

MEDIA RELEASE**31 May 2018****Physical Security**

ACT Auditor-General Dr Maxine Cooper's report on **Physical Security** was today presented to the Speaker for tabling in the ACT Legislative Assembly.

Physical security measures, be they procedural or actually physical, are designed to prevent or mitigate threats or attacks against people, information and physical assets. Each ACT Government directorate and agency is responsible for determining what physical security measures they need to implement as they are best equipped to determine their security risks and measures. Directorates and agencies are guided by the *ACT Government Protective Security Policy Framework* (the Framework) which is the responsibility of the Security and Emergency Management Branch in the Justice and Community Safety Directorate.

Dr Cooper says 'the ACT Government Protective Security Policy Framework is founded on the basis of a sound development process and initial issues in its implementation have been resolved'.

The audit found that physical security requirements in this framework are being effectively implemented by the audited directorates and agencies; Health Directorate, Education Directorate, Access Canberra, Venues Canberra and the Cultural Facilities Corporation.

Dr Cooper says 'the effective implementation of the Framework reduces the risk of incidents occurring and, if there is an incident, increases the likelihood of it being appropriately managed. However, physical security is a matter that requires ongoing attention and routine assessment so that it is effectively managed'.

The audit states that physical security needs of the Territory are likely to be better targeted if the Security and Emergency Management Committee of Cabinet is informed of operational priorities from a whole-of-government perspective on the highest risk areas overall and these are managed accordingly, rather than being determined on a directorate and agency basis.

The Summary of the **Physical Security** audit, with audit conclusions, key findings and the six recommendations is attached to this media release.

Copies of **Physical Security: Report No. 6/2018**, are available from the ACT Audit Office's website www.audit.act.gov.au . If you need assistance accessing the report please phone 6207 0833 or go to 11 Moore Street, Canberra City.

EXTRACT OF SUMMARY CHAPTER

SUMMARY

Physical security measures, be they procedural or actually physical, are designed to prevent or mitigate threats or attacks against people, information and physical assets. Each ACT Government directorate and agency is responsible for determining what physical security measures they need to implement as they are best equipped to determine their security risks and measures. Directorates and agencies are guided by the *ACT Government Protective Security Policy Framework* (the Framework) which is the responsibility of the Security and Emergency Management Branch in the Justice and Community Safety Directorate.

Overall conclusion

The *ACT Government Protective Security Policy Framework* is founded on the basis of a sound development process and initial issues in its implementation have been resolved. Physical security requirements in this framework are being effectively implemented by the audited directorates and agencies; Health Directorate, Education Directorate, Access Canberra, Venues Canberra and the Cultural Facilities Corporation. The effective implementation of the Framework reduces the risk of incidents occurring and, if there is an incident, increases the likelihood of it being appropriately managed. However, physical security is a matter that requires ongoing attention and routine assessment so that it is effectively managed.

The physical security needs of the Territory are likely to be better targeted if the Security and Emergency Management Committee of Cabinet is informed of operational priorities from a whole-of-government perspective on the highest risk areas overall and these are managed accordingly, rather than being determined on a directorate and agency basis.

Chapter conclusions

ACT GOVERNMENT PROTECTIVE SECURITY POLICY FRAMEWORK DEVELOPMENT, IMPLEMENTATION AND GOVERNANCE

While the development process for the *ACT Government Protective Security Policy Framework* was sound, there were issues with its implementation which took several years to resolve. Not all ACT Government directorates and agencies were included in the initial implementation of the Framework; notably for the purpose of this audit, the Cultural Facilities Corporation. This has been corrected.

While overall governance arrangements are appropriate there is a need to examine how the limited resources in some directorates and agencies can be supported with the skills and expertise that are

dispersed in other directorates and agencies. An across ACT Government assessment needs to be undertaken to determine how operational protective security advice, training and dissemination of better practice can best be provided.

AGENCIES' PHYSICAL SECURITY RISK MANAGEMENT

The Health Directorate, Education Directorate, Access Canberra, Venues Canberra and the Cultural Facilities Corporation have assessed physical security risks as required by the *ACT Government Protective Security Policy Framework*. The Health Directorate, while undertaking a rolling series of site risk assessments, needs to keep this program up-to-date as there are some sites that have not been assessed for over five years. The Education Directorate and Access Canberra need to undertake site-specific risk assessments.

AGENCIES' MANAGEMENT OF PHYSICAL SECURITY

Governance arrangements regarding protective security roles and responsibilities and current policies and procedures for the Health Directorate, Education Directorate, Access Canberra, Venues Canberra and Cultural Facilities Corporation were found to be effective in supporting the implementation of operational activities to meet the requirements of the *ACT Government Protective Security Policy Framework*.

These directorates and agencies had established processes to promote an effective security risk culture, including raising awareness of security issues through the implementation of training and other information and communication measures. Site-specific operational improvements were recommended to directorates and agencies where required. These are not reported in this audit for security reasons.

Key findings

ACT GOVERNMENT PROTECTIVE SECURITY POLICY FRAMEWORK DEVELOPMENT, IMPLEMENTATION AND GOVERNANCE

Paragraph

The process for developing the *ACT Government Protection Security Policy Framework* and *ACT Government Physical Security Principles* involved consultation with members of the former ACT Security-in-Government Committee, the former Security and Emergency Planning Group and the Security and Emergency Management Senior Officials Group. It resulted in a policy framework aligned with national practice, but which is tailored to meet the needs of the Territory.

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While governance is sound overall, an assessment needs to be undertaken to determine what operational support is required for directorates and agencies to identify and implement physical security arrangements and how best this can be provided. There is no specific ACT Government area whose role is to support

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directorates and agencies by providing operational protective security advice and training. The Shared Services ICT Protective Security Team has, on occasion, provided this advice to other directorates and agencies.

A Protective Security Policy Framework Communications Strategy and Protective Security Communications, Engagement and Education Plan was developed by the Justice and Community Safety Directorate to support the implementation of the *ACT Government Protective Security Policy Framework* in 2014. Of the communication activities and channels to be delivered as part of the four phases of the rollout, there was evidence to substantiate some activities being delivered as part of the first phase. There was no evidence to substantiate that other planned communication activities and channels had actually occurred, specifically information briefing sessions relating to later phases of the implementation. Notably for this audit there is no evidence that the Cultural Facilities Corporation was consulted in the development of the *ACT Government Protective Security Policy Framework* and there is no evidence that it was included in the presentations and training opportunities. 2.60

The *ACT Government Protective Security Policy Framework*, the *ACT Government Protective Security Operational Procedures Manual* and implementation documentation indicates that the *ACT Government Protective Security Policy Framework* is intended to apply to all ACT Government directorates and agencies. However, the varying applicability statements, terminology and definitions used throughout the documents are inconsistent. This needs addressing. 2.75

The lack of clarity in the *ACT Government Protective Security Policy Framework* regarding agency applicability and a failure to contact all ACT Government agencies presents a risk of an operational area not being aware of their responsibilities for developing adequate protective security measures. Confirmation is needed that all directorates and agencies are now aware. 2.76

The ACT Government Protective Security intranet site is accessible to all ACT Government staff and provides useful information on protective security matters relevant to ACT Government directorates and agencies. A deficiency of the intranet site is that it does not include any information relating to the activities of the Shared Services ICT Protective Security team. The inclusion of this information, including links to relevant Shared Services ICT security documentation and information, would improve the usefulness of the intranet site. 2.81

Annual compliance reporting for the *Protective Security Policy Framework* has been achieved through a *Protective Security Policy Framework Compliance and Capability Assessment*. Only ACT Government directorates have been required to undertake this reporting to date, with compliance reported at a whole-of-directorate level. Similarly, only directorates have been required to participate in twice-yearly reporting against the *Protective Security Maturity Assessment*. The absence of 2.99

reporting from other ACT Government agencies means that other relevant and useful information is not available to the Security and Emergency Management Branch. Furthermore, reporting at a whole-of-directorate level does not facilitate a detailed insight into physical security compliance with the *ACT Government Protective Security Policy Framework* at an operational level; reporting needs to be finer grained, especially for those directorates and agencies with diverse and discrete operational business units.

In the absence of an updated whole-of-government risk assessment with a protective security focus, there remains a reliance on directorate and agency level risk management practices to identify and manage their protective security risks including physical security risks. This could lead to physical security measures being implemented by each agency that are not commensurate to risk at an ACT Government level as a whole. There is a need to identify a regular mechanism, such as the strategic security risk assessment, for identifying and assessing the protective security risks faced by the ACT Government as a whole, so that the ACT Government has information whereby it can give priority to areas of highest overall risk to the Territory.

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AGENCIES' PHYSICAL SECURITY RISK MANAGEMENT

Paragraph

Venues Canberra has a high level of maturity in the assessment of risk and the management of physical security due to the nature of its work and its environment. Due to the nature of its work Access Canberra needs to undertake formal security risk assessments at each site level to provide an overall view of its security risk profile. This needs to inform future work in the security space and provide assurance that any gaps in current procedures, infrastructure and protocols have been identified and are being addressed.

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Venues Canberra and Access Canberra managers advised that staff are aware of their physical security risks and have physical security control elements to manage these risks but that there was limited opportunity within the directorate to leverage their combined skills and experience in physical security management to improve practices across the Directorate and ACT Government as a whole. In a smaller agency, these same staff may hold the position of Agency Security Adviser or Agency Security Officer and therefore have the opportunity to attend security and emergency management meetings, but in a large agency they have no official role.

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Site-specific security risk assessments have been underway in the Health Directorate since December 2013. This program of work is essential in identifying any physical security weaknesses and to enable subsequent actions to be prioritised. This program of work could be strengthened with the development of a forward work plan. Some sites have not had an assessment for a significant period of time and some facilities have not had an initial assessment. These need to be undertaken.

3.22

Physical security risks are known and managed both at the Education Directorate and school level, although the supporting documentation is not robust in some instances. At present, there is not a coordinated approach between school-specific physical security risk management and Directorate-level physical security risk management. The forthcoming development of the Directorate-level *Threat and Security Risk Assessment and Security Plan* represents an opportunity to strengthen engagement and future work plans with the Infrastructure and Capital Works Branch and schools in relation to physical security.

3.32

Although the 2014 *ACT Government Protective Security Policy Framework* was not implemented by the Cultural Facilities Corporation in 2014 (the Cultural Facilities Corporation advised it was not communicated with as part of the initial implementation) it engaged security consultancies to identify security risks in its key facilities. In 2017 the Cultural Facilities Corporation reviewed and updated its protective security documentation to formally recognise the *ACT Government Protective Security Policy Framework*.

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The *Chief Minister, Treasury and Economic Development Directorate Physical Security Plan* identified the need to progressively review the physical security risks at each of the Directorate's sites and locations with a view to developing a security action plan for each site. Fourteen reviews have been completed since the program commenced in 2016. Common themes identified in the reviews include coverage and quality of CCTV systems and issues with ICT communications rooms. The completion of all the site reviews will enable security action plans to be developed and prioritised to address any weaknesses.

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In order to comply with the specific requirements of major national and international sporting and entertainment events the physical security standards and procedures implemented by Venues Canberra exceed those observed at other ACT Government locations.

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Having a site security risk assessment conducted at all Access Canberra customer-facing sites is a priority for Access Canberra. The outcomes from these site assessments are expected to inform a Service Centre-level risk assessment which would then initiate implementation of physical security control elements, as required, to address weaknesses and monitor their effectiveness over time. This would enable the development of a formal security plan or work plan at the Access Canberra Service Centre-level. While Access Canberra's protective security risks, including physical security, are being formally documented at the Division-level, they do not provide sufficient detail to identify weaknesses at the Customer Service Centres. As the customer facing part of the business, the Customer Service Centre physical security risks need to be identified, assessed and managed.

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The Health Directorate has demonstrated that it has a sound understanding of its physical security risk profile, through formal and informal mechanisms, and that risks are being managed. However, current physical security risk management could be strengthened by updating the enterprise-wide risk assessment and *Health Directorate Agency Security Plan* and undertaking security risk assessments at all Health Directorate sites.

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The Education Directorate does not currently have a Security Plan. A whole-of-directorate *Security Threat and Risk Assessment* is currently being developed and it is expected that a whole-of-directorate Security Plan will also be developed from this exercise. This is due for completion by June 2018.

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In the Cultural Facilities Corporation security plans were developed to address recommendations from the 2014 Security Risk Assessments. The development of revised security plans are scheduled as stage two of the consultancy, building on the risk assessments to develop operational procedures for security and counter terrorism.

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The Cultural Facilities Corporation has taken significant steps in the last 12 months to be compliant with the *ACT Government Protective Security Policy Framework* and address gaps in its physical security controls. The Cultural Facilities Corporation now has in place protective security policy and governance arrangements for the ongoing management and monitoring of protective security.

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AGENCIES' MANAGEMENT OF PHYSICAL SECURITY

Paragraph

All directorates and agencies reviewed in this audit have assigned an Agency Security Executive, Agency Security Adviser and Agency Security Officer as required by the *ACT Government Protective Security Policy Framework*. Only directorate and agency-level Agency Security Advisers attend relevant ACT Government protective security and emergency management committee meetings. A notable exception is that the Director, Venues Canberra has recently joined the Security and Emergency Management Policy Group and holds an appropriate security clearance to enable attendance at future Security and Emergency Management Senior Officials Group meetings.

4.11

All directorates and agencies reviewed as part of this audit have appropriate governance processes in place for the oversight of agency security requirements. Both the Health Directorate and the Education Directorate have established senior management security committees with a focus on security and emergency management issues, noting that for the Cultural Facilities Corporation, the Security Executive Group has only recently been established. For the Chief Minister, Treasury

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and Economic Development Directorate, it is the Senior Executive Management Group that considers protective security issues.

All directorates and agencies have incident reporting procedures in place that include reporting work health and safety incidents and near misses in RiskMan. Furthermore, all directorates and agencies have identified processes to report periodically on incidents and enable them to analyse incident data for specific risks or recurring themes. 4.92

Recommendations

RECOMMENDATION 1 WHOLE-OF-GOVERNMENT PROTECTIVE SECURITY SUPPORT ASSESSMENT

The Security and Emergency Management Branch (Justice and Community Safety Directorate) should coordinate an assessment of the physical security operational support needs across the ACT Government and present findings and recommendations to the Security and Emergency Management Senior Officials Group.

RECOMMENDATION 2 PROTECTIVE SECURITY POLICY FRAMEWORK APPLICABILITY

The Security and Emergency Management Branch (Justice and Community Safety Directorate) should:

- a) review definitions and terminology to provide consistency between the *ACT Government Protective Security Policy Framework* and the *ACT Government Protective Security Operational Procedures Manual*;
- b) update Section 3 of the *ACT Government Protective Security Policy Framework* to specify entities for which it is mandatory to apply the policy, and those for whom it is recommended; and
- c) contact all ACT Government agencies, statutory bodies and entities to make them aware of the requirements of the *ACT Government Protective Security Policy Framework*.

RECOMMENDATION 3 PROTECTIVE SECURITY WEBPAGE

The Security and Emergency Management Branch (Justice and Community Safety Directorate) should strengthen access to protective security information by reviewing and providing links to relevant Shared Services ICT Protective Security documentation on the ACT Government Protective Security intranet site.

RECOMMENDATION 4 COMPLIANCE REPORTING

The Security and Emergency Management Branch (Justice and Community Safety Directorate) should:

- a) amend the *Protective Security Policy Framework Compliance and Capability Assessment* and Director-General sign-off to require ACT Government directorates and agencies to:
 - i) identify the business units and/or entities included in the report; and
 - ii) gather information from all business units and/or entities to enable the identification of business units and entities with issues or areas of non-compliance at an operational level; and
- b) notify relevant statutory bodies of their obligation to complete the annual *ACT Government Protective Security Policy Framework* compliance reporting, if this is not incorporated in the Directorate level reporting.

RECOMMENDATION 5 ACT GOVERNMENT PROTECTIVE SECURITY RISK ASSESSMENT

The Security and Emergency Management Branch (Justice and Community Safety Directorate) should undertake a whole-of-government protective security risk assessment encompassing physical security so that whole-of-government priorities are directed to the areas of greatest overall risk to the Territory. The whole-of-government protective security risk assessment should be reviewed and updated at scheduled intervals.

RECOMMENDATION 6 EDUCATION DIRECTORATE – SECURITY RISK ASSESSMENT

The Education Directorate should, on completion of its *Threat and Security Risk Assessment and Security Plan*, increase awareness of physical security risk for school based staff and implement a long-term rolling program of site-specific security risk assessments.

RECOMMENDATION 7 ACCESS CANBERRA – SECURITY RISK ASSESSMENTS

The Access Canberra Customer Coordination Division should engage with the Chief Minister, Treasury and Economic Development Directorate Agency Security Advisers to prioritise security risk assessments.

RECOMMENDATION 8 HEALTH DIRECTORATE – RISK MANAGEMENT

The Health Directorate should update its enterprise-wide risk assessment and *Health Directorate Agency Security Plan* to reflect: the work conducted since 2014; and the updated *ACT Government Protective Security Policy Framework*, and continued progress should be made to perform site-specific security risk assessments.

Agency responses

In accordance with subsection 18(2) of the *Auditor-General Act 1996*, the Chief Minister, Treasury and Economic Development Directorate (that includes Access Canberra and Venues Canberra), the Cultural Facilities Corporation, the Education Directorate, the Health Directorate and the Justice and Community Safety Directorate were provided with:

- a draft proposed report for comment. All comments were considered and required changes were reflected in the final proposed report; and
- a final proposed report for further comment. As part of this process, Territory entities were offered the opportunity to provide a statement for inclusion in the final report in the Summary Chapter.

No agency provided comments for inclusion in this Summary Chapter.