



Internal Audit Summary Report

Building Security Audit

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Senior Auditor
August 2018**

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Audit: Building Security
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1 Introduction

1.1 The audit review of Building Security has been carried out as part of the Annual Audit Plan for 2018/19 which was agreed by the Corporate Governance and Audit Committee.

2 Scope

2.1 The brief for this audit review was to identify processes and test controls in place so that reliance could be given that they were operating in accordance with procedures over the security of Council buildings. The areas to be covered are:

- Responsibility for Building Security
- Issue and removal of staff badges/passes
- Control over visitor and contractors passes
- Out of hours access
- Monitoring arrangements

2.2 The format of this report is to raise exceptions only; highlight areas where improvements could be made. All exceptions raised in this report have already been discussed and actions agreed with the appropriate Service Managers, Heads of Service and Divisional Managers.

3 Areas for Improvement

3.1 In the main, there are operational procedures in place for the general security of the building and out of hour's access and the monitoring of movement via CCTV. However, there was little evidence of when these procedures were reviewed etc.

3.2 The main areas where improvement is considered necessary, relate to monitoring and reviewing arrangements for the issue and removal of passes to staff and visiting personnel, these include; contractors, visitors, volunteers, shared services, partnership working and staff (temporary). Furthermore, although the overall responsibility for Building Security lies with Facilities Management, there was a question mark over the day to day operational responsibilities for monitoring passes in circulation.

Records from the Control soft Pro system identified nearly three times the number of passes being active on the system than staff employed. Confirmation has been given that there are personnel marked as 'active' despite they are no longer a member of staff and for non-staff had passed the expiry date, but had not been deactivated or removed. There was also an issue

regarding the deactivation function and whether this was working, but confirmation has since been sought to confirm this is functioning correctly.

In addition, a small number of staff had been issued two passes both of which were active; however no immediate reason could be given for these.

The report also showed a number of non-staff, visitors and contractors with active badges, some of which had indefinite passes with no expiry date.

- 3.3 The above would suggest a lack of controls over the monitoring of active passes and the removal/deactivation of them once no longer required.
- 3.4 This report aims to address any areas where improvement is deemed necessary. This will be achieved through agreed actions and these are reported below in the Action Plan. This plan also shows the responsible officer and target dates for completion of agreed actions.

4 Agreed Actions

- 4.1 The agreed Action Plan can be seen at Appendix 1 to this report.
- 4.2 In order to prioritise actions required, a High, Medium and Low risk factor has been applied to identify issues raised as follows:
 - High – Significant areas of improvement to be addressed
 - Medium – Important areas of improvement to be addressed
 - Low – Minor areas of improvement to be addressed

Agreed Action Plan – Appendix 1

| Areas for Improvement | Priority | Agreed Actions | Responsible Officer | Target Date |
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| <p>The system report needs to be reviewed and all Staff passes should be given a three year expiry date (as agreed by SLT). Any members of staff no longer employed by CDC should be removed as soon as possible.</p> | <p>Medium</p> | <p>A full review is currently being carried out and all obsolete passes will be removed from the system. HR receive all starters and leavers e-forms, therefore it was agreed that they would give all staff passes three year expiry date. Any leavers will be removed completely and other absences such as those on career breaks etc. will have their passes deactivated.</p> | <p>HR Administrator</p> | <p>30 September 2018</p> |

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| <p>The Control soft Pro system needs to be set so that passes are automatically deactivated once they reach the expiry date. These should only be extended if a request has been made to do so.</p> | <p>High</p> | <p>The Access control system is due for an upgrade this will take some time but and once the current review is complete, all passes will be deactivated on the agreed expiry dates.</p> <p>These are:</p> <p>Staff = after 3 years</p> <p>Shared Services/Partnership working = after 1 year and</p> <p>Visitors/Contractors/Temp Staff = after 6 months.</p> <p>There will also be colour coded passes introduced to differentiate between CDC and non CDC staff. Different lanyards will also be introduced. Full details will be included in the procedures.</p> | <p>Facilities Manager/HR Administrator</p> | <p>31 December 2018</p> |
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| <p>A process for monitoring and reviewing active passes needs to be introduced. This will ensure that all staff with active passes are correctly recorded on the system or where necessary, action is taken to remove or deactivate them.</p> | <p>Medium</p> | <p>Written procedures for the monitoring of all CDC passes will be introduced once the above exercise is complete.</p> | <p>Facilities Manager/HR Administrator</p> | <p>31 December 2018</p> |
| <p>Responsibility for all Staff and Non-Staff passes needs to be clearly defined and documented in case someone needs to deputise.</p> | <p>High</p> | <p>Overall security lies with Facilities Management, however, the role of HR is important, so it was agreed that they should be responsible for adding and deleting passes from the system. A support person will be named and provide back up if and when required.</p> | <p>Facilities Manager</p> | <p>30 September 2018</p> |
| <p>All non-staff passes, such as those relating to; visitors, contractors, shared services and working partnerships needs to consistent approach and all should be given reasonable expiry dates.</p> | <p>High</p> | <p>An agreed protocol will be agreed to ensure consistency. Expiry dates have been agreed above and passes will be deactivated accordingly.</p> | <p>Facilities Manager/HR Administrator</p> | <p>30 September 2018</p> |

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| Written procedures for all areas relating to Building Security need to be accessible to the appropriate responsible officers. These should be reviewed on a regular basis and evidence of such kept as an audit trail. | Med | Agreed, these will be produced, reviewed and updated as soon as possible and dates recorded of this taking place will be available. | Facilities Manager | 31 December 2018 |
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