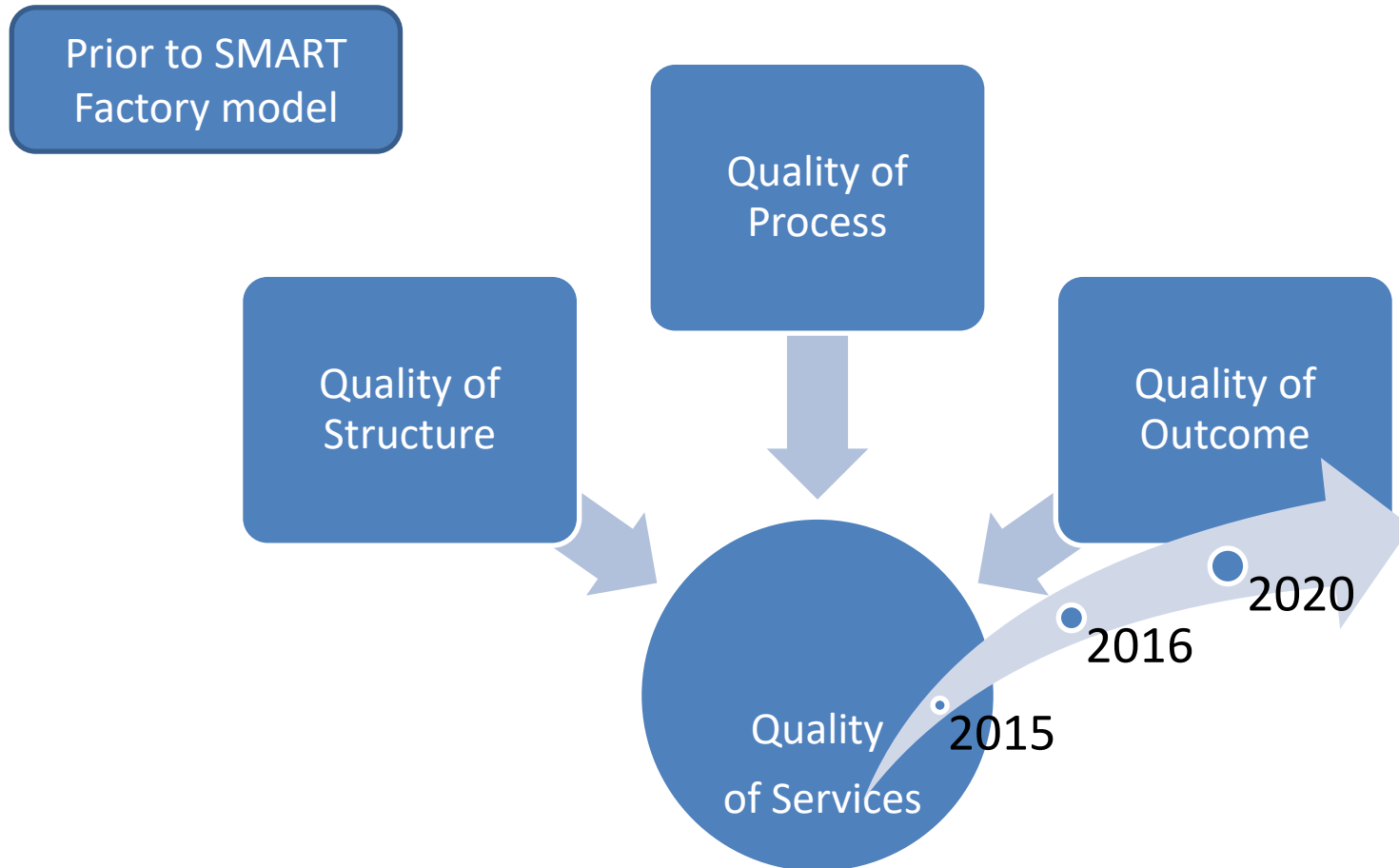


# Factory or Facility Management



# Gap Analysis for Facility Management and Safety

## REFERENCES

Production Facility Handbook by WORLDWIDE RESPONSIBLE ACCREDITED PRODUCTION (WRAP).

### About WRAP

Headquartered in Arlington, Virginia, USA (and with branch offices in Hong Kong and Bangladesh, along with a representative in India and Thailand), Worldwide Responsible Accredited Production (WRAP) is an independent, objective, non-profit team of global social compliance experts dedicated to promoting safe, lawful, humane and ethical manufacturing around the world through certification and education.

# Gap Analysis for Facility Management and Safety

## A. FACILITY INFORMATION

Name of facility:

Physical Location Address:

Correspondence Address:

Telephone:

Fax:

Year facility was established:

Number of years that facility has been operational at this location:

Number of buildings that are part of the facility:

Are there any plans to add buildings or renovate?

Please describe:

Are there any plans to relocate?

Please describe:

# Gap Analysis for Facility Management and Safety

## **B. FACILITY CONTACT INFORMATION**

1. Contact person:
2. Designation or title of contact person:
3. Telephone: Fax:
4. Email address:

## **C. Facility Business Information**

1. Name of Facility manager:
2. Type of business or nature of services:
3. Number of employees (paid, full time contract, part time contract etc):
4. Languages spoken by the management and employees at this facility:

# Gap Analysis for Facility Management and Safety

## C. ASSESSMENT

Does the facility management team obtain current information on all relevant laws and regulations concerning each of the principles?

- a. SMART Factory standards and compliance Yes/No
- b. Environmental standards and compliance Yes/No
- c. Health and safety standards Yes/No
- d. Security Yes/No
- e. General labor law Yes/No
- f. Minimum ages for employment and related restrictions Yes/No
- g. Wages and hours Yes/No
- h. Employment discrimination Yes/No
- i. Freedom of association and collective bargaining Yes/No
- j. Relevant international trade law Yes/No
- k. Customs and Compliance Yes/No

Does the management promptly incorporate this information in its business practices? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

Does the organization have policies and procedures for current information on all relevant laws and regulations on each of the relevant principles?

- a. SMART Factory standards and compliance Yes/No
- b. Environmental standards and compliance Yes/No
- c. Health and safety standards Yes/No
- d. Security Yes/No
- e. General labor law Yes/No
- f. Minimum ages for employment and related restrictions Yes/No
- g. Wages and hours Yes/No
- h. Employment discrimination Yes/No
- i. Freedom of association and collective bargaining Yes/No
- j. Relevant international trade law Yes/No
- k. Customs and Compliance Yes/No

# Gap Analysis for Facility Management and Safety

Does the facility have a qualified person responsible for informing the facility of changes to laws and regulations, or access to current publications on relevant national and local laws? Yes/No/Partially

Does the facility update its practices to incorporate revisions to existing laws and regulations in a timely manner? Yes/No/Partially

Does the facility undertake internal monitoring of its management system (internal audits) to satisfy itself that the written procedures and processes are meeting the requirements of the relevant national and local laws and principles? Yes/No/Partially

During the previous two years has the facility had any notices of noncompliance levied against it (including any legal proceedings or outstanding allegations concerning the facility's operations)? Yes/No

If Yes, please explain:

# Gap Analysis for Facility Management and Safety

## D. KNOWLEDGE AND DEVELOPMENT

Does your facility have a program to train relevant individuals regarding the changes for any new laws or revisions to existing laws and regulations? Yes/No

Are the materials used for this purpose appropriate? Yes/No

List the exceptions to all relevant laws, rules, and regulations other than those specifically documented elsewhere:

Does your facility have a written operating policy manual that includes the following: all relevant laws and regulations pertaining to the principles, facility's policies and procedures pertaining to the principles, routine updates for revisions to existing laws and regulations? Yes/No/Partially



# Gap Analysis for Facility Management and Safety

## **E. SUB-CONTRACTING**

Does your facility sub-contract any of its engineering or production operations?

Yes/No

Does your facility sub-contract any other operations? Yes/No

How has your facility informed the sub-contractor of their obligations under the local labor law and relevant principle requirements? Yes/No/Not applicable

Does your facility keep evidence of how the sub-contractor(s) has/have been made aware of these requirements? Yes/No/Not applicable

Does your facility keep receipt of sub-contractor acknowledgement of these requirements? Yes/No/Not applicable

Does your facility regularly review its list of sub-contractors to make sure it is up to date? Yes/No/Not applicable

# Gap Analysis for Facility Management and Safety

## **F. HEALTH AND SAFETY**

Does your facility comply with all relevant health and safety laws and regulations?

Does your facility have all relevant government health, safety, and fire safety certificates/permits, insurance policies and any relevant correspondence or documents from government officials?

Does your facility undertake internal monitoring of your health and safety systems, including fire safety, to ensure you are following the written procedures and processes and meeting the requirements of all relevant laws?

Have risk assessments been carried out throughout your facility, including fire risk assessments?

# Gap Analysis for Facility Management and Safety

If there were any risks or deficiencies that were identified by the health, safety and fire risk assessment, were they corrected?

Does your facility conduct regular occupational health checks for hazardous job duties?

Does your facility have a formally designated qualified person with responsibility for communicating, deploying and monitoring all health, safety, and fire safety policies and practices?

Does your facility track health, safety, and fire incidents?

Does your facility have a program and materials to train relevant individuals, including all individuals responsible for the supervision of staff, on all of the relevant occupational health and safety issues?

# Gap Analysis for Facility Management and Safety

Does your facility have a written safety program, including written procedures to handle natural disasters, fire safety, and emergencies and industrial accidents?

Are the following safety documents maintained by your facility:

- a. Health and safety reports? Yes/No
- b. Heavy machinery inspection? Yes/No
- c. Maintenance reports? Yes/No
- d. Fire extinguisher records, noting date of inspection and expiration? Yes/No
- e. Emergency drill records, noting date and detailed results? Yes/No
- f. Work injury reports? Yes/No
- g. Clinic logs, noting date and reason for visit? Yes/No

Have any government agencies inspected your facility for compliance with safety and health regulations during the past two years?

# Gap Analysis for Facility Management and Safety

Does your facility (as relevant) address the following occupational health and safety needs required by the relevant laws and regulations for the following:

- a. Heat stress/extreme temperatures? Yes/No
- b. Paint spray/spot cleaning booths? Yes/No
- c. Welding safety? Yes/No
- d. Respirator safety? Yes/No
- e. Blood borne pathogen program? Yes/No
- f. Hearing (noise control program)? Yes/No
- g. Indoor air quality? Yes/No
- h. Cotton dust ventilation? Yes/No
- i. Sanitary waste disposal? Yes/No
- j. Utilization of pesticides and insecticides? Yes/No

# Gap Analysis for Facility Management and Safety

## **G. GENERAL BUILDING REQUIREMENTS**

Does a visual inspection of your entire facility premises suggest any concerns about the physical integrity of the facility? Yes/No

What is the overall general appearance of your facility: excellent, good, fair, or unacceptable?

Is the overall general appearance of the operations and maintenance department acceptable and not in a condition that can cause serious injury or harm? Yes/No

Is trash properly disposed of both inside and outside the facility? Yes/No

Are the toilets and washrooms in your facility in sanitary and serviceable condition and meeting minimum quantity required established by relevant law? Yes/No

# Gap Analysis for Facility Management and Safety

Are exits unlocked during times when the facility is occupied to allow free, unobstructed exit from the facility? Yes/No

Are any aisles blocked or restricting easy access to emergency exits? Yes/No

Has your facility appropriately identified areas that, for fire safety purposes, should be designated as “non-smoking”? Yes/No

Is your facility properly enforcing the “non-smoking” policy for areas so designated? Yes/No

Does your facility maintain first aid supplies as required by law or if no legal requirement exists, as recommended by a local medical provider? Yes/No

Are these first aid supplies available and accessible to all areas of the facility? Yes/No

# Gap Analysis for Facility Management and Safety

Is there clean drinking water and is it easily accessible at the facility? Yes/No

Is drinking water provided at no cost to employees? Yes/No

Is your facility's crèche/child-care area operated and maintained in a safe and healthy manner? Yes/No

Is your facility's canteen/cafeteria operated and maintained in a safe and healthy manner? Yes/No



# Gap Analysis for Facility Management and Safety

## **H. PERSONAL PROTECTION EQUIPMENT (PPE)**

Does your facility conduct hazard assessments to determine if any personal protective equipment is required? Yes/No

If personal protective equipment is required, is it provided to affected employees, at no cost? Yes/No

Are the PPE appropriate and adequate for the workers' job and in good condition?  
Yes/No

# Gap Analysis for Facility Management and Safety

## I. ELECTRICAL SAFETY

Is there a qualified electrician in your facility responsible for maintaining electrical safety? Yes/No

If not, what is the facility doing to ensure electrical safety?

Does a visual inspection of the wiring indicate good general condition of the cabling, tidiness, and no exposed or loose wires? Yes/No

Does a visual inspection of the electrical boxes and cabinets verify: complete enclosures with covers provided, switches and outlets maintained in good working order, and all circuit breakers/trips are in place? Yes/No

# Gap Analysis for Facility Management and Safety

## J. WORKER SAFETY AWARENESS

Does your facility maintain a safety committee comprised of workers and management, which holds quarterly meetings and keeps minutes of proceedings?  
Yes/No

Does your facility conduct an orientation health and safety and fire training for all new employees? Yes/No

Does the training cover the following in regards to fire safety?

- a. Staff are informed of the locations of fire alarm pull and button stations - Yes/No
- b. Staff are informed of the locations of fire extinguishers in and near their work area - Yes/No
- c. Staff have specific training concerning the dangers of smoke inhalation - Yes/No
- d. Staff are informed of location of nearest exits and assembly points - Yes/No

# Gap Analysis for Facility Management and Safety

Is employee training conducted for first aid and safety? Yes/No

Are first aid responders/emergency safety personnel identified and properly trained?  
Yes/No

Have selected employees been trained on the proper use of firefighting equipment?  
Yes/No

Have all employees who have any contact with chemicals been trained on how to safely handle and dispose of the specific chemicals and eliminate fire risk? Yes/No

Are MSDS (Materials Specific Data sheets and precautionary information ) available (in appropriate language(s)) for all chemicals used by the facility? Yes/No

# Gap Analysis for Facility Management and Safety

## **K. FIRE SAFETY**

Does your facility have an emergency evacuation plan in the native language posted in view of the facility's workers? Yes/No

Does your facility conduct regular emergency evacuation drills (at least semi-annual)?  
Yes/No

Does the facility have adequate numbers and locations of unimpeded emergency exits that open outwards and lead to a safe assembly point? Yes/No

Is the installed safety equipment:

- a. visible? Yes/No
- b. appropriate in functionality and number? Yes/No
- c. properly distributed throughout the facility? Yes/No
- d. easily accessible? Yes/No
- e. properly mounted? Yes/No
- f. unblocked and free of obstruction? Yes/No

# Gap Analysis for Facility Management and Safety

Are the fire extinguishers appropriate for the class(es) of fires expected in the area?

Yes/No

Are the fire-fighting water hoses and connections in usable condition? Yes/No

Does your facility have appropriate measures to ensure adequate water pressure for fire-fighting water hoses and sprinkler systems? Yes/No

## **SPRINKLER VALVES**

Are sprinkler valves in good working order? Yes/No

Are all sprinkler heads kept unobstructed from storage or other materials? Yes/No

# Gap Analysis for Facility Management and Safety

## **FIRE ALARM BOXES**

Are fire alarms clear, unobstructed, and identified? Yes/No

Does the facility have a test schedule for all fire alarm boxes? Yes/No

Are combustible scrap, debris, and waste materials stored in covered metal receptacles, and removed from the work site promptly? If not, explain how they are stored. Yes/No

## **EMERGENCY EVACUATION**

Are lighting and alarm systems adequate and fitted with back-up systems? Yes/No

# Gap Analysis for Facility Management and Safety

## **EMERGENCY LIGHTING**

Is appropriate emergency lighting in place in your facility? Yes/No

Is the emergency power system working and in good condition? Yes/No

Does the facility regularly conduct tests to ensure the system is functioning properly?  
Yes/No

## **STAIRWAYS**

Are all stairway handrails in good condition? Yes/No

Are all stair treads in good condition? Yes/No

Are all stair widths in compliance with requirements of all relevant laws? Yes/No

Are the stairways provided with artificial and emergency lighting? Yes/No

Are stairways completely clear of obstructions? Yes/No

Does the facility ensure stairways are not used for storage? Yes/No



# Gap Analysis for Facility Management and Safety

## **L. CHEMICAL SAFETY**

Does your facility have a chemical safety program? Yes/No

Where applicable, does your facility properly store hazardous/toxic materials?  
Yes/No

Does your facility have the required government storage and usage permits for chemicals, if required? Yes/No

Does your facility maintain documentation for chemical labeling (including fire safety), chemical usage warnings, and proper handling instructions? Yes/No

Does your facility ensure that all solvent wastes and flammable liquids are properly stored (including being kept in closed containers when not in use) at all times and kept away from potential ignition sources? Yes/No

# Gap Analysis for Facility Management and Safety

Are the chemical storage areas free of ignition sources? Yes/No

Are all lamps and lights away from combustible chemicals? Yes/No

# Gap Analysis for Facility Management and Safety

## **M. BOILER & COMPRESSOR ROOMS (if applicable)**

Is the location of the boiler and compressor room consistent with all relevant requirements? (If no local or national laws apply, please describe the location of the boiler and compressor room.) Yes/No

Are there housekeeping and maintenance procedures in place for the boiler and compressor rooms? Yes/No

Are there any fuel leaks? Yes/No

Are the boilers and compressors inspected and serviced periodically? Yes/No

Are the boiler licenses valid and authentic? Yes/No

Is the boiler operator certificate valid and authentic? Yes/No

# Gap Analysis for Facility Management and Safety

## **N. FACTORY INTEGRATION CENTRE (FIC)**

Does your facility have a FIC system relevant to its industry? Yes/No

Does your facility have a formally designated qualified person with responsibility for communicating, deploying, and monitoring the FIC practices elaborated upon in the FIC Planner? Yes/No

Does your facility have a program and materials used to train relevant individuals on each practice of the FIC Planner? Yes/No

Does your facility assess its ability to prevent and control downtime, risks, failure as a part of the FIC system? Yes/No

# Gap Analysis for Facility Management and Safety

## **ENVIRONMENT MANAGEMENT**

Does your facility have an environmental management system relevant to its industry? Yes/No

Does your facility have a formally designated qualified person with responsibility for communicating, deploying, and monitoring the environment practices elaborated upon in the environmental management system? Yes/No

Does your facility have a program and materials used to train relevant individuals on each practice of the environmental management system? Yes/No

Does your facility assess its ability to prevent and control harmful releases of industrial waste into the environment as a part of the environmental management system? Yes/No

# Gap Analysis for Facility Management and Safety

Does your facility maintain a detailed plan for handling accidental release or discharge of environmentally dangerous materials? Yes/No

Does your facility maintain records of emission events? Yes/No

Does your facility's environmental management system address where and how solid, chemical, sanitary and waste water substances are disposed? Yes/No

Does the facility adequately communicate to all facility employees the relevant local and national laws and regulations as well as pertinent facility procedures concerning the environment principle? Yes/No

# Gap Analysis for Facility Management and Safety

## O. CUSTOMS COMPLIANCE

Does your facility keep copies of all applicable customs laws and regulations? Yes/No

Does your facility's policies and procedures on customs compliance cover the following requirements:

- a. Compliance with all applicable customs laws and maintains practices to comply with customs laws regarding illegal transshipment of products. In the event possible illegal transshipment activity, appropriate host government agency will be notified? Yes/No
- b. Monitors its productions on a per style basis? Yes/No
- c. Traces country of origin using records such as production, shipping, verification reports, quality control reports, and individual piecework sheets, for all inputs? Yes/No

# Gap Analysis for Facility Management and Safety

d. Verifies production on an ongoing basis on-site and at sub-contracting facilities?

Yes/No

e. Maintains a facility machine inventory and updates it annually? Yes/No

(If applicable)

a. Ensures that the proper category designation is determined for all goods destined for the US or foreign market? Yes/No

b. Does your facility maintain an organized system of production documentation?

Yes/No

c. Are the following records maintained?

c1. Records of the country of origin for all goods produced in this facility? Yes/No

c2. A production profile of any subcontracting facility. This facility requests documents from the subcontracting facilities when questions regarding goods produced at those facilities arise? Yes/No

c3. Production/purchase orders (with information such as conditions of production, payment, and finished product specifications)? Yes/No



# Gap Analysis for Facility Management and Safety

c4. Raw material invoices (indicating country/origin/manufacturing facility)? Yes/No

c5. Shipping/receiving documents (outgoing and incoming records of components/inputs sent to or received from another facility)? Yes/No

c6. Employee work records – accurate records of employee work hours that can be linked to the production of specific products? Yes/No

c7. Quality control records (which may include facility name and address, purchase order number, style number, date of the quality check, buyer, name, stamp or signature of inspector, comments on production)? Yes/No

c8. Export documents (including: packing list, manifest, bill of lading/airway bill from truck, ship, plane or train indicating the export date, exporting entity, destination, shipping lines, importing entity, and any charges incurred)? Yes/No

# Gap Analysis for Facility Management and Safety

- c9. Outward processing production (if applicable, copies of the outward processing program designated by the domestic government, copies of compliance review reports, documentation demonstrating the flow of goods from one facility to another)? Yes/No
- c10. Number of units produced marked with a traceable mark? Yes/No
- c11. Machine inventory records, updated at least once a year? Yes/No
- c12. Documented confirmation of the correct category and country of origin for goods through verification of correct country of origin such as binding rulings from the associated country's Customs Service, confirmation with purchasing company, knowledgeable/trained staff, etc? Yes/No

# Gap Analysis for Facility Management and Safety

c13. Documentation on how the qualified person with responsibility for this Principle communicates, deploys, and monitors the facility's customs compliance policies?

Yes/No

Has the facility designated a qualified person with responsibility for communicating, deploying, and monitoring customs compliance? Yes/No

Does the responsible person ensure that such origin determining documents are maintained for at least the period of record retention required by law? Yes/No

Does the responsible person stay current with possible illegal transshipment activity in the host country through communication with appropriate bodies such as the host government, trade association, contact with associated country's Customs, corporate importing office etc., and be responsible for maintaining files on any known transshippers or transshipment activities determined to be in the host country or with a country from which facility sources? Yes/No

# Gap Analysis for Facility Management and Safety

## **P. SUB-CONTRACTING PARTICULARS**

Do the facility's production records include verification of sub-contractor performance? Yes/No

What records are used?

- a. Date and location of the verification Yes/No
- b. Product(s) verified Yes/No
- c. Purchasing company Yes/No
- d. Model or Unit number Yes/No
- e. Phase of production Yes/No
- f. Reference indicator for employee(s) performing operation Yes/No
- g. Name/stamp or signature of verifying official Yes/No

Does the responsible person ensure that all subcontracting facilities complete a production profile and keeps such profiles on file? Yes/No/Not Applicable

# Gap Analysis for Facility Management and Safety

Does your facility verify production at subcontracting facilities when necessary through the review of requested documentation or personal visits (recording such instances of production verification and keeping on file)? Yes/No/Not Applicable

# Gap Analysis for Facility Management and Safety

## **Q. SECURITY**

Does your facility have practices to guard against the introduction of contraband (e.g. drugs, explosives, biohazards, and/or other contraband; any non-manifested cargo will be referred to as contraband.)? Yes/No

Has your facility designated a qualified person with responsibility for communicating, deploying, and monitoring security policies and procedures? Yes/No

## **PHYSICAL ACCESS CONTROLS**

SCOPE: Access controls prevent unauthorized entry to facilities, maintain control of employees and visitors, and protect company assets. Access controls must include the positive identification of all employees, visitors, and vendors at all points of entry.

Does your facility have a physical access control procedure? Yes/No

# Gap Analysis for Facility Management and Safety

## EMPLOYEES

Does your facility have an employee identification system in place for positive identification and access control purposes? Yes/No

Does your facility ensure that employees are only given access to those areas needed for the performance of their duties? Yes/No

Does your facility control the issuance and removal of employee, visitor and vendor identification badges? Yes/No

Does your facility have documented procedures for the issual, removal and changing of access devices (e.g. keys, key cards, etc.)? Yes/No

# Gap Analysis for Facility Management and Safety

## **VISITORS**

Do visitors present photo identification for documentation purposes upon arrival?

All visitors should be escorted and should visibly display temporary identification?

Yes/No

## **VENDORS AND DELIVERY PERSONNEL (including mail)**

Is vendor ID and/or photo identification required to be presented for documentation purposes upon arrival by all vendors? Yes/No

## **MANAGING UNAUTHORIZED ENTRY**

Does your facility have documented procedures in place to identify, challenge and address unauthorized/unidentified persons? Yes/No



# Gap Analysis for Facility Management and Safety

Does your facility have a threat awareness program in place and is it maintained by security personnel to recognize and foster awareness of the threat posed by terrorists and contraband smugglers at each point in the supply chain? Yes/No

Does your facility make employees aware of the procedures the company has in place to address a security situation and how to report it? Yes/No

## **PERSONNEL SECURITY**

Does your facility have documented procedures in place to screen prospective employees and to periodically check current employees? Yes/No

Does your facility verify application information, such as employment history and references, prior to employment? Yes/No

# Gap Analysis for Facility Management and Safety

Does your facility conduct background checks and investigations for prospective employees? Yes/No

Once employed, are periodic checks and reinvestigations performed based on cause, and/or the sensitivity of the employee's position? Yes/No

Does your facility have procedures in place to remove identification, facility, and system access for terminated employees? Yes/No

## **PROCEDURAL SECURITY**

SCOPE: Security measures must be in place to ensure the integrity and security of processes relevant to the transportation, handling, and storage of materials or cargo in the supply chain.

# Gap Analysis for Facility Management and Safety

Are documented procedures in place to ensure that all information used in the clearing of material/merchandise/cargo is legible, complete, accurate, and protected against the exchange, loss or introduction of erroneous information? Yes/No

Does documentation control include safeguarding computer access and information? Yes/No

Are documented procedures in place to help ensure the integrity of materials or cargo? Yes/No

Is the information received from business partners reported accurately and in a timely manner? Yes/No

Is cargo that is being shipped reconciled against information on the material or cargo manifest? Yes/No

# Gap Analysis for Facility Management and Safety

Is all material or cargo accurately described and are the weights, labels, marks, and piece count indicated and verified? Yes/No

Does the facility verify departing material or cargo against purchase or delivery orders? Yes/No

Does the facility verify incoming material or cargo against purchase or delivery orders? Yes/No

Are drivers delivering or receiving material or cargo positively identified before material or cargo is received or released? Yes/No

Are documented procedures in place to track the timely movement of incoming and outgoing material or goods? Yes/No

# Gap Analysis for Facility Management and Safety

Are all shortages, overages, and other significant discrepancies or anomalies resolved and/or investigated appropriately? Yes/No

Are customs and/or other appropriate law enforcement agencies notified if anomalies, illegal or suspicious activities are detected - as appropriate? Yes/No

Does the facility give additional training to employees in the shipping and receiving areas, as well as those receiving and opening mail? Yes/No

Does the facility undertake additional, specific training to assist employees in maintaining materials or cargo integrity, recognizing internal conspiracies, and protecting access controls? Yes/No

Do these programs offer incentives for active employee participation? Yes/No

# Gap Analysis for Facility Management and Safety

## **SURVEILLANCE**

Does CCTV surveillance cover the areas around material or cargo handling and storage facilities? Yes/No

If the facilities perimeter is the sidewalk, are security measures are in place? Yes/No

Is CCTV surveillance within a material or cargo handling structure used to keep track and safeguard domestic, international, high value, and hazardous material or cargo? Yes/No

Is all CCTV surveillance regularly inspected for integrity and damage? Yes/No

# Gap Analysis for Facility Management and Safety

## FENCING

Does perimeter fencing enclose the areas around material or cargo handling and storage facilities? Yes/No

If the facilities perimeter is the sidewalk, are security measures are in place? Yes/No

Is interior fencing within a material or cargo handling structure used to segregate domestic, international, high value, and hazardous material or cargo?  
Yes/No

Is all fencing regularly inspected for integrity and damage? Yes/No

# Gap Analysis for Facility Management and Safety

## **GATES**

Are the gates through which vehicles and/or personnel enter or exit manned and/or monitored? Yes/No

Are the number of gates kept to the minimum necessary for proper access and safety? Yes/No

## **PARKING**

Are private passenger vehicles prohibited from parking in or adjacent to material or cargo handling and storage areas? Yes/No



# Gap Analysis for Facility Management and Safety

## **BUILDING STRUCTURE AND CONTROLS**

Are buildings constructed of materials that resist unlawful entry? Yes/No

Is the integrity of structures maintained by periodic inspection and repair? Yes/No

Are all external and internal windows, gates, and fences secured with locking devices? Yes/No

Does management or security personnel control the issuance of all locks and keys? Yes/No

Is adequate lighting provided inside and outside the facility including in the following areas: entrances and exits, material or cargo handling and storage areas, fence lines and parking areas? Yes/No

# Gap Analysis for Facility Management and Safety

Are alarm systems and video surveillance cameras utilized to monitor premises and prevent unauthorized access to material or cargo handling and storage areas?

Yes/No

If alternative methods are used, are they adequate? Yes/No

# Gap Analysis for Facility Management and Safety

## IT AND ACCOUNTABILITY

Does your facility have automated systems for individually assigned accounts that require a periodic change of password? Yes/No

Does your facility have documented IT security policies, procedures, and standards in place? Yes/No

Are they provided to employees in the form of training? Yes/No

Does your facility have a system in place to identify the abuse of IT including improper access, tampering, or the altering of business data? Yes/No

Are all system violators subject to appropriate disciplinary actions for abuse? Yes/No

# Gap Analysis for Facility Management and Safety

## T. OTHER ZERO LEVEL CHECKLISTS

1. Does a safety committee coordinate development, implementation and monitoring of a safety plan and policies? Yes/No/Partially
2. Are safety devices installed across the facility or building and are they inspected periodically? Yes/No/Partially
3. Does the facility or building have non-smoking zones? Yes/No/Partially
4. Are facility inspection rounds to ensure safety, conducted at least twice in a year for frequently used areas and at least once a year for infrequently used areas? Yes/No/Partially
5. Are inspection reports documented and are corrective and preventive measures undertaken? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

6. Is there a safety education programme for staff? Yes/No/Partially
7. Are facilities appropriate to the scope of services of the facility or building?  
Yes/No/Partially
8. Does the facility or building operate to ensure safety of people, children, aged, infirm, staff, customers and visitors? Yes/No/Partially
  - Are up-to-date drawings maintained to support details of site layout, floor plans and fire-escape routes? Yes/No/Partially
9. Are internal and external sign postings largely understood by the staff, consultants, patients, customers and visitors? Yes/No/Partially
10. Is potable water and electricity available around the clock? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

11. Are alternate sources of electricity and potable water provided as a backup for any failure/shortage? Is there a plan for water management? Yes/No/Partially
12. Does the management committee regularly test these alternate sources? Yes/No/Partially
13. Is the provision of space in accordance with the available literature on good practices (Indian and international standards) and directed by government agencies? Yes/No/Partially
14. Are there designated individuals responsible for the maintenance of all facilities? Yes/No/Partially
15. Is there a documented operational and maintenance plan (inclusive of preventive and breakdown planning)? Yes/No/Partially
16. Are maintenance staff contactable around the clock for emergency repairs? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

17. Are response times monitored right from reporting to inspection and thereon implementation of corrective actions? Yes/No/Partially
18. Does the management committee plan for equipment in accordance with its services and strategic plan? Yes/No/Partially
19. Are equipments selected, purchased / rented, updated or upgraded by a collaboration process? Yes/No/Partially
20. Are equipments inventoried and proper logs maintained as required? Yes/No/Partially
21. Do qualified and trained personnel operate and maintain equipment and utility systems? Yes/No/Partially
22. Is there a documented operational, house-keeping and maintenance (incidental, preventive and corrective) plan? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

- 23. Is there a maintenance plan for water management? Yes/No/Partially
- 24. Is there a maintenance plan for electrical systems? Yes/No/Partially
- 25. Is there a maintenance plan for heating, ventilation and air-conditioning?  
Yes/No/Partially
- 26. Is there a documented procedure for equipment replacement and disposal?  
Yes/No/Partially
- 27. Do qualified and trained personnel operate and maintain the equipment?  
Yes/No/Partially
- 28. Are the equipment periodically inspected and calibrated for their proper functioning? Yes/No/Partially



# Gap Analysis for Facility Management and Safety

29. Do documented procedures govern procurement, handling, storage, distribution, usage and replenishment of chemicals/corrosive liquids/explosive gases?  
Yes/No/Partially
30. Are chemicals/corrosive liquids/explosive gases handled, stored, distributed and used in a safe manner? Yes/No/Partially
31. Do procedures for chemicals/corrosive liquids/explosive gases address the safety issues at all levels? Yes/No/Partially
32. Are there alternate sources for chemicals/corrosive liquids/explosive gases in case of issues or hazards? Yes/No/Partially
33. Does the management committee regularly test these alternate sources?  
Yes/No/Partially
34. Is there an operational and maintenance plan for any piped gas/corrosive liquid flow, and compressed air installation? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

- 35. Does the management committee have plans and provisions for early detection, abatement and containment of fire, and non-fire emergencies (disasters) within the facilities? Yes/No/Partially
- 36. Does the facility or building have a documented safe-exit plan in case of fire and non-fire emergencies? Yes/No/Partially
- 37. Are the staff trained for life saving roles in case of such emergencies? Yes/No/Partially
- 38. Are mock drills held at least twice a year? Yes/No/Partially
- 39. Is there a maintenance plan for fire-management related equipment? Yes/No/Partially
- 40. Does the management committee identify potential emergencies on a periodic basis? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

- 41. Does the management committee have a documented disaster management plan?  
Yes/No/Partially
- 42. Are provisions made for the availability of (first aid specific) medical supplies, equipment and materials during such emergencies? Yes/No/Partially
- 43. Are the staff/teams trained for disaster management roles in case of such emergencies? Yes/No/Partially
- 44. Is the disaster management plan tested at least twice a year? Yes/No/Partially
- 45. Does the management committee have plans for handling community emergencies, epidemics and other disasters? Yes/No/Partially
- 46. Are hazardous materials identified within the facility or building? Yes/No/Partially

# Gap Analysis for Facility Management and Safety

47. Do documented procedures govern identification of house-keeping chemicals, other hazardous materials, discarding, handling, tagging, collection for temporary storage, and safe disposal? Yes/No/Partially