

The UK Value for Money Steering Group

**Management of Security Services
in the H E Sector**

National Report

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Management of Security Services in the H E Sector

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Statement

Joint statement to be agreed with Professor David Wallace and John Lauwerys

All institutions endeavour to create a 'feel good' factor on campus enabling staff, students and visitors to carry out their activities, both during and outside of normal working hours, without unnecessary pressures. Security staff help maintain a safe and secure environment for all, by providing a continuous presence 365 days a year, 24 hours a day. Students, staff and visitors should contribute to that environment, by their own conduct and actions. Like health and safety, security is a responsibility that must be shared by all.

A survey of security arrangements, carried out as part of the study, indicated that the UK higher education sector currently invests in excess of £126 million in undertaking the above important role. Security services are provided by over 6,000 security staff and extend to more than 2.8 million students and staff - members of the HE community. They also welcome a diverse range of visitors on behalf of those institutions. The results of the limited HE survey were broadly considered against the much wider findings of the latest British Crime Survey (BCS, October, 2000) conducted by the Home Office. The BCS results are shown in brackets. As a very conservative estimate, the survey indicated that the cost of crime to institutions was just under £40 million in the year 2000. The likelihood of being a victim of theft was 75% (59%) and criminal damage was 19% (19%); both much greater than assault which accounted for 6% (22%) of all reported security incidents. The findings of the study also suggest that further value from the use of limited resources could be obtained by many institutions through assessing the nature of threats and risks and then implementing appropriate security measures.

The steering group will continue to produce reports for HE institutions on the basis of 'by the sector, for the sector' providing information to address management concerns. The group recognises that a range of options exists and it is the responsibility of each institution to identify and implement the most appropriate security arrangements to match its own, particular requirements.

The outputs of this study provide a set of tools and ideas for all institutions to deliver value for money, within a framework of management options to be considered. We trust that you will find this guide helpful in realising this value.

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Executive Summary

Introduction

Security is an important service within the overall facilities management arrangements of the institution (*Facilities Management National Report – HEFCE, March 00/14*). Its delivery is influenced by the necessity to take account of a statutory framework - for example the Crime & Disorder Act, Data Protection Act, Health and Safety at Work Act and so on - that is becoming increasingly more demanding. It also has significant implications for all institutions, if 'on and off campus' issues are not adequately considered and addressed.

To assist in identifying the most appropriate arrangements for security services, institutions will want to carry out an analysis of threats and risks to their core activities. The development of robust management information is vital. Maintaining agreed levels for student recruitment is important for all institutions. Factors affecting student choice are numerous and varied, but one important element concerns the environment on and immediately surrounding the institution. Security services, in conjunction with other support services, have an important role in supporting student recruitment initiatives. Institutions need to address these important issues and concerns.

In implementing effective security arrangements, a framework is required which:

- recognises the interests of different stakeholders (students, staff, visitors, business and partnerships within the community) through service delivery arrangements
- ensures both an effective response and compliance with statutory regulations and good practice guidelines
- enables the institution to achieve value for money through the management and funding of agreed security priorities within its strategic, tactical and operational plans that include management statistics.

The specific security arrangements will be determined by:

- core business needs – assessment of threats, risks and priorities in relation to core business activities as part of a strategic security policy
- adopted service standards – included within service level statements (agreements) and agreed with stakeholders (this may include service providers, as these can be internal and external)
- planned investment of financial resources – as identified within costed security plans and policies.

Changes to the above may need to be carefully considered by the institution to minimise any adverse impact on its core activities, public image, agreed service levels and so on.

Summary of the study's key findings

There are a number of important, strategic and tactical issues to be considered by institutions to enhance their existing security arrangements, as well as further operational opportunities for delivering this essential service. The key findings and recommendations of the study are the:

- formulation of a security policy that is developed in consultation with students, staff and others (the institution's membership)
- implementation of an integrated security strategy that takes account of:
 - an assessment of threats and risks to the institution's membership and core activities
 - legislation and good practice guidelines
 - the need to balance technology and other resources
 - the implementation of operational plans and budgets for security
- establishment of clear channels of communication, to enable security issues to be considered at the highest level within the institution
- review of defined areas of management responsibility for security, that are discharged by professional security staff
- introduction of service standards that are adequately resourced
- dissemination of management statistics concerning security issues within the institution
- publication of an annual security report
- documentation of all security procedures (including risk assessment and crisis management plans)
- development of periodic reviews to support continuous service improvement for security services and allied support services.

The findings of the Value for Money study **Management of Security Services in the HE Sector** readily acknowledge the work already undertaken by institutions in managing their security services. Institutions will want support services that offer the best possible standards to meet the needs of their memberships. Better co-ordination between core activities and support services means that institutions can respond faster and more effectively to those demands for services. The response of security staff to all security related incidents and requests needs to be continually customer focussed.

Security arrangements in the HE sector (Section 1)

The management structures and reporting arrangements for security services differ widely within the HE sector. Security services may be part of one of the following functions - central administration, personnel, finance, campus services, corporate resources, operational, or estate services. The diversity in the range of duties and responsibilities undertaken by security staff within HE institutions may engender an ad hoc approach to security service management, because of the assignment of inappropriate tasks that are not properly resourced.

To obtain a better understanding of the security service arrangements in place within HE institutions, a survey of security services was undertaken. The survey indicated some broad trends in the overall arrangements of security services. For example, HE institutions preferred to establish an in-house team for providing their security services. Overall within the sample survey, this accounted for approximately 50% of the present arrangements in place. In addition, nearly 60% of institutions spend between £400K and £1M annually on those arrangements. An analysis of direct costs indicated that as an average, 88% of total security expenditure related to total pay costs (ie, for combined in-

house and contracted services). As a 'rule of thumb', *Croner's Premises Management - Practical Premises Security* indicates that the gross hourly pay for security staff should be between 60% and 70% of the hourly charge rate, depending on the duties performed.

As part of considering the findings outlined above, institutions may also wish to consider adopting a facilities management approach for security services.

A way forward (Section 2)

To address the issues effectively, key members of the institution's management team, or their appointed deputies, have an important and influential role in identifying the security service solutions appropriate for their institutions. Such an approach could provide a structure to underpin the responsibility of everyone for security within their institution.

A security services self-assessment checklist was developed with the help of higher education institutions; this is shown within the relevant section of the review guide.

Conclusion

This report together with the other outputs of the study (*Case studies and Cameos* and the *Security Toolchest*), provides guidance on important areas that all institutions need to consider in determining and reviewing their security arrangements. Some institutions will already be using some or many of the management techniques, tools, ideas and solutions included in this report; others will be able to select the ideas and approaches that will work in their institution. A thorough review of their security service arrangements, using the guidance and principles contained in this report, will help all institutions to support the delivery of their strategic objectives.

The security service is an essential service for all institutions. In conjunction with other services, it supports the provision of a stimulating and supportive environment for students, staff, visitors, business and community partners. The existence of such an environment is important to the delivery of the institution's core business objectives in a cost-effective way.

1. Security arrangements in the HE sector

The graphics in this section are subject to further amendment to aid presentation; some replies are still being received from institutions

Introduction

This section provides an overview of the arrangements in place for security services, based on the outcomes of the Expert Working Groups and the results of a data survey carried out. It also outlines some of the issues to be considered in adopting a facilities management approach of those services.

The management structures and reporting arrangements differ widely within the HE sector. As an example, security services may be part of one of the following functions - central administration, personnel, finance, campus services, corporate resources, operational, or estate services. The origin of such services may be historical, with continuing links to mail, porter and messenger services. Responsibility for traffic management issues is also a common feature of security arrangements. However, more importantly, security staff do contribute to a year-round pastoral care infrastructure, an aspect that is valued by students and staff alike.

To obtain a better understanding of the security service arrangements in place within HE institutions, a survey of security services was undertaken. The sample survey consisted of 90 (51%) HE institutions, selected on the basis of risk ratings used by Endsleigh Insurance, ie 1, 2-6 (lower to medium risk), 7-9 and 10-13 (medium to higher risk). The first group of 46 institutions represented institutions within the lower to medium risk categories (Group X), and the second group of 44 institutions represented the medium to higher risk category (Group Y). In total 66 institutions responded with data, representing a 67% return. The data requested covered security pay, operational and capital costs for each of the years' 1997/98; 1998/99 and 1999/00. Total staff, security and student numbers were also requested.

There were a number of difficulties experienced by institutions in providing the information requested. These included the archiving of prior years' information, recent appointments or other changes in personnel, identification of costs for staff allied to security (eg, porters, cleaners etc), changes in accounting and budgeting systems, and so on. One of the recommendations arising from the study is that institutions should review their arrangements for management information regarding the operation of their security services. Such a review would be part of their commitment to continuous service improvement.

The survey results indicated some broad trends in the overall cost of security services, the split between in-house and contracted security services, and the cost per membership and security staff within the main categories of service provision considered (ie, wholly in-house, mixed provision, and wholly contracted).

The results of the survey are considered in further detail below.

Procurement arrangements for security services

The service delivery arrangement preferred by institutions for providing security services is to establish a dedicated in-house team. Overall, this accounted for approximately 50% of the present arrangements in place within the sample survey. The respective percentage for Group X (Endsleigh Insurance groups 1 and 2-6 – lower to medium risk categories) was approximately 55%, and for Group Y (Endsleigh Insurance groups 7-9 and 10-13 – medium to higher risk categories) it was approximately 40%. Contracted arrangements accounted for 10%, with twice as many institutions in Group Y choosing this arrangement than in Group X. The proportion representing a mixed procurement arrangement was slightly higher in Group Y.

Figure 1 below provides an illustration and further details:

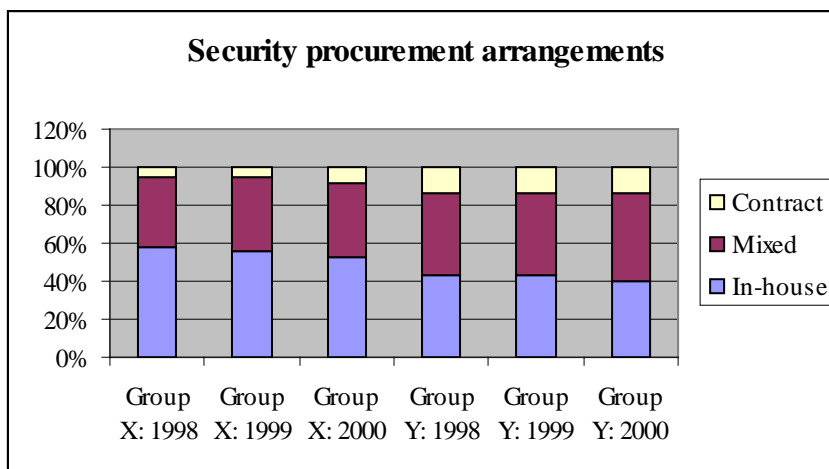


Figure 1

Although there have been changes in each type of security provision during the period 1997/98 to 1999/00, the period itself is too short to show any more significant changes (or preferences by institutions) in service delivery viz, between wholly in-house, mixed provision, or wholly contracted.

Total cost of security provision – revenue and capital costs

An analysis of the survey replies indicates that there is a difference in the cost of provision between groups X and Y. For group X, over 60% of institutions spend between £150K to £700K per annum on security, whereas for group Y, nearly 70% of institutions spend between £400K and £1M annually. As illustrated in the preceding section, the majority of these arrangements are either in-house or mixed security service arrangements.

Figure 2 below provides an illustration and further details:

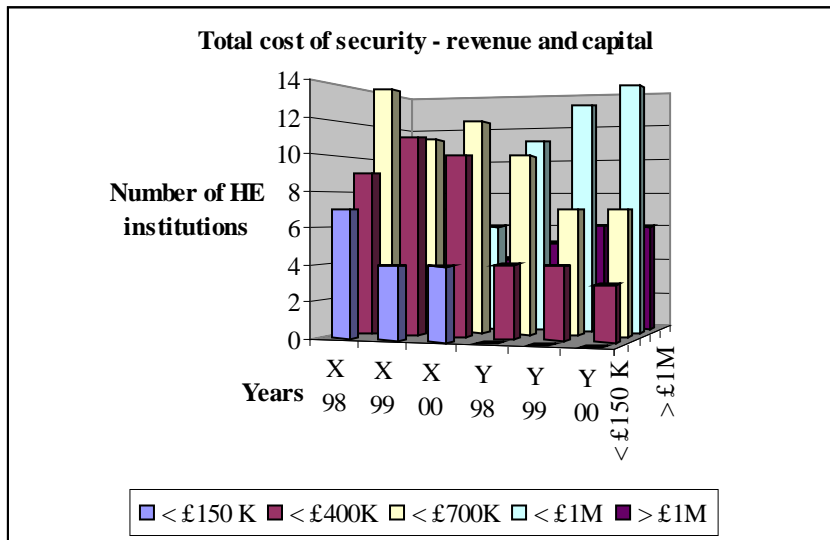


Figure 2

The annual total spend represented by group X increased from £18M (1997/98) to nearly £22M (1999/00). The comparative figures for group Y are just under £23M for 1997/98 to over £26M in 1999/00.

Extrapolating the above figures for the HE sector as a whole indicates an approximate total spend for each of the following years:

1997/98 £111M

1998/99 £116M

1999/00 £126M

An analysis of total security costs

The survey requested institutions to provide details of in-house pay, contract/agency staff costs, other operating expenses, security staff training, and security capital expenditure. A number of institutions had problems in analysing their expenditure in this way. For example, some institutions were only able to provide details of externally provided courses, as in some cases no charge is made for centrally-funded external and in-house training. Similarly, for capital expenditure, some institutions were only able to identify specific security measures. Other capital expenditure that might relate to security, formed part of the total cost of major capital and refurbishment projects and therefore was not available separately. Finally, because some institutions have different accounting policies for depreciation and expenditure not capitalised, it was difficult to compare more closely 'other operating expenses' incurred by HEIs.

Figure 3 below provides an illustration and further details:

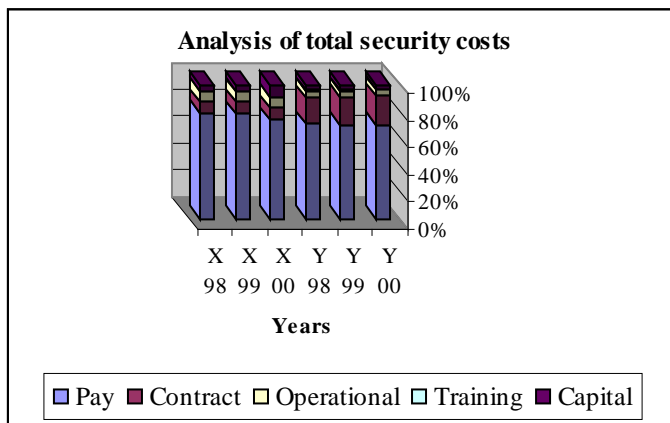


Figure 3

Subject to the caveats above, the analysis indicates that 86% of total security expenditure related to total pay costs (ie, combined in-house and contracted services) for Group X institutions. The corresponding figure for Group Y institutions was 91%. As a ‘rule of thumb’, Croner’s Practical Premises Security indicates that the gross hourly pay rate for security staff should be between 60 and 65% of the total hourly charge, depending on the duties performed. This figure could increase to 70% for multi-manned assignments.

The broad analysis indicated above would seem to suggest that security service provision in HE institutions may utilise a higher mix of staffing than external security providers –although this would depend on the duties performed. Equally, employment costs for security staff may be higher than those incurred by external security providers. The relevant cost components for other operating costs and equipment used by external security providers are not known.

Security costs per institution member and security staff

For group X institutions, the median cost per security staff member was £18,000 per annum, rising to £19,000 and £21,000 over the three years 1997/98 to 1999/00. The median cost includes both revenue and capital costs. The corresponding figures for group Y institutions were: £19,000; £20,000; and £21,000 respectively. As a ‘rule of thumb’, Croner’s Practical Premises Security indicates that the annual cost per security staff for providing a 24-hour post should be between £20,000 to £23,000 per person (£60-70,000 per three-man, 12-hour shift rotas).

Additionally, Croner’s Practical Premises Security indicates that as a ‘rule of thumb’ the level of staffing for a 12-hour shift/per man rota should be three per post and that for an external contractor to provide an adequate response, this number could increase to four persons per post. If these figures were applied, then the corresponding figures using median direct pay costs only for group X HE institutions would be £49,000 and £66,000 respectively for the year 1997/98, rising to £54,000 to £72,000 for 1998/99 and for 1999/00 £52,000 and £69,000. The corresponding figures for group Y are: £52,000 to £69,000; £53,000 and £70,000; and £55,000 and £73,000 respectively.

Figures 4 and 5 below provide an illustration and further details:

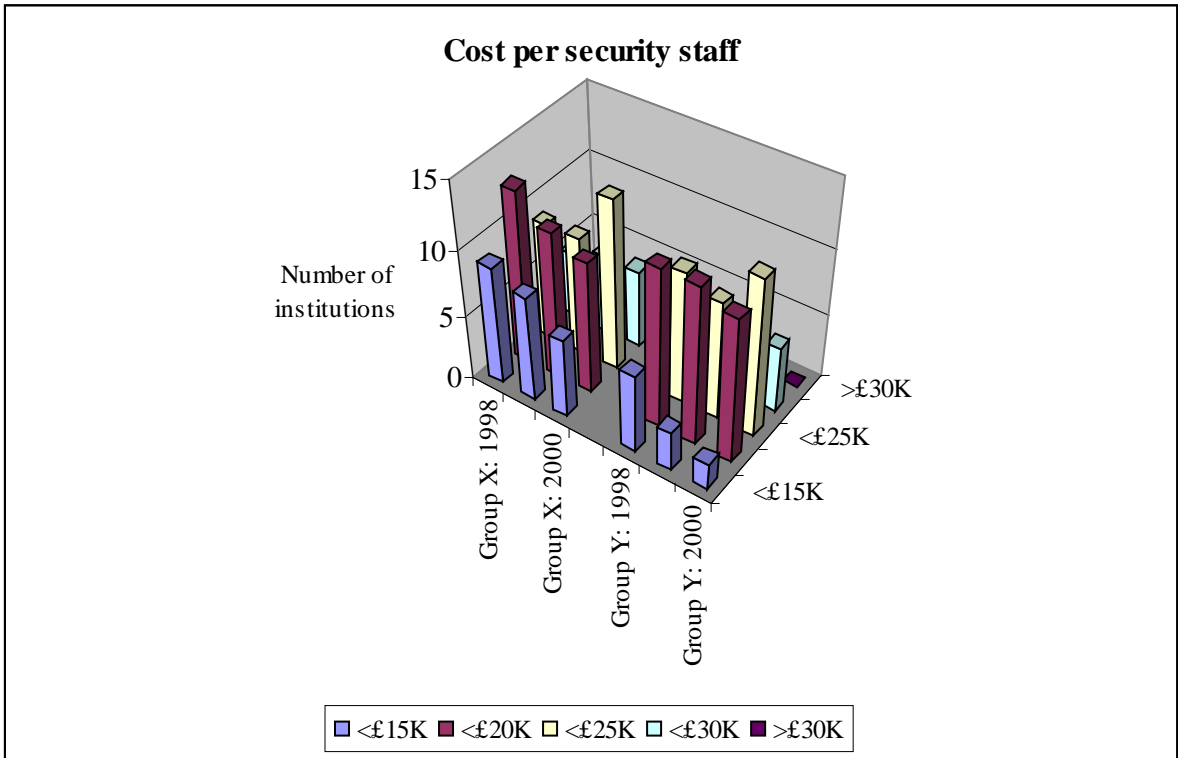


Figure 4

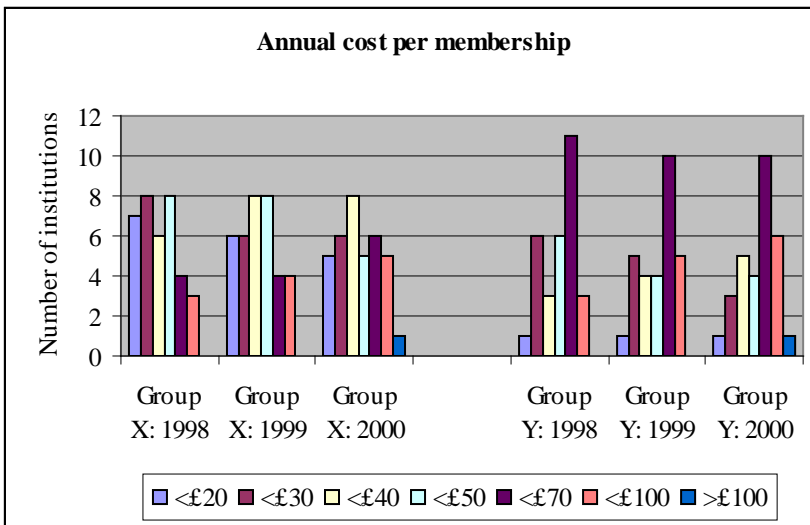


Figure 5

Based on the survey findings, there would appear to be scope for institutions to review the duties performed and constituent cost elements for their security services. Any changes in the overall level of direct staffing costs could be utilised and reinvested in further security technology and other security initiatives for future years.

This diversity in the range of duties and responsibilities undertaken by security staff within HE institutions may engender an ad hoc approach to security service management, because of the assignment of inappropriate tasks that are not properly resourced. The role performed by the institution's security services must be valued and properly understood. As part of their security arrangements, institutions need to ensure that there is senior management commitment, representation

and support; and that good working relations are created with senior academics and other key business managers, to handle management actions required promptly; this involves regular contact and consultation arrangements. The risk in not addressing the above issues is that the role of security, as required by the institution, may be compromised. Institutions could consider therefore, as one possible approach when reviewing their security services, identifying and grouping services to reflect the institution's approach to risk management.

Interfaces with facilities management

The level of protection provided by institutions can be undermined by a number of threats and risks – both real and perceived. Crime can also be from within, as well as from outside the institution. The 'fear of crime', as in the wider community in which the institution is located - whether city centre or green field site - can often be greater than the reality. Security staff are part of the pastoral infrastructure of their institutions, they have a significant role in alleviating that fear and they work with other members of the institution in promoting a positive image for their institutions.

In supporting the institution's wider pastoral care arrangements for students, staff and visitors, security services need to be clearly defined and resourced. Developing interfaces with other key business services and external liaison organisations will enable better support for core activities, as indicated in *Facilities management – improving the management of support services in higher education (HEFCE 00/14, March 2000)*.

As part of developing the approach outlined above for security services, there are three dimensions to be considered: the strategic infrastructure, a tactical framework and the operational arrangements.

Strategic infrastructure

The main issues here relate to setting the overall framework for security services that reflects the vision, purpose and culture of the institution. As suggested above, this may be part of a wider remit and approach identified by the institution for managing risk and supporting pastoral care arrangements. An essential task therefore, is to establish an infrastructure that guides the service management and identifies clearly how the security services may contribute to the institution's business success. The development of a security strategy is an essential element within such a framework.

Equally the institution may wish to consider links to other existing strategic documents such as the institution's estates and maintenance strategies, health and safety and data protection policies, 'green transport' issues etc, in developing its security strategy.

Tactical framework

The tactical framework focuses on developing appropriate policies, plans and systems to establish what is needed, including issues regarding quality, value and risk. This requires a considered approach: that is, an evaluation of options, provision of resources and input of senior management time. Such an approach could be supported by the outcomes from internal and external review assessments. Further considerations are identified under the following headings:

Planning

Within institutions, different funding and planning time scales may apply, to reflect service priorities. The report, therefore, proposes that institutions may wish to consider enhancing the co-ordination of funding and planning outcomes for key business services, such as security, to ensure the best use of limited funds. Institutions may also wish to consider identifying and monitoring the overall contribution of security services to the risk management of its core activities.

To maximise the use of capital and revenue funding provided to key business services, it is important that the outcomes delivered by each process are co-ordinated. The specific needs for security services will be identified from processes that inform the institution's management of issues, both 'on and off campus', and the value for money of the arrangements in place. One consideration is that funding to implement agreed security measures is 'an investment to maintain the personal safety of students, staff and visitors'.

Standards

Within the tactical framework, security service standards, as agreed between students, staff, visitors, business and partnerships within the community (and this may include internal and external service providers), ought to be the essential element to support service delivery arrangements.

Considerations regarding service standards, quality (fitness for purpose), value, cost and price are important. Value relates to the performance standard that is achieved through adopting a quality approach. Whole life cost can be different to the price paid. Service standards may be considered and agreed for operating procedures as well as service performance, to ensure that customers' needs are met.

The roles and responsibilities of individual stakeholders (that centre on the responsibilities of the institution's membership, as referred to earlier in this report) will also require definition. Changes to management structures may also need to be considered and implemented. In the facilities management report (*HEFCE 00/14, March 2000*) stakeholders were defined as students, staff, visitors, business and community partners and service providers. Service providers were included because they have an interest in the success of any service activity; they may be internal and external.

Management statistics

The standards identified ought to be capable of being measured and monitored. The management statistics could be identified at supplementary levels, for example by core business activity, by department, by building, by student and so on.

There is a need to develop sector-wide management statistics to aid decision-making within institutions. Equally, institutions may wish to consider options for establishing groups for the exchange of data regarding the cost of security and other support services.

Investment

The implications of deferring security measures ought to be made known to the senior management team. Institutions' funding arrangements should be underpinned by the development of service plans

(short to long term) that include identified priorities and needs in relation to security services. The approach adopted should clearly identify both **benefits** and costs, as part of obtaining value for money.

Operational arrangements

Following the implementation of a tactical framework, institutions will want to decide what specific arrangements (functions/roles/responsibilities etc) are to be included as part of their security services. For example, the institution may wish to consider how its security services and its underlying resources could be best provided, as indicated in *Facilities management – improving the management of support services in higher education (HEFCE 00/14, March 2000)*. This could involve in-house staff and/or external service providers.

Similarly, the institution may wish to consider whether identical arrangements ought to cover all the physical resources of the institution, which may be owned either outright, leased, rented, or subject to a PFI arrangement; as there may be a range of security arrangements to be co-ordinated.

The operational arrangements will involve achieving service plans, using the agreed operational procedures and systems, monitoring results and taking appropriate action to secure and maintain the desired targets and standards. It also requires investment in training and development arrangements for security staff, and the definition of appropriate management structures and service standards.

2. A way forward

Introduction

The institution is responsible for identifying and implementing appropriate arrangements for a security service. It is important that there is direct commitment from senior management to support the decision-making processes within these arrangements. By creating a strategic framework that is supported by appropriate tactical and operational arrangements, a defined security service can be implemented and institutions will also obtain better value for money.

Benefits

One of the outputs of the study is *Case studies and Cameos*. It includes five case studies and a number of cameos, based on the present security arrangements at some HE institutions. The benefits identified within these security arrangements include the following:

- a secure working and learning environment for all
- important information concerning the use of the institution's facilities
- an affordable level of investment for the delivery of its security services
- clear lines of delegated authority for security services
- quality and performance-based targets to monitor progress of security services
- competitively let security service contracts to meet agreed levels of service delivery
- a flexible and responsive security workforce
- good working partnerships within and outside the institution
- a valued contribution to the wider pastoral care framework provided by the institution
- security services that are effectively prioritised, costed and funded by the institution
- feedback to the senior management team and others on the cost-effectiveness of the security arrangements.

The *National Report* advocates that HE institutions should consider seriously the implementation of a security strategy so that the:

- expenditure on security can be invested for the personal safety of students, staff and visitors

- contribution of the security services within the institution's overall risk management arrangements may be ascertained
- outcomes derived from security and health & safety assessments may be more closely aligned, where appropriate.

Management Involvement

To address the issues effectively, the following key members of the institution's management team, or their appointed deputies, have an important and influential role in identifying the security service solutions appropriate for their institutions. It is intended that each of the following groups would undertake to cascade downwards the key messages:

- Governing committees (see **Section 2.1**): strategic planning responsibilities
- Vice-chancellors, principals and directors, and their deputies (see **Section 2.2**): executive responsibilities
- Designated senior management for security - heads of campus services, estates, facilities, finance and personnel (see **Section 2.3**): delegated executive responsibilities
- Heads of security (see **Section 2.4**): tactical and operational management responsibilities
- Students and staff (see **Section 2.5**): personal responsibilities to support the institution's security, safety and health policy aims and objectives.

In general terms, the above structure represents an 'accountability chain' found in most institutions; it also reflects the responsibility of everyone for security within their institution.

There are a number of management issues that may overlap in the above sections. Where relevant, these have been repeated.

Management Review

Institutions will want to consider the best way in which their security services may be reviewed and the resulting actions implemented. There are a number of options, one of which may include the involvement of staff and the institution's professional advisors.

Another option is the creation of a task group, or small working party, to aid the initial stages of the security services review by identifying institution-wide levels of service delivery, management statistics and so on. Under this option, the arrangements can be kept flexible to suit existing management priorities. There are a number of strategic, tactical and operational goals to be identified by the institution. An important strategic goal will be to maximise value for money in respect of its security services.

Security self-assessment checklist

As part of the study, a security services self-assessment checklist was developed with the help of higher education institutions. The relevant part of the checklist is shown within each section of this report. Institutions may find the checklist helpful to review their present security arrangements and to prioritise the actions identified, as part of a management action plan.

2.1 Governing committees

Introduction

A governing committee of the institution (such as the audit, estates and health and safety committees) may wish to ensure that the arrangements for identifying the strategic issues for the security services are regularly reviewed/updated. As will be considered later in this report, executive responsibility for security services may be assigned to a senior member of the management team. In these circumstances, the tactical and operational management responsibilities for security services will be delegated to a nominated manager within the institution's management team.

In some institutions, responsibility for reviewing the security services might be combined with those of another standing committee, such as the Health & Safety Committee, or be delegated to a member of the senior management team. Members of such committees (or a member of the senior management team) are in a position to contribute to and comment upon the strategic policy arrangements for security services at their institutions.

Strategic Planning Responsibility

Governing committees have strategic planning responsibilities for their institutions. Members of these committees will want confirmation that appropriate arrangements for security are in place; as such, they should receive periodic reports on the effectiveness of these arrangements. To achieve the value for money benefits indicated by the study, a strategic framework ought to be in place; this could be supported by service level standards/agreements that are underpinned by adequate resources (investment). Management actions can then be informed by the following:

- implementation of a security strategy
- integrated risk management arrangements
- funding of agreed security priorities
- adopted service level standards/agreements
- periodic reviews of security procurement processes
- dissemination of qualitative and quantitative management statistics.

Security strategy

The implementation of a formal security strategy can provide the following benefits to the institution:

- support of corporate objectives

- targeting of expenditure
- a key element of the institution's risk management arrangements
- assist in creating a secure and safe environment for students and staff, visitors and the wider community.

Management reporting

As part of the study, management statistics regarding security were identified. Management statistics should inform the management team regarding the effectiveness of present security initiatives and how they might be improved in the future. Other areas that impact on service provision and standards were also identified. For example, the turnover of security staff, the number of alarm incidents, the implementation of security initiatives, training of security staff and so on.

Some institutions report progress against their security plans by publishing an annual report. For example, this can include reporting the achievement of service standards. The report is typically prepared for members of a governing committee/senior management team; it may also be made available to other members of the institution.

Self-assessment checklist: governing committees

What actions has the institution considered concerning the implementation of a security strategy?

How has the institution integrated its security strategy with its risk management arrangements and health and safety considerations?

What arrangements does the institution have in place regarding periodical reviews of its security arrangements; are annual reports made available to members of the governing committee?

What arrangements are in place regarding a member of the senior management team having overall executive responsibility for the institution's security services?

2.2 Vice-chancellors, principals and directors (and their deputies)

Introduction

The strategic management objectives for security services need to be determined by the institution. Vice-chancellors, principals and directors (and their deputies) are in a position to initiate the management agenda regarding the security services for their institutions.

Security review

Effective arrangements for security services ought to include current legislative requirements and good practice guidelines. Security staff should receive training in support of the institution's on-going customer care approach and arrangements. A key part of such training, to be received by new security staff, would concern induction arrangements relating to their security duties and their responsibilities in relation to the institution and its membership. In some HEIs, this takes the form of mentoring in the first few weeks of their employment, with subsequent discussions with their line manager regarding progress. The security arrangements should enable a safe and secure working environment to be created for students, staff and visitors. These arrangements ought to be reviewed regularly, and the security strategy updated accordingly.

Institutions will want to consider the best way in which their security services may be reviewed and the resulting actions implemented. There are a number of options, one of which may include the involvement of staff and the institution's professional advisors.

Another option is the creation of a task group, or small working party, to aid the initial stages of the security services review by identifying institution-wide levels of service delivery, management statistics and so on. Under this option, the arrangements can be kept flexible to suit existing management priorities. There are a number of strategic, tactical and operational goals to be identified by the institution. An important strategic goal will be to maximise value for money in respect of its security services.

Collaboration and liaison – adopting a multi-agency approach

A number of HE institutions had been very active in identifying ways to raise the awareness of personal safety matters and the prevention of crime issues amongst students, staff and visitors. The other outputs of the study *Case studies and Cameos* and the *Security Toolchest* contain examples of HE institutions' participation in a number of collaborative agency organisations, both 'on and off-campus'. Clear benefits have arisen from such involvement by those institutions. In such circumstances, the direct commitment of senior management was considered important to enable security issues to be considered and progressed effectively.

Delegation of executive management responsibility for security

The tactical and operational management responsibility for security services varies considerably within the HE sector. Security issues sometimes necessitate direct access to a very senior member of the management team, to ensure that the correct response is identified and implemented quickly. The institution's security staff are required to deal with these issues which may impact dramatically on the activities of the institution.

To deal with the strategic implications of such situations, institutions may wish to consider assigning executive responsibility for security services to a senior member of the management team. Such an appointment requires appropriate delegated powers of responsibility.

Self-assessment checklist: vice-chancellors, principals and directors (and their deputies)

What arrangements are in place regarding a member of the senior management team having overall executive responsibility for the institution's security services?

How has the institution integrated its security strategy with its risk management arrangements and health and safety considerations?

What arrangements does the institution have in place regarding periodical reviews of its security arrangements; are annual reports made available to members of the governing committee?

2.3 Designated senior management for security - heads of personnel, finance, facilities, estates and campus services

Introduction

The management responsibility for security services varies greatly within the HE sector. For example, responsibility for security could fall under one of the following service divisions/directorates:

- Estates
- Facilities Management
- Finance
- Personnel
- Registrar & Secretary.

Institutions may need to review their existing arrangements to ensure that representation of security issues is achieved at the highest level within the management team. At some institutions, the head of security has direct access to a senior member of the management team, such as the pro vice-chancellor. Heads of support services could play a greater part in the implementation of the strategic and tactical arrangements for security services. For example: in implementing a security strategy, access policies, and securing funding that is linked to the delivery of service level standards.

As considered earlier in this report, a governing committee of the institution (such as the audit, estates and health and safety committees) may wish to ensure that the arrangements for identifying the strategic issues for the security services are regularly reviewed/updated. However, delegated executive responsibility for security services may be assigned to a senior member of the management team. In these circumstances, the tactical and operational management responsibilities for security services will be delegated to a nominated manager within the institution's management team. Responsibility for security arrangements at operational level is often undertaken by staff with a professional background in allied services such as the police.

Institutions may need to review their existing arrangements to ensure that representation of security issues is achieved at the highest level within the management team.

Management responsibility

There are strategic and tactical arrangements, in addition to operational ones, to be implemented for security services; one way that this might be achieved is to assign tactical responsibility to the head of security. The head of security could continue to have line management responsibility to the head of a divisional support service. In addition, the head of security may have direct access to a senior

member of the management team with executive responsibilities for security services, such as a pro-vice-chancellor, as mentioned earlier in this report.

Responsibility regarding the following strategic matters for security needs to be considered by the institution:

- Co-ordinating the security strategy with other strategic policy documents, such as risk management, health & safety, the estates strategy, 'green' transport and other environmental policies
- Responsibility for risk management, which would include security and health & safety issues
- Periodic reviews of security arrangements, including the generation of routine management information.

Assessing risk and priority

Institutions may need to consider introducing formal arrangements for the assessment of security risks. The procedures adopted should be aligned to those applicable for health and safety. The nature and level of risk/priority assigned ought to be in accordance with agreed definitions contained within a risk management policy. It would also be important for the security risk procedures adopted to have the following characteristics:

- enable all identified risks to be prioritised
- facilitate similar (and related) risks to be collated for management reporting purposes
- allow different groups of risk/priority to be formed, to allow appropriate management actions to be co-ordinated
- ensure that resources are assigned to manage agreed risks/priorities.

Collaboration and liaison – security services

It is important that the security services are able to liaise effectively and co-ordinate their activities with other support services operated by the institution. There are a number of factors that may determine the institution's approach to managing such services. Further guidance regarding the relevant issues is contained in *Facilities management – improving the management of support services in higher education (National Report, HEFCE 00/14 – March 2000)*.

Institutions that have adopted a facilities management approach have started with an analysis that identified the key support services and the essential interconnections. An example of such an analysis as it could apply to security services is set out below. This is neither exhaustive nor prescriptive; institutions will want to determine their own analysis to enhance the co-ordination between different support services and functions.

Key support service

Security

and pastoral care

Other support functions

Learning resources

Student recruitment, administration

Personnel

Finance

Property management

Estate infrastructure

IT and communication services

Public affairs/Research and
development/Liaison and other
support services

Campus support services

Health & safety

Other trading activities

Each section below indicates the areas that could be improved (*in italics*) by co-ordinating security services and other support service issues/functions.

Security services and academic resources

Protect research and teaching facilities

Provision of advice to heads of departments and others.

Security services and space management

Access control

Protection of assets

Circulation/traffic monitoring

Safety of students, staff, and visitors.

Security services and new build/refurbishment/campus infrastructure

Security by design

Landscaping and lighting

Building maintenance

Provision of advice to estates' staff, professional advisers (such as architects) and others.

Security services and event management

Traffic management

Car parking

Directing visitors

Safety of conference guests.

Service level standards and agreements (SLS/SLA)

The service criteria and standards to be applied for security services need to be identified by the institution. One way that this can be achieved is to develop SLSs for internal service providers and SLAs for external service providers to support agreed objectives. Service specifications, standards and SLS/SLAs could include the following:

- Stakeholders' requirements

- Service provider procedures
- Stakeholder and service provider consultation
- Specified operational standards
- Output and performance based measures
- Payment arrangements.

Devolved budgets – security costs

Some institutions, in certain circumstances, may devolve responsibility and budgets for security to heads of departments. The head of security must be able to provide appropriate advice to heads of department regarding security issues to protect students and staff. The head of security should also suggest appropriate actions to safeguard the department's teaching and research facilities and resources.

Institutions need to consider all the risks carefully before proceeding. Health & safety contravention, CCTV and data protection non-compliance may give rise to legal actions through lack of awareness. Dealing with the consequences of crime is another matter. As part of discharging such responsibilities, records of inspections and other matters may have to be maintained. Heads of departments ought to have access to timely advice concerning such issues. A key role of the head of security is to provide such advice, as and when required.

Self-assessment checklist: designated senior management for security

What actions has the institution considered concerning the implementation of service level standards (internal providers) and agreements (external providers)?

How does the institution ensure that timely advice is provided for heads of department regarding security issues?

How does the institution ensure that collaboration with other support services is facilitated?

Does the head of security have access to a member of the senior management team concerning security matters? What arrangements have been implemented so far, to ensure that effective lines of communication are created?

2.4 Heads of security services

Introduction

The strategic management responsibility for security services varies greatly within the HE sector. For example, responsibility for security could fall under one of the following service divisions/directorates:

- Estates
- Facilities Management
- Finance
- Personnel
- Registrar & Secretary.

Institutions may need to review their existing arrangements to ensure that representation of security issues is achieved at the highest level within the management team. At some institutions, the head of security has direct access to a senior member of the management team, such as the pro vice-chancellor. Heads of support services could play a greater part in the implementation of the strategic and tactical arrangements for security services. For example: in implementing a security strategy, access policies, and securing funding that is linked to service level agreement outcomes.

Management and acceptance of risk and insurance

The assessment and management of risk is an important function of security. It is the institution that decides (and therefore accepts) the overall level of risk to be underwritten as part of their security arrangements. In consultation with professional advisers, the institution also determines (underwrites) the level of insurance cover to be provided, to contain increases in the level of premiums charged by its insurance providers.

At some institutions, the head of security is not involved in reviewing with others the insurance arrangements in place. At other institutions, the insurance company has a greater say in determining the level of insurance cover provided. Additionally, insurance losses are not always notified to the head of security. Whereas at some institutions, the head of security meets the insurance company representative as part of an annual/bi-annual review process, to discuss security arrangements that have been implemented. In a number of cases, this has led to a reduction in the insurance premiums paid by those institutions.

However, the management of insurable risks is not risk management. Insurance is an important way of transferring risk, but most risk will be managed by other means. Security can have an important contribution to make as part of the institution's approach to managing a wide range of risks. Good risk management provides upward assurance from business activities and administrative functions,

departments to faculties, to the senior management team and ultimately to the governing committee. Risk management can be used to complement the institution's business planning and resource allocation processes at strategic or intermediate levels. Risk management is not a process for avoiding risk, but when used well it demonstrates that the risks have been identified, are well managed and that the exposure to risk is both understood and acceptable.

Recruitment and retention of security staff

The quality of the security services depends upon the calibre of its staff. Some HE institutions have found it difficult to recruit staff because of competition within the local labour market. Sickness and leave of absence are also of concern for some institutions. Because of such circumstances, it is important that the role undertaken by security staff is clearly recognised within the institution. First impressions are important; in a number of institutions, security officers staff the reception areas. Security personnel therefore fulfil a very important part in welcoming visitors to the institution.

Institutions ought to ensure that their training arrangements of security staff support the promotion of a positive image of the institution.

Training of security staff

Security services undertake a wide variety of tasks, and the training of security officers is important. There are many types of training provided by the Security Industry Training Organisation; security training and development is also available within the HE sector. The training arrangements offered are both work-based and formal.

The Association of University Chief Security Officers is developing a national training scheme covering all grades of security staff employed in the HE sector. A sub-committee for training has been established to develop specific proposals for the future. At the time of writing, these proposals cover the following grades of staff: security managers, security supervisors and security officers.

Procurement of security services

The procurement of security services covers both in-house and contracted service providers. There are a number of factors that may determine the institution's approach to managing such services. Further guidance regarding the relevant issues, is provided by the Joint Procurement Policy and Strategy Group. The group has recently produced a report entitled, *Guidance on the Procurement of Services* (September 2000). Within the report *Appendix 3, 'In-house Services: Demonstrating Value for Money'* is particularly relevant.

Interfaces with core activities and other support services

The service interface between security and other support services is important. These services may form part of the institution's facilities management arrangements. Institutions may wish to consider whether their support services are integrated as part of a facilities management arrangement. Further

guidance regarding the relevant issues is contained in *Facilities management – improving the management of support services in higher education (National Report, HEFCE 00/14 – March 2000)*.

Management statistics

A survey was carried out in respect of the security services operated at 90 HE institutions. The results are shown in *Section 1 (Security arrangements in the HE sector)* of this report. In addition to these specific areas, the same institutions were asked to comment on the usefulness of a further 17 issues that could be developed into management statistics. These results are shown in the *Security Toolchest*.

Institutions may wish to consider developing these management statistics further, and this might involve exchanging information with other HE/FE institutions. Institutions may also wish to develop their own management statistics.

Self-assessment checklist: heads of security services

What formal risk assessment procedures concerning security issues have been implemented by the institution?

How are training plans updated to meet the continuing needs of security staff – new and existing?

What documented service standards for security staff have been implemented?

What review arrangements are in place regarding security services, whether in-house or contracted?

What arrangements are in place to provide cover for security staff during training, holidays and other times of absence?

How do security arrangements enable the involvement of non-security staff, to support crime awareness and prevention schemes?

What management statistics for security services have been developed? How are these disseminated within the institution?

2.5 Students and staff

Introduction

Security, like health and safety, is the responsibility of all members of the institution. A number of higher education institutions have introduced initiatives that identify a clear statement of personal security responsibilities for their staff. In addition, specific initiatives regarding personal safety and crime awareness for students have also been implemented successfully.

An assessment of the effectiveness of crime, security and personal safety leaflets could be undertaken by the institution; such an assessment could establish that more effective ways of disseminating advice may be required. It is important for the institution to encourage the involvement of all staff, as part of its security arrangements, and one option may be to identify ways in which joint issues involving both security and health and safety may be co-ordinated.

Personal safety and security, crime awareness and prevention

A number of HE institutions are active in issuing advice to both staff and students regarding personal safety and security and the prevention of crime. Such advice may include: presentations by the head of security during 'Freshers' Week'; one to one counselling with staff and students; the showing of personal safety videos; and also issuing crime awareness leaflets. In addition to the above methods, some HE institutions have appointed campus police officers; introduced campus escort arrangements; installed emergency 'help lines'; and created security web pages. The Home Office has also part-funded initiatives as part of national Campus Watch schemes, Security by Design and Safe Car Park awards. In turn, these initiatives are supported by the involvement of the institution in local anti-crime organisations. Together, such initiatives demonstrate the paramount concern for the personal safety and security of staff and students.

Collaboration and liaison arrangements

Collaboration and liaison arrangements for crime related incidents have an internal and external dimension. The internal approach involves security services, students and staff as discussed earlier. The external approach adopted by many institutions is a multi-agency one, involving the local police; the local community; local authorities; and local business groups. The benefits of a multi-agency approach are that a variety of resources can be employed and a broader spread of ideas created. This can be particularly pertinent in combating the migration of crime, which inevitably occurs when police target a particular area. The Crime and Disorder Act places local authorities under an obligation to work with local businesses (including institutions) to identify and overcome areas of crime. Specific initiatives include:

- Home Office initiatives: Safe Car Parking Award; CCTV etc
- National Campus Watch schemes
- Crime stoppers UK.

One concern that some institutions have regarding Home Office initiatives is that they have to bid for funds and match the funding provided by the Home Office. Some other HE institutions have therefore found it beneficial to work together (for instance, with local FE colleges, or hospitals), and this is an approach that could be considered and more widely adopted by institutions. Representation by the institution's security staff on local liaison committees is another approach; an approach that some institutions consider to be very important and effective.

Student experience surveys

Some institutions have carried out student surveys regarding their security services and the perception of crime, both on and off campus. These were felt to be an effective way of gauging the feelings of students and raising the awareness of crime. However, other institutions were also conscious that such surveys might have the detrimental effect of promoting (or introducing) a fear of crime among students and staff. The latest *British Crime Survey (BCS, October, 2000)* conducted by the Home Office has considered the 'fear of crime' in society.

Self-assessment checklist: students and staff

a) Institution

What Home Office initiatives have been considered by the institution? Which initiatives have been successfully implemented and proved to be effective?

How have student surveys been used to inform the security services provided by the institution?

Has the institution adopted a multi-agency approach regarding personal safety and crime awareness for its students and staff? What arrangements are in place and has their effectiveness been assessed by the institution's senior management team?

Has the institution introduced a statement of responsibilities for staff and students regarding personal safety and crime awareness – this might include the wearing of staff/student ID cards?

b) Students – Do you know?

Have you attended a personal safety and crime awareness session organised by your institution's head of security?

Has the institution explained how your actions can help towards providing a safe and secure environment for all?

Have you received guidance regarding the protection of your personal property?

Have you received guidance regarding security measures in private landlord student residences?

Have you received information regarding the insurance and security of personal property?

Have you received crime prevention guidance regarding cars, bicycles and so on?

If travel abroad is part of your studies, have you received guidance on travelling safely?

Have you received guidance on reporting security incidents?

Have you received advice on the wearing of ID cards?

c) Staff – Do you know?

Has the institution explained how your actions can help towards providing a safe and secure environment for all?

Have you received information regarding the insurance and security of personal property?

Have you received advice on personal safety – lone working, car parking and so on?

If you travel abroad on behalf of the institution, have you received guidance on travelling safely?

Have you received guidance on reporting security incidents?

Do you wear your ID card?