



Internal Audit Follow up Report 2019/20

Building Security

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1 Introduction & scope

- 1.1 The audit review on Building Security originally undertaken as part of the 2018/19 audit plan. 6 issues were identified during the audit.
- 1.2 The purpose of this follow-up is to evidence that the issues highlighted have been addressed.

2 Agreed Actions

- 2.1 The agreed Action Plan can be seen at Appendix 1 to this report.

3 Further action required

- 3.1 A review was carried out of the 6 issues identified in the 2018/19 audit to establish whether action had been taken to address them. It was found that 5 have been fully addressed.
- 3.2 Testing of deactivation of leavers id passes highlighted that there are still weaknesses within the process as not all leavers passes are being deactivated as at the employee's final working day.
- 3.3 The HR Manager confirmed that a new process has been put in place whereby on receipt of a leavers form, the leaving date will be input to the Controlsoft system by the HR Administrator. This will ensure that the id pass is automatically deactivated by the system once the last day of employment has passed. The HR Administrator will initial and date the termination checklist to evidence this.

Areas for Improvement	Priority	Agreed Actions	Responsible Officer	Target Date	Follow-up findings
<p>1. 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>	<p>A full review has been carried out and all obsolete passes have been removed from the system and expiry dates have been set up for all passes. A system report was provided by HR which confirmed this.</p> <p>HR receive the termination e-forms and should action the leaving date within the Controlsoft system so that the badge expires at the end of the last working day. There is also a report run on a monthly basis which shows active users, leavers should not show as they should have been removed.</p> <p>Leavers since 20/5/19 were tested to ensure that they had all been removed from the Controlsoft system. 32 staff had left since this date. Of the 32 leavers tested, 4 (13%) were still found to be active as at 23/9/19, with 1 of the leavers having left in June 2019. For 3 of the sample the termination e-form had been received by HR in advance of the staff member leaving but they had not been actioned in Controlsoft. There is no way to know whether their badges have been returned to HR and destroyed so it is possible that these officers could still access the building or use them to purport to be on Council business.</p>

Further Action to be taken:	Officer responsible and by when:
<p>Whilst the Controlsoft system does not permit the forward dating of the cancellation and deletion of ID cards, it does allow deactivation of them on a forward dated basis. A new process will be introduced whereby on receipt of a leavers form a forward date will be input on Controlsoft by the HR Administrator to deactivate the card on the leaving date. This will ensure that the id pass is automatically deactivated by the system and no longer useable once the last day of employment has passed. The HR Administrator will initial and date the termination checklist to evidence this. Once a month HR will then run a Leavers report and cancel and delete all deactivated cards from the system.</p>	<p>The HR team will be responsible for implementing the new process with immediate effect.</p>

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<p>2. 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>Facilities Manager/HR Administrator</p>	<p>31 December 2018</p>	<p>The HR Administrator confirmed that Control soft is set up to automatically deactivate badges once they have expired.</p>

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<p>3. 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>The system automatically deactivates id passes when the expiry date has passed. HR receive a monthly report from IT showing all active users and HR arrange for new passes to be issued where required.</p> <p>The HR Administrator confirmed that there is now a new monitoring system in place to ensure that only current staff members have an active pass in Controlsoft.</p> <p>HR receive the termination e-forms and should action the leaving date within the ControlSoft system so that the badge expires at the end of the last working day. There is also a report run on a monthly basis which shows active users, leavers should not show as they should have been removed.</p>

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4. Responsibility for all Staff and Non-Staff passes needs to be clearly defined and documented in case someone needs to deputise.	High	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.	Facilities Manager	30 September 2018	<p>HR are the main team responsible for adding and removing passes from the system. There are 4 officers within the team so there is sufficient absence cover.</p> <p>The Facilities Manager is also able to add and delete passes if necessary.</p>
5. 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.	High	An agreed protocol will be agreed to ensure consistency. Expiry dates have been agreed above and passes will be deactivated accordingly.	Facilities Manager/HR Administrator	30 September 2018	<p>A protocol is in place for how long passes are active for:</p> <ul style="list-style-type: none"> - 3 years for staff - 1 year for Shared Services /Partners - 6 months for visitors/ contractors/temp staff

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6. 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	Procedures have been written and are up to date.