

Rowan County ID Badge & Access Security Policy

Purpose

The ID Badge & Access Security Policy is designed to enhance the safety and security of our employees by limiting access to non-public spaces and providing an easy means of identifying County employees.

The first section of this policy specifically applies to the County ID Badge which is issued to all new employees by their supervisors when they begin work, and to other authorized badge holders such as Probation Office employees, officers and employees of the Courts, and approved contractors.

The second section of this policy establishes a standardized manner for granting access to County properties, systems, networks and materials and for documenting those access points. It also provides a standardized process for ensuring all such accesses are eliminated or revoked upon transfer or termination of employees or reassignment of other authorized badge holders.

Scope

The Rowan County ID Badge Policy applies to all County employees while on County property, and/or while conducting County business in the community. The Security Policy applies to all individuals who are provided a County ID Badge and/or other County-owned property, and/or are granted access to County properties, systems, networks and other assets via manual or electronic means.

Rowan County ID Badges

Description

1. ID Badges consist of a hard plastic card showing the employee's name, the employee's payroll number, Rowan County Government, the Rowan County Seal (or Law Enforcement Star), the Department name, an accurate photograph of the employee, plus the notation "If found return to law enforcement agency"
2. ID Badge colors:
 - a. ID Badges for County employees and court officials shall be printed on white cards.
 - b. Sheriff's Office ID Badges shall be printed on light blue cards
 - c. Probation Office employees shall be printed on dark blue cards
 - d. Contractors' ID Badges shall be printed on light green cards
 - e. Media representatives and attorneys shall be printed on white stock

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(issued only upon request from the Sheriff's Office) **NOTE: There will be a charge of \$30 to issue an original badge or any replacement badges for this group.**

3. Badges will be electronically encoded to provide controlled access to designated doors and controlled areas, on an as needed basis.

Issuance of ID Badges

ID Badges for new employees will be processed as follows:

- a. The supervisor will complete the Photo ID Authorization and Controlled Access Authorization (if applicable) sections of the *ID Badge Authorization Form (Badge Form)* they receive as part of the "New Hire" package from Human Resources (HR).
- b. HR will document the new hire's assigned employee number and the date the new hire will be onsite and submit it to the Access Control Coordinator (ACC).
- c. Once the ACC has received the *Badge Form* from HR and the employee arrives, they will take a photo of the employee and create the badge based on the information provide on the *Badge Form*. The ACC will initial and date the *Badge Form* in the appropriate areas to indicate that the card was created and distributed. The original *Badge Form* should be maintained by the ACC. The ACC will forward a copy of the completed *Badge Form* to the employee's supervisor so that they can document the receipt of the badge on the *Employee Security Checklist*.
- d. If time and circumstances allow, and the employee has officially started work, the ACC will produce and give the ID Badge to the employee directly at the time they are on site (with the exception of the Sheriff Office employees-these badges are always sent to the Sheriff's Office for distribution). Otherwise, the ID Badge is sent to the employee's supervisor.
- e. The supervisor should examine the ID Badge for accuracy and proper access control. The supervisor will record its issuance on the *Employee Security Checklist*.

Replacement Fees

If an ID Badge is lost or stolen it must be reported to the ACC immediately so that it can be deactivated. The following fees will apply for replacing lost ID badges or badges that are replaced for aesthetic reasons:

Card Stolen- There will be no replacement fee as long as a valid police report is presented

Employees- \$10

Media Representatives and Attorneys (with Sheriff Office approval) - \$30

All others- \$25

Control of ID Badges

1. ID Badges are the property of Rowan County.
2. Employees' Responsibilities:

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- a. An employee may only have **one** ID Badge.
 - b. Employees may not lend their ID Badge to anyone.
 - c. Employees must report a lost or stolen ID Badge to their supervisor immediately.
3. Human Resources' responsibilities:
- a. Ensure supervisors receive the *Badge Form* as part of the "New Hire" package.
 - b. Ensure that the completed *Badge Form* is submitted to the ACC.
4. Supervisors' responsibilities:
- a. New employees:
 - i. Prepare and submit a *Badge Form* to HR as part of the "New Hire" package.
 - ii. Record the badge issuance on the *Employee Security Checklist*.
 - b. Current employee whose ID Badge is damaged or has stopped working:
 - i. Contact the ACC to troubleshoot the problem in the Access Control System. Obtain the ID Badge from employee if the problem was not resolved.
 - ii. Prepare and submit a *Badge Form* to the ACC via the County Work Order System for immediate action. The Supervisor must also turn in the old ID Badge.
 - iii. Issue the new ID Badge to the employee upon receipt from the ACC.
 - c. Current employee whose access points need to be changed:
 - i. Prepare and submit a *Badge Form* to the ACC via the County Work Order System. The existing ID does NOT need to be submitted to the ACC.
 - d. Current employee whose ID Badge was lost or stolen:
 - i. Immediately notify the ACC of the missing ID Badge so it can be deactivated in the Access Control System.
 - ii. Document the loss of the ID Badge (loss of County Property) on a corrective action form unless the employee presents a police report.
 - iii. Collect the proper fee (See "Replacement Fees" section above) for replacing a lost ID Badge. These fees should be recorded as Miscellaneous Income on the Deposit Record.
 - iv. Prepare a *Badge Form* and attach a copy of the receipt (or valid copy of police report) documenting the proper payment. (Note: the ACC is not authorized to replace a lost ID Badge unless the proper replacement fee was paid or a copy of the police report supporting a stolen card is presented.)
 - v. Submit the *Badge Form* to the ACC via the County Work Order System.
 - vi. Issue the replacement ID Badge to the employee upon receipt from the ACC.
 - e. Retiring employees, employees who quit or are terminated and employees who are on extended leave (30 days or more):
 - i. Notify the ACC of all such employee status changes as they become known and send badges to ACC so their accesses can be deactivated in the Access Control System.
5. ACC responsibilities
- a. Verify each *Badge Form* for authenticity prior to creating any ID Badge.

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- b. Create, update or replace ID Badges as indicated on the *Badge Form* received and provide them to supervisors (for replacement of damaged cards, ensure that old ID Badges have been received).
- c. Verify that the proper fees were paid, or that a valid police report was obtained in the event of a stolen card (see “Replacement Fees” section above), before replacing a lost or stolen ID Badge.
- d. Deactivate ID Badges in the Access Control System upon notification by supervisors of lost or stolen ID Badges, or when an employee retires, terminates or is on extended leave. (Note: follow-up requests must be received from the supervisors via the County Work Order System.)
- e. Destroy old ID Badges received from supervisors. (Note: ID Badges collected from employees who are on extended leave should not be destroyed immediately. Rather, those ID Badges should be retained for a period of 6 months. The ACC should place a date sticker on such ID Badges to ensure they are destroyed on schedule, as necessary.)
- f. Maintain the security and integrity of all equipment, software and materials pertaining to the ID Badge program and the Rowan County Access Control System.
- g. Retain all supporting documentation whenever an authorized individual overrides any element of this policy. The ACC should review all such incidents with his or her supervisor.

ID Badge Requirements and Enforcement

1. Employees must wear their ID Badge while at work.
 - a. For employees performing certain jobs in which wearing the ID badge may cause a safety hazard, or for certain law enforcement assignments which require anonymity, the requirement is waived.
 - b. Consideration may be given to offices where there is no contact with the public. However, in any case, ID Badges will be used when visiting other County departments and offices.
 - c. Other exceptions may be granted in departments where uniforms showing the employee’s name and department are required.
2. Employees should politely question any person who is seen in a secure area not wearing an ID Badge by saying “May I help you?”
3. Failure to comply with all provisions of this policy will subject employees (including supervisors) to corrective action up to and including termination.
4. Department Directors are responsible for the administration and enforcement of this policy within their department.
5. Employee ID Badges should be replaced whenever a supervisor believes an employee’s appearance has changed enough to warrant a new photograph.

Rowan County Access Security Procedures Employee Security Checklist

The *Employee Security Checklist (Checklist)* documents all of the networks, systems and devices to which the employee has been provided electronic access. The *Checklist* also provides a record of all equipment, keys, tools, uniforms and other County properties that are issued to employees pursuant to the work they perform. The *Checklist* provides a systematic methodology for recovering property and removing accesses when an employee changes positions or leaves employment with Rowan County. It also provides a solid framework that ensures only authorized employees gain access to secure County property, systems, work and materials.

The *Checklist* is used whenever an employee begins employment, changes positions, changes departments or ends employment with Rowan County. Additionally, the *Checklist* should be **updated** each time there is a change in an employee's ID Badge access, equipment, uniform, tools or systems access. Supervisors are responsible for maintaining a *Checklist* for every employee they supervise, which documents all County property and electronic accesses they provide to that employee. Department Directors are responsible for the overall integrity of these security practices.

Procedures

A *Checklist* must be maintained for all Rowan County employees and elected officials. *Checklists* should be maintained by supervisors in a secure (locked) file drawer in the administrative office of the Department to which the employee is assigned.

1. **New Employees.** *Checklists* for new employees are filled out by the employee's direct supervisor.
 - a. The supervisor will initiate the process of obtaining an ID Badge for each new employee:
 - i. Supervisors fill out an *ID Badge Authorization Form (Badge Form)* as part of the "New Hire" package, and forward it to Human Resources. Human Resources documents the employee number and when the new hire will be onsite and forwards the form to the Access Control Coordinator (ACC). The day the new employee is onsite and available for a photo, the ACC will create the badge. They will either give it to the employee or deliver it to the supervisor (NOTE: For the Sheriff Office's employees all badges will be sent to the Sheriff's Office not given to the employee). The ACC will forward a copy of the *Badge Form* to the supervisor. For ID Badges that provide access control, the supervisor should ensure the badge functions properly. See the Rowan County ID Badge Policy for complete details of the ID Badge program.
 - ii. The supervisor will indicate on the *Checklist* that an ID Badge was provided to the employee by checking the appropriate ID Badge box and signing next to it.
 - iii. The supervisor will also notify the new employee of the fee for replacing a lost ID Badge (\$10 for employees; \$30 for media representatives and

- attorneys (issued ONLY WITH Sheriff's Office approval); \$25 for all others).
- b. Any keys the employee will require should be issued. Each key issued to the employee must be documented on the *Checklist*. Use additional sheets as necessary.
 - c. Any equipment, tools, uniforms, clothing, vouchers, or other items that are issued to the employee must also be documented on the *Checklist*. Use additional sheets as necessary.
 - d. The supervisor will ensure County email access is granted for all qualifying employees. If the employee will also require access to MUNIS, AS400 and/or any other internal systems, the supervisor will arrange those accesses as well. Each access point established for the employee must be documented on the *Checklist*. When the employee's access to each required system is confirmed, the supervisor will identify each access point on the *Checklist*, then check and sign next to the box for each access granted. Use additional sheets as necessary.
 - e. The supervisor will provide the employee with any keypad passcodes or safe combinations the employee will require **and will discuss with the employee the importance of safeguarding all codes and combinations**. If such codes or combinations are issued to the employee, document the building, gate and/or device (safe) on the *Checklist*. (**Important: never record passcodes or combinations on any Checklist.**)
 - f. Once all property, items and accesses have been issued, the supervisor will sign and date the form, and forward it to the Department Director for review.
 - g. The Department Director will review the form for completeness, sign and date it, and return it to the supervisor for filing.
 - h. The supervisor will then place the completed *Checklist* in the employee's file in the Department's administrative office.
2. **Current employees.** When an employee needs a new passcode, combination or additional access point, ID Badge, or new equipment, tool, uniform, or other necessary item, or returns anything already documented on their *Checklist*, the employee's supervisor must update the *Checklist* accordingly.
- a. It should be noted that replacement ID Badges are produced for an employee only by request from the employee's supervisor (direct or higher). If the employee's old ID Badge is not returned to the ACC, the employee will be charged the proper replacement fee unless a police report is presented to support that the card was stolen (see 1 a iii above for proper fee).
 - b. Every *Checklist* must be reviewed, signed and dated by Department Directors.
3. **Transferring employees.** When an employee changes positions the **former supervisor** fills out the "Collected From Employee" portion of the *Checklist* on the employee's last day and the **new supervisor** fills out a **new Checklist** on or before the employee's first day in the new position.
- a. The employee's **former** supervisor is responsible for ensuring all property, items, accesses and combinations that will not be required in the new position are collected or removed from County networks and systems.

- i. Email accounts will not be removed when employees change positions or transfer within the County. The supervisor should indicate “NA” on the signature line of the County Email Network box.
- ii. Employee accesses to systems or networks are usually affected when an employee changes positions. Any system accesses the employee will not use in the new position must be removed or disabled by IS as soon as possible. The supervisor should submit a request to IS via the County Work Order System to specify accesses that should be removed. **Coordination with the new supervisor is necessary to prevent required accesses from being deleted unnecessarily, thereby causing extra work for IS personnel and employee downtime.** Obtain an email from IS confirming removal of those accesses. The supervisor will check the box and sign next to it only after that email is received. (Note: new accesses are arranged by the **new** supervisor only.)
- iii. Standard ID Badges (i.e., those without access control) will be recovered from employees only as necessary (only if there are changes to the printed information or to the employee’s appearance). (Note: updated ID Badges, including any access control necessary for the employee’s new position, will be requested by the **new** supervisor only.)
- iv. If a transferring employee’s ID Badge has access control that will not be required in their new position,
 1. The ID Badge will be recovered from the employee
 2. Contact the ACC and notify them via the County Work Order System that the employee’s building accesses must be disabled as soon as possible. (The new supervisor will arrange for a replacement ID Badge for the employee.)
 3. Obtain an email from the ACC confirming removal of the employee’s electronic accessibility to **all** County buildings. The supervisor will check the box and sign next to it when that email is received. (Any required building accesses required in the employee’s new position will be requested by the **new** supervisor.)
- v. If a transferring employee possesses safe combinations or access keypad combinations that will not be required in the new position, those codes must be changed **immediately**. The supervisor will check the box and sign next to it only after those combinations have been changed. New combinations must be communicated to other users. (**Important: never record passcodes or combinations on any Checklist.**)
- vi. If the employee possesses any equipment, tools or other items that will not be required in the new position, those items should be recovered from the employee.
 1. In the event there is a disagreement about what an employee should return, the supervisor should consult his or her supervisor for clarification and document the conversation on the back of the *Checklist*.
 2. The supervisor checks and signs the *Checklist* for each item recovered.

3. If the employee will retain any equipment, tools or other items and use them in their new position, then the employee's completed *Checklist* should be forwarded to the employee's new supervisor.
 4. The completed *Checklist* must be reviewed, signed and dated by the Department Director.
 5. File the *Checklist* in the department administrative office.
- b. The employee's **new supervisor** will take the following steps:
- i. Request the employee's completed *Checklist* from the employee's former supervisor on or before the employee's first day in the new position. (Note: the *Checklist* is not complete until it has been signed by the former supervisor AND the Department Director.) Follow up with the former supervisor (or Director) on any incomplete entries, as necessary.
 - ii. Prepare a new *Checklist* for the employee as if the individual were a new employee. The employee should be provided with all equipment, tools, passcodes, combinations and/or other electronic accesses that are required to do their job. Also add to the new *Checklist* any/all property or items that were not collected or removed by the former supervisor. (**Important: never record passcodes or combinations on any Checklist.**)
 - iii. The new *Checklist* must be reviewed, signed and dated by the Department Director.
 - iv. Retain the old *Checklist* and file it with the new (signed) *Checklist* in the Department's administrative office.
4. **Terminating employees.** When an employee quits, is terminated or otherwise leaves the employment of the County, that employee's immediate supervisor is responsible for ensuring all property and items issued to that employee are recovered and that the employee's electronic accesses to County networks and systems are disabled immediately. The "Collected From Employee" portion of the *Checklist* guides those necessary tasks.
- a. As soon as a supervisor learns that an employee will not be returning to work, the supervisor must pull the employee's *Checklist* from the file and begin working on the "Collected From Employee" portion.
 - i. Document on the *Checklist* any property and/or items that the employee already returned.
 - ii. Contact the Information Systems Department (IS) and notify them that **all** of the employee's accesses must be disabled **immediately**. Follow up the request with a written request via the County Work Order System. Obtain an email from IS confirming removal of the employee's access from **all** County networks and systems. The supervisor will check the box and sign next to it only after that email is received.
 - iii. Contact the ACC and notify them that **all** of the employee's building accesses must be disabled **immediately**. Follow up the request with a written request via the County Work Order System. Obtain an email from the ACC confirming removal of the employee's electronic accessibility to **all** County buildings. The supervisor will check the box and sign next to it only after that email is received.

- iv. If the employee possessed any safe combinations those combinations must be changed **immediately**. The supervisor will check the box and sign next to it only after those combinations have been changed. New combinations must be communicated to other users. **(Important: never record passcodes or combinations on any Checklist.)**
- v. Contact the employee and attempt to collect any property still in their possession. The supervisor should use the back of the *Checklist* to document their communications with (or attempts to contact) former employees. The supervisor should keep the Department Director informed of any problems regarding the recovery process.
- b. Once all property and items have been recovered or when the supervisor determines that nothing *more* can be collected, the supervisor signs and dates the *Checklist* and forwards it to the Department Director.
- c. The Department Director will review the completed *Checklist* for accuracy, sign and date it, and file it in the department's administrative office.

Asset Security Requirements and Enforcement

1. Due to the security risks involved, it is EXTREMELY important that supervisors complete *Checklists* for terminating employees **immediately**. Supervisors are expected to comply with all provisions of this policy. Failure to comply will subject them to corrective action up to and including termination.
2. Department Directors shall ensure all Rowan County Access Security Policies are maintained and enforced within their Departments. Directors accomplish this by monitoring control activities as documented on *Checklists* and by fostering heightened security awareness in their respective Departments.
3. *Checklists* should be made available on demand to higher-level supervisors, HR personnel and Internal Audit for purposes of spot-checks and compliance reviews.

Approved, the ___ day of _____, 2017

Aaron Church
Rowan County Manager