
Report to Audit Committee

Date of Meeting: 25 April 2019

Subject: Building Security

Report by: Strategic Director (Partnership & Performance)

1.0 Purpose

- 1.1. On 7 February 2019, a paper entitled 'Internal Audit Progress Report 2018/19' was considered by the Audit Committee. Contained within that report was the outcome of an audit on building security that had found that 'No Assurance' could be provided in relation to the adequacy of the controls in place to ensure that the Council's buildings and their contents are secured.
- 1.2. Audit Committee asked for a further paper to be brought back to the next meeting to provide a further update on mitigating measures and progress made to date.

2.0 Recommendations

- 2.1. It is recommended that Committee:
 - 2.1.1. note, comment on and challenge the contents of this report; and
 - 2.1.2. agrees a further progress report to be brought back to the Audit Committee no later than 31 December 2019.

3.0 Considerations

- 3.1. The Council's agreed Internal Audit plan for 2018/19 included an audit of control measures around building security. As the report to Audit Committee of 7 February 2019 highlighted, our internal auditors undertook unannounced visits to a sample of 10 operational facilities, including schools, care homes, depots and office accommodation. Of these, the auditors were able to gain unauthorised entry to eight buildings, including those which contained vulnerable persons.
- 3.2. Whilst the auditor commented that visits provided insight to obvious security measures such as receptions, door entry systems, CCTV, fences, intruder alarms etc., it is clear that these measures, in isolation of improved security system deployment and greater staff awareness and vigilance, were not

sufficient. For example, entry was gained through unsecured doors, by-passing reception, and tailgating staff with valid passes.

- 3.3. The auditors made four recommendations, which have been agreed by the Senior Leadership Team. These are as set out in Table 1 below.

Audit Finding	Recommendation/Management Response	Responsible Officer
<p>Roles & Responsibilities</p> <p>There is no officer with overall responsibility for developing, disseminating and enforcing building security standards. This has led to a disjointed approach throughout the Council's operational estate.</p>	<p>Overall responsibility for developing, disseminating and enforcing building security standards should be agreed.</p> <p>Agreed by SLG.</p>	<p>Strategic Director (Place) pending appointment of Senior Service Manager (Property)</p>
<p>Security Standards & Guidance</p> <p>There is no corporate security guidance. Where there is security guidance, it tends to be on a per building basis.</p>	<p>Consideration should be given to the adequacy of current security guidance. This may include need for professional expertise to assist with the development of robust security standards.</p> <p>Agreed by SLG.</p>	<p>Strategic Director (Place) pending appointment of Senior Service Manager (Property)</p>
<p>Building Security Incident Policy</p> <p>There is no policy in place for setting out the definition of a security breach and the process for recording, investigating and reporting these breaches.</p>	<p>A formal and comprehensive Building Security incident Policy should be prepared. Once finalised, it should be disseminated to relevant staff, with training provided if required.</p> <p>Agreed by SLG.</p>	<p>Strategic Director (P&P)</p>
<p>Building Security Training</p> <p>None of the staff spoken to during the visits had received any training on their roles and responsibilities in relation to building security.</p>	<p>Corporate training requirements in relation to building security should be reviewed.</p> <p>Agreed by SLG.</p>	<p>Strategic Director (P&P)</p>

Table 1- Audit Recommendations, Review of Building Security Arrangements

- 3.4. Since the Internal Audit report was issued, as well as taking forward the above actions, which are work in progress, management's response has also focused on staff awareness, vigilance and improving existing support systems. A workplace security briefing entitled, '*Security is everybody's responsibility*' has been reissued on the intranet and communicated to all staff via a management cascade briefing in early 2019. This outlined 8 key

messages for staff, including workplace security measures, visitor management, ID cards, proper use of entrances and exits, not propping doors open, and challenging unidentified personnel. Supervisors were required to provide an electronic return to a specially set up security e-mail address to confirm this was done. Briefings have also been provided to head teachers as duty holders for school premises, and work on duty holder roles and responsibilities continues through the Council's health and safety executive, chaired by the Chief Executive.

- 3.5. A special intranet page on CONNECT; entitled 'Safety & Your Security', is in place, providing supervisors and staff with a range of information and advice on building security as part of a wider awareness campaign, which has included features in the staff newsletter.
- 3.6. In addition to the above, a new procedure was introduced from the 1 April 2019 for the issue, replacement and cancellation of ID/access cards in order to improve the wider control environment.
- 3.7. Raising staff awareness and organisational vigilance is an ongoing process. It is intended that senior management will undertake security spot checks and advisory conversations with staff groups on an ongoing basis, and Internal Audit have already given Committee a commitment to follow up on the audit findings during the course of the coming year. Given this, it would seem appropriate to bring a further progress report to Committee later in the year.
- 3.8. At this stage, any costs associated with this report are expected to be contained within the existing budget approved by Council. Should additional expenditure be necessary, given organisational risks associated with building security, appropriate governance will be sought to ensure necessary compliance.

Conclusions

- 3.9. As part of the 2018/19 Internal Audit programme, a review of building security arrangements highlighted a series of shortcomings in the Council's management system. A programme of action is already underway to improve performance, including those outlined at Table 1 above; however, it is recognised that raising and maintaining organisational awareness and vigilance is likely to be an ongoing management process.

4.0 Sustainability Implications

- 4.1. There are no direct sustainability implications arising from the recommendations in this report.

5.0 Resource Implications

5.1. Financial Details

- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate.

Yes

5.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

5.4. *Staffing*

6.0 Exempt Reports

6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box)

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
Our families; children and young people will have the best possible start in life
Women and girls will be confident and aspirational, and achieve their full potential
Our communities will be resilient and empowered so that they can thrive and flourish

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?
Yes No Not applicable in this instance.

9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

None

11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes (please list the documents below) No

Internal Audit Progress Report 2018/19 – Published on Council website and considered by Audit Committee, 7 February 2019.

Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Stuart Crickmar	Strategic Director Partnership & Performance	2127

Approved by

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director Partnership & Performance	
Nikki Bridle	Chief Executive	

