

Appendices

Appendix A: Sample Workplace Violence Factors and Control Checklists

These sample checklists can help employers identify present or potential workplace violence problems. They contain various factors and controls that are commonly encountered in retail establishments.

Not all of the questions listed here fit all types of retail businesses, and these checklists obviously do not include all possible topics specific businesses need. Employers should expand, modify, and adapt these checklists to fit their own circumstances. These suggestions are not new regulations or standards, and the fact that an employer does not adopt a listed control does not prove a violation of the General Duty clause. ("N/A" stands for "not applicable").

Sample Checklist 1:

Yes	No	N/A	Environmental Factors
			Do workers exchange money with the public?
			Is the business open during evening or late-night hours?
			Is the site located in a high crime area?
			Has the site experienced a robbery in the past 3 years?
			Has the site experienced other violent acts in the past 3 years?
			Has the site experienced threats, harassment, or other abusive behavior in the past 3 years?
Yes	No	N/A	Engineering Controls
			Do workers have access to a telephone with an outside line?
			Are emergency telephone numbers for law enforcement, fire and medical services, and an internal contact person posted next to the phone?
			Are emergency telephone numbers programmed into company telephones?
			Is the entrance to the building easily seen from the street and free of heavy shrub growth?
			Is lighting bright in outside, parking and adjacent areas?
			Are windows and views outside and inside clear of advertising or other obstructions?
			Is the cash register in plain view of customers and police cruisers to deter robberies?
			Is there a working drop safe or time access safe to minimize cash on hand?
			Are security cameras and mirrors placed in locations that would deter robbers or provide greater security for employees?
			Are there height markers on exit doors to help witnesses provide more complete descriptions of assailants?
			Are employees protected through the use of bullet-resistant enclosures in locations with a history of robberies or assaults in a high crime area?
Yes	No	N/A	Administrative/Work Practice Controls
			Are there emergency procedures in place to address robberies and other acts of potential violence?
			Have workers been instructed to report suspicious persons or activities?
			Are workers trained in emergency response procedures for robberies and other crimes that may occur on the premises?

Yes	No	N/A	Administrative/Work Practice Controls (<i>continued</i>)
			Are workers trained in conflict resolution and in nonviolent response to threatening situations?
			Is cash control a key element of the establishment's violence and robbery prevention program?
			Does the site have a policy limiting the number of cash registers open during late-night hours?
			Does the site have a policy to maintain less than \$50 in the cash register? (This may not be possible in stores that have lottery tickets and payouts.)
			Are signs posted notifying the public that limited cash, no drugs, and no other valuables are kept on the premises?
			Do workers have at least one other person throughout their shifts, or are other protective measures utilized when workers are working alone in locations with a history of robberies or assaults in a high crime area?
			Are there procedures in place to assure the safety of workers who open and close the store?

Sample Checklist 2 – Self Inspection Security Checklist:

Reprinted with permission of the Hartford Financial Services Group, Inc., *Workplace Violence Prevention Program Loss Control TIPS* – Technical Information Paper Series

Facility: _____

Inspector: _____

Date of Inspection: _____

Security Control Plan? **Yes** **No**

If yes, does it contain:

Policy Statement? Yes No

Review of Worker Incident Exposure? Yes No

Methods of Control? Yes No

If yes, does it include:

Engineering Yes No

Work practice Yes No

Training Yes No

Reporting procedures Yes No

Recordkeeping Yes No

Counseling Yes No

Evaluation of incidents? Yes No

Floor Plan? Yes No

Protection of Assets? Yes No

Computer Security? Yes No

Plan accessible to all workers? Yes No

Plan reviewed and updated annually? Yes No

Plan reviewed and updated when tasks added or changed? Yes No

Policy statement by employer? **Yes** **No**

Work areas evaluated by employer? **Yes** **No**

If yes, how often? _____

Engineering controls? **Yes** **No**

If yes, does it include:

Mirrors to see around corners and in blind spots? Yes No

Landscaping to provide unobstructed view of the workplace? Yes No

"Fishbowl effect" to allow unobstructed view of the interior? Yes No

Limiting the posting of sale signs on windows? Yes No

Adequate lighting in and around the workplace? Yes No

Parking lot well lighted? Yes No

Door control(s)? Yes No

Panic button(s)? Yes No

Door detector(s)? Yes No

Closed circuit TV? Yes No

- | | | |
|----------------------------------|------------------------------|-----------------------------|
| Stationary metal detector? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Sound detection? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Intrusion detection system? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Intrusion panel? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Monitor(s)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Videotape recorder? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Switcher? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Handheld metal detector? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Handheld video camera? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Personnel traps ("Sally Traps")? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Other? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Structural modifications

- | | | |
|---|------------------------------|-----------------------------|
| Plexiglas, glass guard, wire glass, partitions, etc.? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|---|------------------------------|-----------------------------|

If yes, comment: _____

Security guards?

- | | | |
|---|------------------------------|-----------------------------|
| If yes, are there an appropriate number for the site? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are they knowledgeable of the company WPVP Policy? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Indicate if they are:

_____ Contract Guards (1)
 _____ In-house Workers (2)

- | | | |
|-------------------------------------|------------------------------|-----------------------------|
| At Entrance(s)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Building Patrol? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Guards provided with communication? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

If yes, indicate what type: _____

- | | | |
|---|------------------------------|-----------------------------|
| Guards receive training on Workplace Violence situations? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|---|------------------------------|-----------------------------|

Comments: _____

Work practice controls?

If yes, indicate:

- | | | |
|---|------------------------------|-----------------------------|
| Desks clear of objects which may become missiles? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Unobstructed office exits? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Vacant (Bare) cubicles available? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Reception area available? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Visitor/client sign in/out? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Visitor(s)/client(s) escorted? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| One entrance used? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Separate interview area(s)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

I.D. badges used?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Emergency numbers posted by phones?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Internal phone system?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>If yes, indicate:</i>		
Does it use 120 VAC building lines?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does it use phone lines?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Internal procedures for conflict (problem) situations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Procedures for worker dismissal?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Limit spouse & family visits to designated areas?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Key control procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Access control to the workplace?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Objects which may become missiles removed from area?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Parking prohibited in fire zones?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Other: _____		

Workplace Violence Prevention Program © 2008 The Hartford Loss Control Department

Sample Checklist 3 – Workplace Violence Inspection Checklist:

This checklist was adapted from *Violence on the Job: A Guidebook for Labor and Management*, published by the Labor Occupational Health Program, University of California, Berkeley.

Staffing

Is there someone responsible for building security?

Yes No Sometimes Notes _____

Who is it? _____

Are workers told who is responsible for security?

Yes No Sometimes Notes _____

Is adequate and trained staffing available to protect workers against assaults or other violence?

Yes No Sometimes Notes _____

Is there a “buddy system” to use when workers are in potentially dangerous situations?

Yes No Sometimes Notes _____

Are there trained security personnel accessible to workers in a timely manner?

Yes No Sometimes Notes _____

Do security personnel have sufficient authority to take all necessary action to ensure worker safety?

Yes No Sometimes Notes _____

Are security personnel provided outside the building?

Yes No Sometimes Notes _____

Is the parking lot attended or otherwise secure?

Yes No Sometimes Notes _____

Are security escorts available to walk workers to and from the parking lot?

Yes No Sometimes Notes _____

Training

Are workers trained in the emergency response plan (for example, escape routes, notifying the proper authorities)?

Yes No Sometimes Notes _____

Are workers trained to report violent incidents or threats?

Yes No Sometimes Notes _____

Are workers trained in how to handle difficult customers?

Yes No Sometimes Notes _____

Are workers trained in ways to prevent or defuse potentially violent situations?

Yes No Sometimes Notes _____

Are workers trained in personal safety and self-defense?

Yes No Sometimes Notes _____

Facility Design

Are there enough exits and adequate routes of escape?

Yes No Sometimes Notes _____

Can exit doors be opened only from the inside to prevent unauthorized entry?

Yes No Sometimes Notes _____

Is the lighting adequate to see clearly in indoor areas?

Yes No Sometimes Notes _____

Are there worker-only work areas that are separate from public areas?

Yes No Sometimes Notes _____

Is a secure place available for workers to store their personal belongings?

Yes No Sometimes Notes _____

Are private, locked restrooms available for staff?

Yes No Sometimes Notes _____

Security Measures

Does the workplace have:

Physical barriers (Plexiglas partitions, elevated counters to prevent people from jumping over them, bulletproof customer windows, etc.)?

Yes No Sometimes Notes _____

Security cameras or closed-circuit TV in high risk areas?

Yes No Sometimes Notes _____

Panic buttons (portable or fixed)?

Yes No Sometimes Notes _____

Alarm systems?

Yes No Sometimes Notes _____

Internal phone system to activate emergency assistance?

Yes No Sometimes Notes _____

Phones with an outside line programmed to call 911?

Yes No Sometimes Notes _____

Two-way radios, pagers or cellular phones?

Yes No Sometimes Notes _____

Security mirrors (convex mirrors)?

Yes No Sometimes Notes _____

Secured entry (buzzers)?

Yes No Sometimes Notes _____

Personal alarm devices?

Yes No Sometimes Notes _____

Outside The Facility

Do workers feel safe walking to and from the workplace?

Yes No Sometimes Notes _____

Are the entrances to the building clearly visible from the street?

Yes No Sometimes Notes _____

Is the area surrounding the building free of bushes or other hiding places?

Yes No Sometimes Notes _____

Is video surveillance provided outside the building?

Yes No Sometimes Notes _____

Is there enough lighting to see clearly outside the building?

Yes No Sometimes Notes _____

Are all exterior walkways visible to security personnel?

Yes No Sometimes Notes _____

Is there a nearby parking lot reserved for workers only?

Yes No Sometimes Notes _____

Is the parking lot free of bushes or other hiding places?

Yes No Sometimes Notes _____

Is there enough lighting to see clearly in the parking lot and when walking to the building?

Yes No Sometimes Notes _____

Have neighboring facilities and businesses experienced violence or crime?

Yes No Sometimes Notes _____

Workplace Procedures

Is public access to the building controlled?

Yes No Sometimes Notes _____

Are floor plans posted showing building entrances, exits?

Yes No Sometimes Notes _____

Are these floor plans visible only to staff and not to outsiders?

Yes No Sometimes Notes _____

Is other emergency information posted, such as telephone numbers?

Yes No Sometimes Notes _____

Are special security measures taken to protect people who work late at night (escorts, locked entrances, etc.)?

Yes No Sometimes Notes _____

Are authorized visitors to the building required to wear ID badges?

Yes No Sometimes Notes _____

Are identification tags required for staff (omitting personal information such as the person's last name and Social Security number)?

Yes No Sometimes Notes _____

Are workers notified of past violent activity?

Yes No Sometimes Notes _____

Is there an established liaison with local police?

Yes No Sometimes Notes _____

Are broken windows and locks repaired promptly?

Yes No Sometimes Notes _____

Are security devices (locks, cameras, alarms, etc.) tested on a regular basis and repaired promptly when necessary?

Yes No Sometimes Notes _____

Field Work

Staffing:

Is there adequate staffing in the establishment?

Yes No Sometimes Notes _____

Are escorts or "buddies" provided for people who work in potentially dangerous situations?

Yes No Sometimes Notes _____

Training:

Are workers briefed about the area in which they will be working (gang colors, neighborhood culture, language, drug activity, etc.)?

Yes No Sometimes Notes _____

Are workers who work late at night or early mornings advised about special precautions to take?

Yes No Sometimes Notes _____

Work Environment:

Is there enough lighting to see clearly in all areas where workers must go?

Yes No Sometimes Notes _____

Are there safe places for workers to eat, use the restroom, store valuables, etc.?

Yes No Sometimes Notes _____

Are there places where workers can go for protection in an emergency?

Yes No Sometimes Notes _____

Is safe parking readily available for workers?

Yes No Sometimes Notes _____

Security Measures:

Are workers provided two-way radios, pagers or cellular phones?

Yes No Sometimes Notes _____

Are workers provided with personal alarm devices or portable panic buttons?

Yes No Sometimes Notes _____

Are vehicle door and window locks controlled by the driver?

Yes No Sometimes Notes _____

Are vehicles equipped with physical barriers (Plexiglas partitions, etc.)?

Yes No Sometimes Notes _____

Work Procedures:

Are workers given maps and good directions covering the areas where they will be working?

Yes No Sometimes Notes _____

Are workers given alternative routes to use in neighborhoods with a high crime rate?

Yes No Sometimes Notes _____

Does a policy exist to allow workers to refuse service to unruly customers?

Yes No Sometimes Notes _____

Has a liaison with the police been established?

Yes No Sometimes Notes _____

Do workers avoid carrying unnecessary items, which someone could use as a weapon against them?

Yes No Sometimes Notes _____

Is a safe vehicle or other transportation provided by the employer for use when conducting company business?

Yes No Sometimes Notes _____

Are vehicles used in the field routinely inspected and kept in good working order?

Yes No Sometimes Notes _____

Is there always someone who knows where each worker is while traveling during business hours?

Yes No Sometimes Notes _____

Are workers notified of past violent acts committed by customers or other personnel?

Yes No Sometimes Notes _____

Are special precautions taken when workers:

Perform "enforcement" functions (parking control officers, inspectors, etc.)?

Yes No Sometimes Notes _____

Have to take something away from customers (illegal credit cards)?

Yes No Sometimes Notes _____

Have contact with people who behave violently?

Yes No Sometimes Notes _____

Have contact with dangerous animals (dogs, rodents, etc.)?

Yes No Sometimes Notes _____