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Key Control and Locksets

I. Description

This policy covers the issuance and control of keys and the management of locksets within the University of North Carolina Hospitals ("UNCH"), as such relates to building access control. Desks, file cabinets, and special departmental equipment keys and locks are not part of this policy.

II. Rationale

Key control and management of door locksets and hardware are important elements of the safety, security, and operational programs at UNCH. Emergency access to all areas of UNCH and reasonable restrictions on access to security-sensitive areas are not mutually exclusive and must be given priority when designing and administering the Key Control and Lockset Program.

III. Policy

UNCH's Plant Engineering Department maintains the key/lockset system architecture and an inventory of keys and locks by door, hardware, and building for UNCH and is the Key Control Authority for UNCH. Keys and locksets shall be managed, issued, maintained, replaced, and repaired only by the Plant Engineering Department. The following principles shall apply to the use of keys at UNCH:

- All keys shall remain the property of UNCH.
- A requirement for access when access is intended to be accomplished by other means (such as unlocked doors, request for entry, card readers, etc.) shall not convey automatic entitlement to a key.
- No person or department shall receive, borrow, or possess any key for any space without receiving permission from a person duly authorized to give permission to possess such a key (see Key Access Types and Required Authorization).
- No person shall alter, duplicate, copy, or make a facsimile of any key.
- UNCH personnel shall use assigned keys for access to authorized locks only, shall not loan their keys to others, and shall not use their keys to grant access to non-authorized individuals.
- UNCH personnel entering locked/secured buildings or spaces are responsible for re-securing all doors.
- UNCH personnel shall not prop doors open or render any door incapable of closing and latching properly.
- UNCH keys shall not be stored in unsecured locations.

A. Key Issuance to UNCH Employees

1. Employees requesting a key should print out the appropriate form(s) (attached to this policy), complete

the form(s) with their supervisor to determine the keys required, and obtain the required authorizing signatures based upon the highest level key to be issued.

2. Employees shall submit completed forms to Plant Engineering.
3. An employee requesting a key will receive notification when the key is ready for pick-up from Plant Engineering. The employee assigned to the key must sign for the key(s) when he/she receives it.

B. Key Issuance to Contractors

1. Construction/renovation/maintenance contractors may be issued keys on a limited basis and only for areas where access is necessary to perform their required work.
2. The project manager or supervisor overseeing the contractor's work shall be responsible for authorizing the issuance of the keys, supervising appropriate use of the keys, and ensuring that the keys are returned by the contractor upon completion of the work, or when the contractor no longer is providing services for the project.

C. Returning/Collecting Keys

Each department shall be responsible for collecting and returning those keys that were issued to an employee who no longer is employed by UNCH, has transferred to a different department, or no longer is authorized to access certain departmental areas.

1. For Level I, Level II, or Single Keyed Different keys [see Section III(H), herein, for definitions], the department does not need to return the keys to Plant Engineering unless the keys no longer are needed. Instead, the department will submit an updated Plant Engineering Key Authorization & Request Form (attached to this policy) for clearance of key possession by the previously assigned employee by noting this change in the comments section of the form.
 - a. The updated Plant Engineering Key Authorization & Request Form also should have the appropriate signatures for issuance of the keys to the newly assigned employee, including the new employee's signature.
 - b. In the event the keys are to be held by the department for future issuance, the form shall still be required for clearance of the previously assigned employee, but the department head or his/her designee shall sign for possession of the keys on the form until they are reassigned.
2. For security or building master keys, Level III, or Special Key Secured keys, each department shall be responsible for collecting and returning those specific keys to Plant Engineering for both clearance of key possession by the previously assigned employee and for authorization and issuance to the newly assigned employee.
 - a. The department should use the Plant Engineering Building Master/Security Key Issuance Authorization Form (attached to this policy) and shall require the appropriate signatures.
 - b. The department may not hold these keys or issue them directly to a new employee without first returning the keys to Plant Engineering.

D. Duplication of Keys and Custom Locking

1. It is specifically prohibited to have keys duplicated outside of the Hospital.
2. It is specifically prohibited to have locksets changed, modified, repaired, or replaced from outside of the Hospital or to use outside vendors to perform such services.

3. No locks shall be keyed away from Hospitals Police access or Plant Engineering Fire Response access without prior approval from both the Director of Hospitals Police and the Director of Plant Engineering (Hospital Fire Marshal).
4. Plant Engineering shall correct any unauthorized changes and shall determine the appropriate means and methods to utilize to make such corrections in order to ensure the safety of the building's occupants.

E. Forms For Requesting New and Replacement Keys

1. *Plant Engineering Building Master/Security Key Issuance Authorization Form*

Employees should submit this form to Plant Engineering to request Grand Master and Security keys (Key Level III).

2. *Plant Engineering Key Authorization & Request Form*

This form covers Key Levels I and II, which will be most requests. Employees should submit this form to Plant Engineering.

3. *Lost/Stolen Keys Notification Form*

Employees should submit this form to Hospitals Police **and** Plant Engineering in the event a key is lost or stolen. This form is appropriate for all key levels.

F. Lost Keys

1. An employee whose UNCH key is lost or stolen should immediately report such loss or theft to his/her immediate supervisor, and any other appropriate individuals as designated by the employee's supervisor.
2. The employee must complete the Lost/Stolen Keys Form and submit it to **both Plant Engineering and Hospitals Police**.
3. Prior to the issuance of any replacement keys, the employee must complete the proper key issuance authorization form.

G. Lockset modifications

1. Request for rekeying
 - a. In the event that rekeying is necessary, contact Plant Engineering's Manager of General Maintenance at 974-0320.
 - b. Rekeying will likely require a coordinated effort between the department initiating the request, Plant Engineering, Hospitals Police, and other entities as deemed necessary during follow-up meetings.
2. Request for repair or replacement
 - a. Locksets, and all other door hardware, shall be maintained by Plant Engineering.
 - b. Requests for repair or replacement of locksets shall be done via the Plant Engineering Archibus On-Line Work Request Management system or by contacting Plant Engineering Work Control at 974-0300.
3. Request for Cross-Keying

Cross-Keying (both Controlled and Uncontrolled) is not allowed as it negates the security and flexibility of the keying system.

4. Request for combination lock

- a. Departments requiring combination locks on doors within UNCH will follow the following procedures.
 - i. Forward to Plant Engineering's Work Control Center a request to obtain the current manufacturer information on authorized combination locks. Only combination locks with a bypass cylinder may be requested as this cylinder shall allow for Emergency access.
 - ii. A written description and cost will be returned to the requesting department.
 - iii. Forward the reply from Plant Engineering along with a completed purchase requisition form to Purchasing for ordering the lock.
 - iv. Upon receipt of the lock, contact Plant Engineering by submitting a work request form requesting the lock to be installed.
 - v. The keyway of the combination lock shall be pinned such that the requesting department's master key will operate the lock unless directed by the department for a general access key (change key) to be used. This will still allow access to the space by Hospitals Police and Plant Engineering for both emergency and maintenance purposes.
- b. Funding for combination locks are the responsibility of the requesting Department.
- c. Combination lock requests on fire rated doors shall be reviewed by Plant Engineering's Safety Officer for compliance with U.L. listing requirements for the door.
- d. Examples of appropriate use of combination locks are for clean utilities, soiled utilities, locker rooms, and sleep rooms.
- e. Examples of inappropriate use of combination locks are for conference rooms, restrooms, security doors (of any type), and rooms utilized by multiple departments or non-associated personnel.

H. Key Access Types and Required Authorization(s):

The Plant Engineering Department (Key Control Authority) shall maintain records of changes and key requests received. This does not take the place of responsibility for each Department to maintain records and knowledge of key access granted for their areas.

1. Level I Keys

- a. Form required: *Plant Engineering Key Authorization & Request Form*
- b. These are called General Access or Change Keys.
- c. These keys are typically used to open common doors within a department, an individual office door, common entry doors, and common departmental areas such as storage closets.
- d. Level II and III keys designed to work within this section of keying hierarchy will also open the doors keyed as Level I, but the Level I key will not open any Level II or III keyed doors.
- e. These keys are issued from Plant Engineering directly to the appropriate UNCH employee once the required paperwork has been received for processing the key request.
- f. Signatures required:
 - i. The employee's supervisor must sign and then submit the form for processing.

- ii. The employee must sign the form at the time of receipt of the key(s) in Plant Engineering.

2. Level II Keys

- a. Form required: *Plant Engineering Key Authorization & Request Form*
- b. These are called Departmental Master or Master Keys.
- c. These keys are typically used to open multiple doors within suites and departments including any Level I keyed doors.
- d. Level III keys designed to work within this respective section of keying hierarchy will also open the doors keyed as Level II, but the Level II key will not open any Level III keyed doors.
- e. These keys are issued from Plant Engineering directly to the UNCH employee once the required paperwork has been received for processing the key request.
- f. Signatures required:
 - i. Both the supervisor and the department head/director must sign and then submit the form for processing.
 - ii. The employee must sign the form at the time of receipt of the key(s) in Plant Engineering.

3. Level III Keys

- a. Form required: *Plant Engineering Building Master/Security Key Issuance Authorization Form*
- b. These are called Building Master or Grand Master Keys.
- c. These keys are typically used to open doors throughout a specific building including any Level II and Level I doors.
- d. These keys are issued from Plant Engineering directly to the UNCH employee once the required paperwork has been received for processing the key request..
- e. Building master keys should only be issued to persons with administrative authority for the areas opened by the key, or whose job function requires this level of access within a building.
- f. Signatures required:
 - i. The supervisor, department head/director, and the Division Director/Senior Vice-President must sign and then submit the form for processing.
 - ii. The employee must sign the form at the time of receipt of the key(s) in Plant Engineering.

4. Single Keyed Different

- a. Form required: *Plant Engineering Key Authorization & Request Form*
- b. These are called Single Keyed Different or Single Keyed Alike.
- c. These keys are typically used to open doors in mechanical rooms, electrical rooms, communication closets, and EVS closets.
- d. These keys are issued from Plant Engineering directly to the respective UNCH employee once the required paperwork has been received for processing the key request.
- e. These types of keys should only be issued to persons with administrative authority for the areas opened by the key, or whose job function requires this level of access within a building.
- f. Signatures required:
 - i. The supervisor, department head/director, and the Division Director/Senior Vice-President must

sign and then submit the form for processing.

ii. The employee must sign the form at the time he/she receives the key from Plant Engineering.

5. Special Key Secured – Security Key

- a. Form required: *Plant Engineering Building Master/Security Key Issuance Authorization Form*
- b. These are called Special Key Secured or Security Keys.
- c. These keys are typically used to open doors in RAD rooms, external doors, security-sensitive areas, personnel records, hazardous waste holding, and bio-hazardous waste holding.
- d. These keys are issued from Plant Engineering directly to the respective UNCH employee once the required paperwork has been received for processing the key request..
- e. These types of keys should only be issued to persons with administrative authority for the areas opened by the key, or whose job function requires this level of access within a building.
- f. Additional requirements for security key issuances may be deemed necessary based on the area and the level of the security needed, as discerned by Hospitals Police and/or Plant Engineering.
- g. Signatures required:
 - i. The supervisor, department head/director, and the Division Director/Senior Vice-President must sign and then submit the form for processing.
 - ii. The employee must sign the form at the time he/she receives the key from Plant Engineering.

IV. References

N/A

Attachments:

- 1: [Plant Engineering - Key Authorization & Request Form \(Level I, II, Other/SKD\)](#)
- 2: [Plant Engineering – Building Master \(Level III\) / Security Key Issuance Authorization Form](#)
- 3: [Lost/Stolen Keys Notification Form](#)

Applicability

UNC Medical Center