without an escort.
4. Do control room personnel challenge "strangers"? 5______
5. Do you use the sign-in/out procedure? 3______
6. Do truck drivers wait/deliver in a non-sensitive area? 5______
7. Do you have any restricted areas in your block/unit/plant? yes______
   1. If yes, identify. The cell area is a restricted access area.
   2. How many people have access to these areas? All Dow employees______
   3. Are your procedures adequate? 4______
8. Do you have adequate locks/locking devices on doors, gates and storage? 3______

   Are these locks part of the site's access control systems? ______

Previous/Current

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9. Do you have adequate after hours access control? 2__________
   Explain your process. __________

B. Computer Security:

Previous/Current

1. Do you have policies in place to insure data integrity by determining who can access information and change programs? 5__________
2. Do you control who has access to your computer systems? 5__________
3. Do you have provisions in place to recover data in the event of a disaster which could include physical damage or loss of memory? 5__________
4. Is your computer data backed up routinely and do you have remote storage? 5__________
5. Are your computer systems password protected? 5__________
6. Are passwords deleted as soon as employees terminate or transfer from the department? 5__________
   Explain your process. __________
7. Is the hard disk free of data before the computer is sent out for repairs? 5__________
   Explain your process. __________
8. Do you have adequate administrative controls for accessing your computer:
   - Passwords? 5__________
   - Virus protection? 5__________
   - Maintenance protocol? 5__________
   - Remote access policy? 5__________
   - Subsidiaries access? 5__________
   - Use by non-Dow personnel? 5__________

   Explain your process. N/A Work Station program.

Previous/Current

9. Are any terminals left on line in non-secured areas? 5
10. Are security breaches reported? 5
11. Does your electronic data meet the records retention policy? 4

Explain your process. Individual responsibility to comply and annual spot audits for compliance.

C. Crime and Fraud:

1. Are employees aware of their responsibilities to report any loss or potential loss of Dow assets? 5
2. Do you have a tool and equipment identification policy? 5

   Explain your process. ______

3. Are serial numbers recorded for high profile equipment (computers, analytical balances, VCR's, TV's, radios, projectors)? 5
4. Is this equipment adequately secured when not in use? 5
5. Are employees aware of the consequences of being involved in crime and fraud against Dow? 5
6. Are potential conflicts of interest known and adequately covered? 5

D. Data and Informational Transmission Systems

1. Have you considered the sensitivity of TELEX, facsimile and mail information, and are adequate control measures taken? 5

E. Material Control:

Previous/Current

1. Is there adequate separation of authority to deter fraud

(i.e., separate individuals to order, receive and authorize payment)? ____________ 5

2. Is there an inventory and material control system in place for inventory, materials, equipment and scrap? 5____________

3. Are measurement systems adequate to control inbound and outbound materials, supplies and products? 5____________

F. Proprietary Information Control:

1. Classification

- Have all employees been indoctrinated into the program classifying proprietary information as "Dow Restricted", "Dow Confidential" and "Dow Controlled?" yes

- Are all pages of documents classified "Dow Confidential" so marked? yes

- Are proper auditing systems established for documents classified "Dow Confidential," covering generation, handling, storage and disposal? Yes

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F. Proprietary Information Control, cont.:

	Previous/Current
2. Do you have written procedures for:	
• Indoctrinating all employees as to the proper generation, handling, storage, and disposal of Dow Confidential documents by Plant management?	5
Have all employees been indoctrinated?	5
• Control of filming and taking photographs within your plant?	5
• Release of proprietary information outside of Dow and to Government agencies?	5
3. Are your control diagrams or programs kept and disposed of in a secure fashion?	5
4. Area Piping and Instrument Diagrams:	
• Released only through the manufacturing Rep. and returned for disposal when no longer needed?	5
• Are P&ID's stamped "Dow Confidential - Do Not Copy"?	5
• Are all copies of P&ID's released traceable through a document release numbering system?	5
• Do you control to whom these documents are released and who they are?	5
5. Do you have any Government classified contracts/information and property?	N/A
Is it stored and handled to meet Government requirements?	N/A
6. Are any of your operations subject to the export/ import controls? Movement of information, materials and people across transnational borders. Are controls adequate?	N/A

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F. Proprietary Information Control, cont.:

Previous/Current

7. Are any employees involved in competitive intelligence gathering? N/A__________
   If yes, are they aware of the Dow publication, "Guideline for Gathering Competitive Information", Appendix F in the Guideline for Handling Dow Proprietary Information? N/A__________
8. Have the requirements of the Dow Secrecy Agreement been reviewed with each employee in the past two years? 5__________

G. Travel

1. Are department members engaged in international travel aware of security related information which is available to them from their local Security Department? __________

H. What are the three major security concerns of your department/area? 1. After hour access to front office building. 2. After hour access to warehouse area and materials.

I. Do you feel the security program at the site, and in your area in particular, is reasonable and appropriate? Why or why not?

Yes.

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REFERENCES

- Minimum Requirements for SLP&S *(Corporate S/LP/S)*
- Guidelines for Handling of Dow Proprietary Information *(Corporate S/LP/S)*
- Computer Security Policies and Procedures *(Corporate S/LP/S)*
- Guidelines for Gathering Competitive Information *(Patent Dept.)*
- Security ... in Office and Data Handling Areas *(Corporate S/LP/S)*
- The Dow Chemical Company CRI Guidelines *(Technical Inform. Service)*
- Guidelines for Emergency Planning *(Corporate S/LP/S)*
- Trade Secrets and Other Confidential Information at Dow *(Patent Dept.)*
- Records Management Program Handbook *(Records Management)*
- Comptrollers -- Accounting Policy and Procedures *(Corporate Controllers Department)*
- Industrial Security Manual for Safeguarding Classified Information *(U.S. Government Department of Defense)*
- Faxing Guidelines for Propriety Information
- Export/Import Reference Manual *(Patent Dept.)*
- Guidelines for Safety, Loss Prevention and Security Reporting *(Corporate S/LP/S)*
- Office Procedures Manual *(Dow USA Headquarters -- Bulk Literature Form Number 16600115)*
- Local Publications: Common Sense Security for Michigan Division Employees *(Michigan Division Security)*
- Document Creation