

Implement on: 08-27-18 Last Revised 12/21/20 (See Page 6)	Version: 1.2 Supersedes: Prior topic-related department and division-level guidance records	See Also: Charlotte Water Security & Emergency Preparedness Program Description, associated SEP procedure(s)
 		
Original Policy Approved by: CLTWater LEADERSHIP TEAM 08-27-18	Regulations: Section 5 (a)(1), Occupational Safety & Health Act of 1970 Section 2013, America's Water Infrastructure Act of 2018 , (amends Section 1433, Safe Drinking Water Act 42 U.S.C. 300i-2) City of Charlotte Policies ADM16, HR8, HR30, MFS1	

SEPAX001-POL Badge & Access Control

Applies to *Charlotte Water Personnel, Contracted Providers & other Site Visitors* as defined in Section 8.

1. **Charlotte Water (CLTWater) issues badges & uses automated access control systems to support efficient operations, safe work environments & protected public assets.**

Badges are issued to *individuals* (except under circumstances authorized by the Security & Emergency Preparedness Manager). Badges share a consistent design and originate from one source.

Most badges serve a dual role as individual photo work IDs and as access key cards to provide specific users with the appropriate level of site entry necessary to fulfill their assigned business tasks or purpose.

Access control systems installed on gates and doors provide basic managed entry from *public areas* into *secure areas* (fenced perimeters, inside plants and building workspaces) & added protection for *high-security areas* (e.g., stockrooms, chemical storage, IT servers).

2. **ID Badge will be visibly displayed while on duty, and/or anytime present at any CLTWater facility.**

Badge may only be temporarily removed for the duration of an activity that poses a specific safety hazard.

3. **All CLTWater Site Visitors, including non-badged contracted providers, will sign in at the designated reception area & be greeted/escorted by their employee host.**

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4. Lost or damaged badges will be reported promptly and replaced.

CLTWater's Pipeline intranet home page includes a link to the online *Network Account & Badge Request Form*. This is the general method to report lost or damaged badges, request new or replacement badges and access change(s).

[The Security & Emergency Preparedness Manager](#) shall be notified without delay if a real or potential security threat requires immediate deactivation of an individual's badge access.

5. Badges will be surrendered, deactivated and disposed of upon departure, as described in Section 8.

6. Badge Misuse and Failure to Comply with this policy are subject to disciplinary action.

Badge misuse includes:

- repeated *failure to properly display badge*, or
- *loaning of a badge to another individual*.

While typically less serious than badge misuse, propping open doors equipped with installed badge readers and *piggybacking* are behaviors that can put others at risk. Such behaviors generally are prohibited and in some cases constitute failure to comply.

Piggybacking occurs when one (or more than one) person enters through an access-control point without swiping after a different person has swiped their card to enter, or when anyone enters an access point

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without swiping their card as one or more people are exiting. *Best practice = 1 entrant, 1 card, 1 swipe!*

Disciplinary action for misuse and failure to comply will be based on nature of a single misuse or other compliance failure incident, or pattern thereof.

7. CLTWater Security & Emergency Preparedness (SEP) Manager administers ID Badge & Access Control Policy; Security Systems Specialist administers system operation.

The SEP Manager is responsible for the coordinated development and management of CLTWater's security, emergency preparedness and incident response plans, policies, guidelines, procedures, operations and program activities as described in the CLTWater *SEP Program Description*.

Under SEP Manager guidance, the CLTWater Security Systems Specialist operates & administers the access control system. Security Systems Specialist also works closely with stakeholders in I&T, Facilities Maintenance, Division Heads, various site & program Managers, HR, Administrative Officers & Office Assistants, Safety/Risk and other partners to run and maintain an effective access control system that balances the needs of sites/programs with City/CLTWater SEP policy & strategy.

The SEP Manager reviews this policy annually, making minor updates as needed. Substantial policy changes or updates are subject to approval by the Deputy Director for Administration & Business. At Deputy's discretion, major policy updates may warrant review and approval by CLTWater Leadership Team.

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8. Badge type definitions and departure/return requirements.

Charlotte Water Personnel includes full-time, part-time, temp agency employees, CLTWater direct-hire temporary employees and interns. All are issued photo CLTWater ID/access badges that must be surrendered and deactivated upon separation or at supervisor request. Final payment may be withheld until badges are returned to the appropriate party. As outlined in Section 4, Administrative Officers/Office Assistants are responsible for promptly submitting online form to deactivate personnel network and badge access upon termination. AOs share responsibility with Division Heads to request immediate emergency deactivation in the event of a potential or real security threat. Deactivated badges are to be destroyed (shredded).

Site Visitors include customers, some contracted providers, general members of the visiting public (personal or business capacity), tour groups, other government agency guests and non-CLTW City personnel who infrequently visit CLTWater facilities and simply don't have a business need for additional CLTWater card access into secure or high security areas.

Except as below, site visitors wear a CLTWater visitor's badge while inside the 5100 Brookshire and 4222 Westmont Drive locations. Visitor badges identify individuals as escorted guests; these badges do not provide access and therefore don't require deactivation.

City of Charlotte employees displaying their City Photo ID are not required to wear a visitor badge. Tour groups and other government employees displaying their professional picture ID are not

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required to wear a visitor badge, provided they are escorted by a CLTWater employee.

Contracted Providers include some contractors*, consultants, non-utility City of Charlotte personnel and certain delivery personnel *who require frequent, unescorted access into secure areas* (i.e. shredding service, courier). This definition also includes certain designated CLTWater customers (i.e. Septage Haulers).

Typically, contracted providers are issued photo ID/access badges when their work is longer-term and requires unescorted access into secure areas of CLTWater-managed, City-owned properties. Individual photo ID/access badges for most contracted providers are obtained and managed (including replacement, deactivation & destruction) by the CLTWater employee who manages the work contract using the form link as described in Section 4. Badges for designated customers (i.e. Septage Haulers) are handled the same way except photo IDs are not required, as those badges display company name only. CLTWater's designated System Protection Engineering Services Investigator manages that badge inventory as part of the Septage Hauler program.

All contracted providers issued CLTWater Badges will be made aware of this policy prior to start of work, and are expected to comply. As soon as a job is complete, or if an individual contract worker is removed from the CLTWater job for any reason, the CLTWater employee managing the contracted work is responsible for immediately collecting, deactivating (per Section 4) and disposing of the badges ASAP (shredding or cutting up

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the deactivated badge). Upon completion of a contracted provider's services, any payment still due may be withheld until CLTWater-issued badges are returned.

If a real or potential security threat requires immediate (ie after typical business hours) deactivation of any CLTWater-issued badge access, the employee managing the contracted work will contact the CLTWater [Security & Preparedness Manager](#) without delay.

***NOTE:** Temporary CLTWater facility site construction workers under direct supervision of CLTWater badged, contracted management OR assigned onsite CLTWater personnel (ie, project manager, facility supervisor, inspector, etc.) must display company ID and/or uniform but are NOT always issued CLTWater ID badges. The CLTWater manager responsible for this work is accountable to ensure general utility security practices and requirements are followed.

In addition, some CLTWater contractors hired only to work in public rights-of-way or along easements are not issued CLTWater badges. In these cases, per General Requirements of City of Charlotte contracts, the contractor assumes all responsibility for maintaining their safe and secure worksite including worker identification and credentialing.

VERSION HISTORY		
1.0	08/27/18	Original document adopted by CLTWater Leadership
1.1	04/26/19	Minor edits, prompted mostly by change in the badge/access request form process and link URL formerly referenced in in Section 4 (Seamless Docs link URL deleted). Also updated federal regulation & City policy citations.
1.2	12/21/20	Minor edits – link repairs, switched CLTW references to CLTWater, modified Sec. 7 to clearly and more accurately reflect Badge & Access Control Policy, system administration and SEP Program management roles & responsibilities.