



Paul R. LePage, Governor

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Office of the Commissioner

Security of and Access to the Department of Health & Human Services' Offices

Policy # DHHS-38-11

Issue Date: 12/20/11

I. SUBJECT

Security of and Access to the Department of Health and Human Services' Offices

II. POLICY STATEMENT

The Department of Health and Human Services will strive to provide workplaces which promote safety and security for building occupants and the facilities' security.

III. RATIONALE

Office security consists of those measures necessary to:

1. provide for the safety of staff in enabling them to conduct their work in privacy and with freedom from interruption;
2. safeguard the confidentiality of client information and the service delivery process, whether in interpersonal, telecommunication, electronic, and/or paper form;
3. protect and preserve the facilities and equipment owned/operated by the Department; and
4. allow access to the public and others to the areas necessary to conduct business in order to provide a working environment that promotes reasonable safety and security for building occupants.

IV. PROCEDURE STATEMENT

Public Access

The Department of Health and Human Services' offices are open to provide services to the public between the hours of 8 am and 5 pm, Monday through Friday, except for scheduled holidays and/or authorized closures.

The Department of Health and Human Services' facilities are designed and maintained to support the direct delivery of services by departmental staff. Although the majority of services are delivered by employees, some are delivered through contracts with private individuals or agencies. Some contracts may specify or imply the utilization of Department of Health and Human Services' facilities by the contractor. Available space may be allocated for this purpose.

In addition, the Department recognizes that it is a tax-supported institution. As such, it implies a certain obligation to allow use of Department of Health and Human Services' facilities by the public, as long as it does not compromise the Department's basic operational needs, breach any confidentiality or security, or violate terms of rental agreements in the event of a leased building. Building leases normally prohibit the use of facilities by non-governmental, non-departmental groups.

The use of facilities by members of the public requires authorization from the District Operations Business Manager or Director of Facilities Management. Access by the public with appropriate authorization will generally be provided only during normal business hours and only to the public areas. In cases where a member of the public or organization requests to reserve meeting space in advance of the actual use, it should be granted with the commitment from the requesting party that the user will confirm the need to utilize the space two weeks before the scheduled date. The requesting party must agree that cancellations will be made as soon as it is learned that the space will no longer be needed. Although reservations will normally be handled on a first-come, first-served basis, if a more critical need should arise, and advanced notice provided, the District Operations Business Manager or Director of Facilities Management will attempt to resolve the conflict. First priority will always be given to departmental operational needs, even if it means displacing individuals or groups who may have reserved the space earlier.

Fees may be charged to help defray the costs of utilities, supplies, and janitorial services. Fees will be determined in conjunction with the Bureau of General Services.

Employee Access

Employees will be provided with access to their primary worksite and any site in which they work three (3) or more days per week. Supervisors will be provided building access to work locations of their employees. Employees and supervisors who provide weekend or after hours coverage or other operational coverage in geographic areas where there is more than one DHHS location may be granted access by program management. Access will be granted at the level that enables an employee to perform the essential functions of his/her job.

Employees who work in facilities with door access systems managed by the State of Maine's Building Control Center shall follow the policies and procedures outlined in the Card Access Administration Policy. [See EXHIBIT 1, attached.]

Visitor Access

Most offices, except minimally staffed itinerant offices, have staff dedicated to greet visitors and other members of the public in order to connect them to the appropriate office staff. All visitors are expected to use the main entrances. Secondary entrances are for employee convenience only.

Public and employee work areas are usually separated; therefore, clients are not permitted in staff areas.

Visiting collateral staff from other agencies, or other public officials, shall be escorted within secured spaces as a matter of courtesy as well as security.

Depending upon the layout of some buildings, the type access system utilized, and the nature of the visit, departmental employees from other departmental offices and authorized vendors may sign out a temporary visitor badge from the Receptionist. In offices where visitor access badges are utilized, records will be kept regarding their use. These records will include, at a minimum, the building location, name of user, and date(s) of use. [See EXHIBIT 2, attached]

Visitor badges are not intended to be utilized by employees who forget to bring their access cards to work, but will be issued subject to DAFS policy BCC 012 R.4 (revised December 16, 2011).

Visiting spouses, children, relatives, and friends should not routinely be in employee work areas. This policy is not intended to preclude brief visits of a limited duration in appropriate areas, provided the visit does not disrupt work activities and is approved by the employee's supervisor. Escorting shall be handled as with visiting collateral staff.

District Operations' staff will deal with sales representatives, plant maintenance individuals, or other individuals who appear in district offices for reasons other than the provision of services offered by program staff.

V. ATTACHMENTS

Exhibit 1:
Exhibit 2:

VI. DISTRIBUTION

All employees via e-mail and posting on the DHHS Intranet.

December 20, 2011

Date



Mary C. Mayhew
Commissioner

Department of Administrative & Financial Services
Bureau of General Services
Property Management Division
Operations, Maintenance and Support Section
Building Control Center

Standard Operating Procedure: BCC 012 r.4
Title: Access Card Administration
Original Issue Date: December 16, 2009
Revision Date: May 6, 2011
Review Date: December 16, 2011

Purpose: The purpose of the card access control policy is to promote the safety and security of state owned and leased space, as well as the safety and security of the building occupants and contents. Guidelines are provided for the issuance and accountability of all access cards that control access to buildings which use the systems managed by Property Management Division / Building Control Center.

Scope: This procedure applies to the Building Control Center, Access Card Holders, Building Access Coordinators and Licensed Station Users.

Definitions:

- BAC – Building Access Coordinator
BCT – Building Control Technician
ACH – Access Card Holder
BCC – Building Control Center
EBI – Enterprise Buildings Integrator
LSU – Licensed Station User

1. Photos:

- a) Photos are required for all ACH in the BCC EBI system. Personnel in need of a photo may come to the BCC to have their photo taken or the BAC may attach the photo in an eLogger or use their state e-mail account. Requests for an exception to this requirement require the following form to be completed and forwarded to the Building Control Supervisor for processing, bcc waiver form 1.12, form is available upon request.
b) BCC is available for photos by appointment only. Personnel are required to bring a photo ID when photo is completed at the BCC.
c) Requests for photos maintained within the Honeywell EBI card system can be requested by one of the following. Requests will include a written justification;
- Building Maintenance Superintendent
- Director of Property Management
- Personnel Director or designate for that given individual
- Chief of Capitol Police
- Law Enforcement Agency in the course of an investigation.

Requests will be forwarded to the Building Maintenance Superintendent or Building Control Supervisor for processing.

2. Access Cardholder information:

- a) The following information is required of all access card holders.
- First name (Nicknames are not allowed)
- Last name
- Middle initial
- Photo - reference 1.a & b of this policy

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b) The following information is required for contractors / vendors.

❖ Company Name

c) The following information is optional for access card holders.

❖ Work location

3. Request for Access Cards (New, Lost, Replacement & Contractor):

a) Request for access cards will be processed through the Department, Bureau, building or area BAC. The BAC will make requests through the BCC eLogger program (primary) or the BAC's state e-mail account (secondary). E-mails will be sent to the following address: building.control@maine.gov. Request will include section 2 of this policy and the following:

- ❖ Access Card Request type (New, Lost, Replacement or Contractor)
- ❖ Level of access (This should be the minimal level of access to get the job completed. **Note:** Employees who **do not** routinely work 3 or more days in a given location should not be issued access)

b) There will only be one active access card per an ACH. Requests for a second active access card for an ACH require the following form to be completed and forwarded to the Building Control Supervisor for processing, bcc waiver form 1.12.

c) BACs with LSU permissions are required to maintain a paper or electronic trail of requests for accountability purposes.

d) BACs are responsible for explaining to ACHs what level of access the ACH was given; discussion should include area of access, time of access and personnel responsibilities listed under bullet # 8.

e) **BCTs will not** discuss access card information with an ACH. BCTs will refer any questions about access and access levels to the respective BAC.

f) BCC can take up to 24 hours to process a requested change, exceptions to this are;

- ❖ Lost access cards which are immediately listed as lost in the EBI system
- ❖ Personnel matters that require immediate action
- ❖ Law Enforcement related matter

g) **Lost Access Cards:** BCC will track lost access cards by Department, once a Department has reached 50 lost access cards the Building Control Supervisor will notify the BAC of the count and request replacement access cards at the Departments expense. This relates to buildings managed by the Property Management Division. Buildings not managed by the Property Management Division will have a local policy that addresses lost access cards.

4. Request for access level change:

a) Requests for access level changes will be processed through the Department, Bureau, building or area BAC. The BAC will make requests through the BCC eLogger program (primary) or the BACs state e-mail account (secondary). E-mails will be sent to the following address: building.control@maine.gov. Requests will include item 2 of this policy and the following:

- ❖ Level of access to be assigned or removed
- ❖ Access card number

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- b) BACs with LSU permissions are required to maintain a paper or electronic trail of requests for accountability purposes.
- c) BACs are responsible for explaining to ACHs what level of access the ACH was given; discussion should include area of access, time of access and personnel responsibilities listed under item 8. BCTs **will not** discuss access card information with an ACH. BCTs will refer any questions about access and access levels to the respective BAC.

5. Request to remove or disable individuals from the card access system:

- a) Requests will be processed through the Department, Bureau, building or area BAC. The BAC will make requests through the BCC eLogger program (primary) or the BAC's state e-mail account (secondary). E-mails will be sent to the following address: building.control@maine.gov. Requests will include item 2 of this policy and the following:
 - ❖ Reason for removal (No longer employee, transfer, etc.)
 - ❖ Access card number
- b) Access cards are the property of the State of Maine and employees are required to turn in their assigned access cards to one of the following when leaving State government or transferring to another agency;
 - ❖ BAC
 - ❖ Building Control Center
 - ❖ Capitol Police
 - ❖ Immediate Supervisor (Supervisor will forward access card to BAC)
 - ❖ Personnel Officer
- c) BACs with LSU permissions are required to maintain a paper or electronic trail of requests for accountability purposes.
- d) The following personnel may, on an emergency basis, direct BCC to temporarily disable any access card. Temporary disablements will be followed up with justification in writing to the other parties on this list as time and circumstances permit.
 - ❖ Building Maintenance Superintendent
 - ❖ Commissioner of the Department of Public Safety, or the Chief of the Bureau of Capitol Police, or their representative.
 - ❖ Commissioner or their representative for their respective departments
 - ❖ Department Personnel Director or their representative for their respective departments
 - ❖ Director of Property Management

6. Visitor Access Cards:

- a) Visitor access cards will contain limited access between the hours of 8am and 5pm Monday thru Friday. This level of access will not contain exterior doors. Visitor access cards are not meant to be issued to employees who fail to bring their card to work. Visitor cards will be marked with the state seal and clearly state "visitor". Requests for visitor cards will be made in writing to the Building Control Supervisor or designated representative. Agencies must maintain a paper trail of visitor cards when issued, to include the following:
 - ❖ Name to whom visitor card was issued
 - ❖ Location of visit
 - ❖ Date and time issued
 - ❖ Date and time returned

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7. Records Management:

- a) Reports on ACHs may be requested by the following personnel:
- ❖ BAC
 - ❖ Department Personnel Director
 - ❖ Chief of the Bureau of Capitol Police or representative
 - ❖ Director of Property Management
 - ❖ Building Maintenance Superintendent
- b) The following audits will be routinely performed by the Building Control Supervisor or his representative and forwarded on to the BACs. BACs will be responsible for reviewing reports and advising the BCC of any necessary changes.
- ❖ Cardholder list (Monthly)
 - ❖ 90 day access card inactivity report (Quarterly)

8. Agency / Personnel Responsibilities:

- ✚ Access cards are issued to an individual and should never be given to anyone else to use. The card access system logs via computer each time a card is presented for access. Giving an access card to someone other than the authorized user may result in that access card being disabled and the user's card access privileges revoked.
- ✚ Access cards are required for building access; therefore, it is an expectation that employees bring their access cards to work with them.
- ✚ It is the responsibility of the employee issued the access card to **immediately** notify the BCC (287-4154) or their BAC of a lost or stolen access card. BCC is staffed 24 / 7.
- ✚ BCT's when notified of a lost access card will list the card as lost in the EBI Cardholder Management Cards tab. The BCT will forward an e-mail to the Building or area BAC making notification of the lost access card. The BAC is responsible for making the request to reactivate the access card.
- ✚ It is recommended that badges should be displayed at all times when in the work environment. This should be addressed within the Department or agency policy.
- ✚ BCTs and LSUs will follow addendum BCC 012 when processing access card requests.
- ✚ Access Card Holders who habitually forget their access card may be referred to their Personnel Officer and may be subject to progressive discipline.
- ✚ Access Card Holders who fail to report their access card lost may be referred to their Personnel Officer and will be subject to progressive discipline.
- ✚ Requests to vary from this policy will be sent in writing to Property Management Division, Building Maintenance Superintendent or their designee.
- ✚ Use of access cards for any non-official purpose is strictly forbidden. Any person utilizing access cards for any illegal or prohibited purpose will be subject to disciplinary or legal actions.
- ✚ Access Cards remain the property of the State of Maine and must be surrendered when requested by competent authority.
- ✚ PMD / BCC will not purchase access cards or photo plates for the following locations; highway funded agencies, leased space, and buildings not maintained by PMD. Requests to purchase access cards and photo plates will go through the Building Control Supervisor or Building Maintenance Superintendent.

DEPARTMENT OF HEALTH & HUMAN SERVICES

VISITOR ACCESS BADGE SIGN-OUT SHEET

PLEASE NOTE: VISITOR ACCESS BADGES ARE ACTIVATED FOR USE ON BUSINESS DAYS, MONDAY-FRIDAY, DURING THE HOURS OF 8AM-5PM. THEY CONTAIN INTERIOR DOOR ACCESS ONLY. VISITOR ACCESS BADGES ARE ISSUED TO AN INDIVIDUAL AND MUST NOT BE GIVEN TO ANYONE ELSE TO USE. PLEASE REPORT LOST OR STOLEN BADGES TO THE RECEPTIONIST IMMEDIATELY. BADGES MUST BE RETURNED TO THE RECEPTIONIST BY 5PM ON THE DAY IN WHICH THEY ARE SIGNED OUT.

Location: _____

Name of Visitor	Company/Organization	Contact Number	Date/Time Issued	Date/Time Returned