FACILITIES SERVICES STANDARD PRACTICE	
TITLE: **FACILITIES SERVICES KEY AND LOCK MAINTENANCE**	INSTRUCTION NUMBER: **30-3015**

I.   GENERAL

The purpose of this Standard Practice is to describe the process for the issuance, transfer, surrender, and management of keys for buildings for which Facilities Services is responsible for administering. There are certain buildings at East Carolina University which are outside of the purview of Facilities Services and all the responsibility to evaluate the requirements for access, track the issuance of keys, and maintain access control hardware/software falls to the individual Department. Physical access control policies are necessary for the safety and security of both people and property. The integrity of any access control system is directly related to the degree to which all parties strictly adhere to the policies and procedures established here in.

II.   RESPONSIBILITIES

- Facilities Services is responsible for providing, maintaining, and administering all key and lock services for all University facilities, excluding Housing, Dining, and select leased or Foundation owned properties.

- Facilities Services will document the issue, transfer, and return of keys in an electronic database.

- Facilities Services will maintain up to date instructions on the paperless key request process and answers to Frequently Ask Questions (FAQ) on the Facilities Services web pages and links through the work request system.

- Facilities Services will provide key issuance reports to supervisors and administrators for their employees upon request by the Department.

- ECU 1 Card Office is responsible for managing the security access system for East Carolina University. They control the locking and unlocking of a large number of buildings/areas across campus and the issuance of access to these buildings/areas upon authorized approval via the ECU 1 Card.

- ECU Police Department is responsible for monitoring the card access system 24/7 at East Carolina University.

- ECU Police Department (ECUPD) and ECU Office of Environmental Health & Safety (EH&S) are responsible for working with Facilities Services and Departments in investigating safety/security breaches, to include the theft or loss of keys, and providing guidance on any corrective actions.

- Departments occupying University buildings are responsible for evaluating and authorizing the issuance of keys provided for their use.

- Departments occupying buildings excluded from responsibility of Facilities Services are responsible for evaluating requests for access, authorizing the issuance of keys, tracking the issuance and return of keys, and periodically auditing their key database.

- Departments are responsible for the careful consideration of every request for access to University facilities.

- Departments are responsible for identifying preexisting conditions that are not in compliance with this FSSP and implement plans to address noncompliance issues as soon as possible.

- Supervisors are responsible for confirming that all the keys that have been issued to their employee(s) prior to their separation or transfer are returned to the appropriate Service Center or a work request for Key Reissuance/Return Request Form is submitted.

- Individuals (and their Departments) are responsible for controlling keys after they are issued. No key may be loaned or issued from within the Department to another individual. See Procedures section IV for Return or Reissue of keys.

- Individuals are responsible for notifying their supervisor immediately upon discovering their keys have been lost or stolen.

III.   **DEFINITIONS**

- **AUTHORIZED INDIVIDUAL**: The individual to whom a controlled key has been authorized and issued for their use solely or for the administration of a shared use key.

- **BANNER ID (or Pirate ID):** The unique identification code assigned to each ECU employee for the duration of their employment. Banner ID numbers are assigned through HRIS. Any individual entering a Key Request must have a valid Banner ID, to include Unpaid Affiliates. Key requests submitted without a valid Banner ID number will be declined and closed.

- **CHANGE KEY**: A restricted keyway where the door lock(s) has been keyed differently such that it can only be accessed by select individuals.

- **CMMS**: Computerized Maintenance Management System. At ECU this is AIM Asset Works, the system used for entering work requests. This is the platform through which ECU employees enter request to obtain a key or reissue a key. https://assetworks.ecu.edu/cr/UserLoginValidation.xhtml

- **CONTROLLED KEY**: A Facility Key that is authorized and issued to an

individual that is tracked and managed by Facilities Services. Controlled Keys shall be stamped with a unique serial number for tracking and auditing purposes.

- **DEPARTMENTAL AREAS**: Authorized areas within a Department where access to spaces are physically managed by the Department on an as needed basis and the responsibility for locking and unlocking may span multiple individuals. Examples can include but are not limited to such locations as teaching laboratories, classrooms, study rooms, etc.

- **DEPARTMENTAL KEY MANAGEMENT POLICY**: A documented procedure for the control of Shared Keys. To include authorization for access, auditing, tracking, etc.

- **ELECTRONIC ACCESS CONTROL SYSTEM**: The ECU 1 Card Electronic Access Control system is the University standard for centrally monitored and managed access control. No other Electronic Access Control system is permitted at ECU.

- **EMERGENCY RESPONSE PERSONNEL**: Individuals who, in the normal course of their job duties, require 24/7 access to ECU facilities, for the purpose of conducting inspections, audits, and investigations. This includes ECU Police Department, ECU Office of Environmental Health & Safety, and ECU Facilities Services.

- **FACILITY KEY**: Keys that provide access to exterior or interior doors of a facility. To include but not limited to: exterior doors, office doors, suite doors, closet doors, classroom doors, laboratory doors, etc. This does not include key(s) that provide access to such locations as lockers, cabinets, desk, file cabinets, storage bins, etc.

- **HIGH RISK AREA**: Locations to which access is restricted due to a predetermined safety or security concern. This determination is made in collaboration with ECU Office of Environmental Health & Safety as well as ECU Police Department.

- **KEY BOX**: Any residential style box commonly used for the storage of keys. Access can either be by a code or combination lock, e.g., "Realtor's Box." They can be designed to be secured to a surface or hang from a doorknob. **The installation of Key Boxes is no longer permitted.** *Exception: Facilities Services may in limited circumstances authorize the temporary installation of Key Boxes. They will only be authorized in low risk areas and where ECU 1 Card electronic controlled access system is in the process of being installed by the Department. Temporary Key Boxes shall only be approved for locations where the issuance of keys to individuals is infeasible. Key Boxes can only be authorized and installed by Facilities Services.*

- **KEY CHAIN**: A prescribed set of Controlled Keys assigned to either an Authorized Individual (AI) or a Responsible Individual (RI). Every Key Chain shall be identified with a unique alpha-numeric identification for tracking in the key database. Key Chains will be affixed with a tamperproof tag with the alpha-numeric identification. Key Chains that are shared will follow the same policies as noted for a Shared Key and will be managed pursuant to the Departmental Key Management Policy.

- **KEY CABINET**: A cabinet designed specifically for the organization and storage of multiple keys. Access to Key Cabinets shall be by either a key or some other form of electronic key/card access (combination locks are not acceptable). Key Cabinets shall be authorized and installed by Facilities Services.

- **KEY REISSUANCE**: The process of requesting a change in custody of a controlled key(s) from one individual to another. An example of reissuance would be where an employee turns in their keys before separation to their supervisor. The supervisor would ensure that all keys issued to an employee are turned back in pursuant either the Employee Separation or Employee Transfer Checklists. The supervisor would then request that the key(s) be reissued to a new employee who requires the same exact level of access. Keys cannot be given to another employee by a supervisor without an approved Key Reissuance/Return Request Form.

- **KNOX BOX**: A specially approved rapid access system for First Responders to gain immediate and safe building access in an emergency. These are only utilized in locations where ECU Police Department cannot physically be the first responder, e.g., School of Dental Medicine Community Service Learning Centers.

- **PAD LOCK**: A removable key or combination lock that is used for securing a chain, cable, or hasp.

- **PIN PAD READER**: An ECU 1 Card device that is both a card proximity reader as well as a Pin Pad where a code can be entered. The cost for installation of ECU 1 Card Pin Pad Readers is solely the responsibility of the requesting Department.

- **PUNCH CODE LOCK**: A lock affixed to a door, used to access a secured location by pressing a series of buttons instead of using a key. Only ECU 1 Card Pin Pad Readers are approved for use at ECU and only in extremely limited cases.

- **RESPONSIBLE INDIVIDUAL**: The individual who has been approved to manage the use of Controlled Facility Key(s) in a Departmental Area.

- **SERVICE CENTER**: The physical location of the Facilities Services offices where keys are picked up from and returned to.

   – Main Campus:
      Address: Eppes #3, Building 126, 945 East 14th Street
      Phone: 252-328-6776

   – Health Sciences Campus:
      Address: Central Utility Plant, Building 089, 2101 North Campus Loop
      Phone: 252-744-2251

- **SHARED KEY**: A Facility Key(s) that provides access to a Departmental Area(s) that is under the management of a Responsible Individual and is secured in an approved Controlled Key Cabinet to which only authorized individuals are provided access. An example of a Shared Key would be for study rooms which are controlled by a Department to allow access at times other than the normal operating hours.

- **UNCONTROLLED KEY**: A Facility Key that is authorized, issued, tracked and managed by a Department solely and is outside the purview of Facilities Services. Examples of Uncontrolled Keys could be leased or auxiliary buildings where a Department manages the issuance of keys.

- **UNIVERSITY KEY DATABASE:** Software Platforms where all information relevant to the issuance or return of keys is maintained. The systems are accessed by the appropriate Lock Shops. The databases reside on Shared Drives that are backed up nightly by ITCS. The overall management of the database platforms is the responsibility of the Facilities Services Technology Support Manager.

- **UNPAID AFFILIATE:** An Unpaid Affiliate is any person who does not have a directly compensated payroll relationship with ECU and is required to be issued a Banner ID for the purposes of providing some service. This includes, but it is not limited to, volunteers, unpaid (adjunct) faculty, and other third-party persons who may require access to ECU systems, which is predicated on having a Banner ID.

The terms employees and individuals are used interchangeably throughout this document to reference person who has a Banner ID including an Unpaid Affiliate. Similarly, the term supervisor used in this document refers to ECU employee's immediate supervisor as well as individual who authorized individual, such as Unpaid Affiliate, to be issued a Banner ID.

IV. ADMINISTRATIVE PROCEDURES

A. REQUESTING OR REISSUING KEYS

The issuance of keys can be accomplished in one of two methods. The first is through issuance of a key from the Service Center and the second being reissuance of a key from one ECU employee to another. Both processes will be described here.

    1. Key Request – New Issue

a) Issuance of keys is initiated by submitting a work request through the work management system https://assetworks.ecu.edu/cr/UserLoginValidation.xhtml.

b) After logging into the work management system, the requestor or Departmental support staff will select "Enter a New Request," "Property ID" and Room #. Quick search keys are beside each field if needed.

c) Select "Enter Request." This will bring up a screen where a desired date, problem code, and additional comments can be entered. Using the Problem Code search button, the requestor will select either "KEY REQUEST-HSC OR KEY REQUEST-MC. This will determine to which Service Center the work request is routed.

d) Last step in initiating the key request, is to select "Save Request"

e) The individual submitting the work request will receive two email notifications. The first acknowledging the submission of the work request and a second notifying them that they need to complete a Key Request Form and a link to the DocuSign Key Request Form. Also, in the body of the email will be two additional informational links:

- A Key Request Form Instructions link

- A Frequently Asked Questions (FAQs) link

Because the most current Key Request Form Instructions and FAQs links will be available in the email, that information will not be duplicated here in.

f) The work request will be cancelled if a completed DocuSign Key Request Form is not received by Facilities Services within 30 days

g) Once the completed DocuSign Key Request Form has been received by Facilities Services, the Facilities Services Lock Shop will process the request and cut the key(s). The Facilities Services Lock Shop will update the University Key Database to reflect the issue of the key(s).

h) The Service Center will notify the requestor by email that the key(s) is ready for pick up. Keys must be picked up in person from the appropriate Service Center and will require a picture ID. Keys not picked up after 30 days will be cancelled.

2. Key Reissuance

a) Keys Reissuance:
- This process is appropriate when an incoming employee will need the same access as the previous employee in the same position.
- This process will prevent the Department from incurring a fee for the

issuance of new keys.

- Supervisors are highly encouraged to request a key issuance report from the appropriate Service Center prior to an employee's separation/transfer interview to verify all the keys that an employee has been issued are turned over prior to their departure.
- Employees who will be turning their keys into their supervisor are encouraged to send an email to the issuing Service Center notifying them that a Key Reissuance/Return Request Form will be submitted by their supervisor and their keys have been turned over.
- Supervisors collecting keys from separating or transferring employees are responsible for ensuring all keys are turned in and that they are adequately secured to prevent theft or misplacement.
- Supervisors are to notify the appropriate Service Center that they have taken custody of keys from an employee and that a Key Reissuance/Return Request Form is forth coming.

b) Reissuance of keys is initiated by submitting a work request through the work management system https://assetworks.ecu.edu/cr/UserLoginValidation.xhtml.

c) After logging into the work management system, the requestor or Departmental support staff will select "Enter a New Request," "Property ID" and Room #. Quick search keys are beside each field if needed.

d) Select "Enter Request." This will bring up a screen where a desired date, problem code, and additional comments can be entered. Using the Problem Code search button, the requestor will select either "KEY REISSUANCE/RETURN REQUEST-HSC or KEY REISSUANCE/RETURN REQUEST-MC. This will determine to which Service Center the work request is routed.

e) Last step in initiating the key request is to select "Save Request"

f) The individual submitting the work request will receive two email notifications. The first acknowledging the submission of the work request and a second notifying them that they need to complete a Key Reissuance/Return Request Form and a link to the DocuSign Key Reissuance/Return Request Form. Also, in the body of the email will be two additional links:

- A Key Reissuance/Return Request Form Instructions link

- A Frequently Asked Questions (FAQs) link

Because the most current Key Reissuance/Return Request Form Instructions and FAQs links will be available in the email, that information will not be duplicated here in.

g) The work request will be cancelled if a completed DocuSign Key Reissuance/Return Request Form is not received by Facilities Services within 30 days.

h) Once the completed DocuSign Key Reissuance/Return Request Form has been received by Facilities Services, the Facilities Services Lock Shop will update the University Key Database to reflect the change in custody of the key(s).

B.   RETURNING KEYS

All ECU employees are required to return their keys to the appropriate Service Center or their supervisor upon Separation or Transfer.

1. Keys Returned to a Service Center:
   - This process is appropriate when a position may not be filled for some time, or the incoming employee will need a different level of access.
   - Service Center staff will inventory the keys and cross check them against the University Key Database to ensure that all issued key(s) have been returned.
   - Employee(s) will be provided a copy of the Key Reissuance/Return Request Form indicating the key(s) returned.

2. Key Return Request

   a) Reissuance or return of keys is initiated by submitting a work request through the work management system https://assetworks.ecu.edu/cr/UserLoginValidation.xhtml.

   b) After logging into the work management system, the requestor or Departmental support staff will select "Enter a New Request," "Property ID" and Room #. Quick search keys are beside each field if needed.

   c) Select "Enter Request." This will bring up a screen where a desired date, problem code, and additional comments can be entered. Using the Problem Code search button, the requestor will select either "KEY REISSUANCE/RETURN REQUEST-HSC or KEY REISSUANCE/RETURN REQUEST-MC. This will determine to which Service Center the work request is routed.

   d) Last step in initiating the key request is to select "Save Request"

   e) The individual submitting the work request will receive two email notifications. The first acknowledging the submission of the work request and a second notifying them that they need to complete a Key Reissuance/Return Request Form and a link to the DocuSign a Key

Reissuance/Return Request Form. Also, in the body of the email will be two additional links:

- A Key Reissuance/Return Request Form Instructions link

- A Frequently Asked Questions (FAQs) link

Because the most current Key Reissuance/Return Request Form Instructions and FAQs links will be available in the email, that information will not be duplicated here in.

f) The work request will be cancelled if a completed DocuSign Key Reissuance/Return Request Form is not received by Facilities Services within 30 days.

g) Once the completed DocuSign Key Reissuance/Return Request Form and keys have been received by Facilities Services, the Facilities Services Lock Shop will update the University Key Database to reflect the return of the key(s).

C.   ACCESS AND AUTHORIZATION

Consideration for access should always err on the side of being overly conservative in our approach. Giving careful consideration to the necessity of unfettered access when seldom or infrequent access can be managed in other ways without compromising security or operational efficiency.

1. Grand Masters – This is the highest level of access and is only provided to Emergency Response Personnel. Keys at this level typically provide access to multiple buildings. Grand Masters can only be authorized by a Director of Facilities Services with the approval of the Chief of ECU Police Department.

2. Building Masters – This is the second highest level of access. Keys at this level typically provide access to the majority of interior doors. These keys will be issued only to personnel authorized by the Department's Dean, or an Assistant or Associate Vice Chancellor. A Director having charge of an entire space can have that authority (e.g., EH&S for the EH&S building).

3. Sub Masters, Suite Keys, Interior Medeco and Abloy Keys - Sub masters and suite keys open a group of doors within a building. These keys will be issued only to personnel authorized by a Department Head, Department Chair, or higher that is responsible for that area.

4. Individual Door Keys – As implied, this level of key opens an individual interior door. Keys at this level are authorized by the Department Head or Dean.

5. Exterior Door Keys – As exterior doors are our first line of defense against unauthorized access and all facilities have either electronic card access or scheduled openings/closings, there is no issuance of exterior door keys except to Emergency Response Personnel. (Exterior door keys may possibly be issued in select cases where a building does not have electronic card access and it is determined that the requestor requires the ability to enter the building at times other than the building's normal operating hours.)

6. Data Room Keys - These keys will only be issued to personnel authorized by the Director of ECU Information Technology and Computing Services (ITCS).

7. Mechanical Room Keys - These keys will be issued only to Facilities Services personnel and others authorized by a Director of Facilities Services or higher.

D.   RECORD RETENTION

1. CMMS: Work request for the issuance of keys, reissuance of keys, or lock repair/maintenance shall be stored digitally for no less than three (3) years.
2. DocuSign Forms: DocuSign forms shall be stored digitally for no less than three (3) years. Forms will be stored in a centrally, shared, secured, location with access controlled by the Facilities Technology Support Manager.   A folder will be established based on an individual's Banner ID. All DocuSign forms associated with that Banner ID# will then be stored in that folder.

E.   LOST KEYS

1. All ECU employees are required to notify their supervisor immediately upon discovering their keys have been lost, misplaced, or stolen.
2. The supervisor should then immediately contact the appropriate Service Center to notify them of the breach in security.
3. The Service Center will run a key issuance report to ascertain the exposure and the Director of Facilities Services will notify the administration, ECU Police Department (ECUPD) and ECU Office of Environmental Health & Safety (EH&S).
4. ECUPD and EH&S will conduct a risk assessment, in consultation with the Director of Facilities Services and the Department Chair(s), to determine what actions are merited in order to ensure the continued safety and security of the affected locations.
5. The Director of Facilities Services must authorize the issuance of replacement keys.
6. If it is determined through the risk assessment, that any locks shall be required to be rekeyed, Facilities Services will provide a cost estimate to the responsible Department and confirm the FOAPA that will be used for all cost related to the rekeying and the issuance of keys to all affected employees.

F.   FEE SCHEDULE

Cost incurred for the repair or replacement of locks for other than normal wear and tear (e.g., change locks to remove access or due to a lost key) or the issuance of new keys will be incurred by the Department.

1. Repair or Replacement of defective, inoperable, and broken building door locks: $0 (When such locks are replaced or repaired, they will be set up for operation on the existing key.)

2. Non-maintenance related changes to locks: $50.00/Lock

4. New Key Issuance Individual Door key: $5.00/key

5. New Key Issuance (All masters and submasters): $15.00/key

6. Key Cabinets: Based on size

7. Desk locks or filing cabinet lock service is $50.00 (new lock or lock-picking services).

G.   NEW BUILDINGS AND MAJOR RENOVATIONS

For new buildings or large rekeying projects, Facilities Services may authorize the use of alternate documentation. Additional keys that may be required after the initial issuance shall be requested by work request and Key Request Form. Departments shall be charged a standard cost for each key requested.

V.   ADMINISTRATIVE PROCEDURES – KEY CABINETS

Key Cabinets can only be authorized and installed by Facilities Services. Request for the authorization to install a key cabinet is initialized by submitting a work request through the work management system https://assetworks.ecu.edu/cr/UserLoginValidation.xhtml.

A.   KEY CABINET TYPES

Key cabinets are categorized as one of two types:

1. Controlled Key Cabinet

a) Key cabinet used by a Department to secure Shared Keys that are managed by a Responsible Individual (RI).

b) ALL keys and Key Chains in a Controlled Key Cabinet shall be issued to a single RI.

c) Every Controlled Key Cabinet shall be assigned a unique alpha-numeric cabinet identification that shall be affixed to a conspicuous location on the door of the Controlled Key Cabinet. The alpha-numeric identifier shall be formatted as follows:

Building HEFC Number - Room Number – Cabinet Number.

Example: 256D-00104A-1

Dental CSLC Lillington – Room 104A – Cabinet #1

d) The location of keys and Key Chains in a Controlled Key Cabinet will be tracked by the unique alpha-numeric cabinet identification in the University Key Database.

e) Controlled Key Cabinets cannot contain keys to high security areas, exterior doors, or Grand Master or Building Master keys (keys <u>above</u> the level of Sub Master, Suite Keys, Interior Medico and Abloy Keys.)

f) The Department shall be responsible for determining who requires access to the Controlled Key Cabinet and shall be required to document those individuals as part of their Departmental Key Management Policy.

g) The Department shall be responsible for notifying Facilities Services of any change in the individual identified as the RI and submitting a Key Reissuance/Return Request Form for all keys and Key Chains contained in the Controlled Key Cabinet.

h) The Department shall be responsible for indicating on any Key Request Form the keys that will be secured in a Controlled Key Cabinet and the Cabinet's alpha-numeric identification.

i) The RI shall be responsible for enforcement of the Departmental Key Management Policy to include a documented process for the removal and return of keys and Key Chains to the Controlled Key Cabinet.

j) The RI shall be responsible for notifying Facilities Services of any lost or stolen keys.

2. <u>Uncontrolled Key Cabinet</u>

a) Key cabinet used by a supervisor to temporarily store Controlled Keys that are to be reissued to an incoming individual who will require the exact same level of access as their predecessor.

b) The inventory of keys in an Uncontrolled Key Cabinet will not be tracked by location in the University Key Database.

c) An Uncontrolled Key Cabinet cannot be used for the storage of Shared Key(s).

VI.   ADMINISTRATIVE PROCEDURES – LOCKS

A.   Lock Changes (including cylinder change and rekeying)

1. Requests for changes in locks should be requested via the work request system.

2. Lock changes and the issue of the associated new keys requires Key Request Forms with authorization at the appropriate level. The process will be the same as for a regular key issue.

3. Departments shall be charged the noted rates for all lock changes requested.

B.   Unapproved Locks

1. All building locks shall meet the approved building fire code specifications. All unauthorized lock installations shall be promptly removed by Facilities Services with corrective security measures taken at Departmental expense. This procedure is necessary in order to maximize the security of our buildings, to eliminate fire code violations, and to minimize the difficulties and confusion regarding access to the buildings.

C.   Padlocks

1. Padlocks shall not be used on any exterior or interior building doors. Departments may not use padlocks except on storage room doors designated specifically for padlock use. Padlocks for Departmental use shall be purchased with Departmental funds.