



DEPARTMENT OF CORRECTIONS
Institutions



Title:	Keys and Locks	DOC Policy: 40.1.2
Effective:	11/1/16	Supersedes: 4/1/15
Applicability:	Institutions and Non-prison Facilities	
Directives Cross-Reference:	None	
Attachment:	Form - Personal Issued Key Request Form (CD1701)	

I. PURPOSE

To establish guidelines in the accountability, control and use of keys and locks within the Department of Corrections facilities.

II. DEFINITIONS

- A. Automated Key Distribution System (automated system): A secured electronic key cabinet that uses a code or scanned key chit to allow access to check out assigned keys. The system can be programmed to allow only the keys necessary for the job assignment to be checked out (i.e. Keywatcher).
- B. Blank Key: A key with a special uncut design that may be used to match the cut of another institution key.
- C. Designated Key Storage Area: A designated, secured area to store keys, locks and equipment. Access to this area is restricted unless authorized by the functional unit manager or designee.
- D. Emergency Key: A key or key ring specifically reserved for use in emergency situations.
- E. Inactive Key: A key for a lock(s) not currently in use at the facility and/or a key not issued to a key ring.
- F. Inmate Key: A key designated for use by an inmate to a specific area approved by the functional unit manager or designee.
- G. Institution Key: Keys used by employees, contractors and volunteers during daily operations of the facility.
- H. Key Chit: An officially issued photo ID card or metal tag used by authorized personnel in exchange for an institution key ring.
- I. Key Ring: A term used to identify a particular institution key or combination of keys contained on a key ring and identified by number.

- J. Master Key: A key designed to open more than one lock of the same series; i.e., grandmaster, sub-master, etc.
- K. Pattern Key: A non-issued key, set aside as a guide key to be used for cutting additional keys of the same cut and design.
- L. Personally Issued Key: A key issued to a person with the intent of being taken off grounds and retained with the employee even during off duty times.
- M. Restricted Key: Keys and/or key rings that may only be issued to designated personnel and/or issued with the authorization of the functional unit manager or designee.
- N. Tele-Key Cabinet: Designated storage area where blanks keys, pattern keys, and extra keys are stored. Other associated equipment is usually stored in the same area (i.e. key cutting equipment).
- O. Vehicle Key: Keys which typically actuate motorized vehicles operated by facility staff for official purposes, including tractors and other specialized machines located inside or outside the secure perimeter of the facility.

III. POLICY

A. Key Control System:

The Key Control Officer shall maintain the key control system so that keys are accounted for, updated and replaced as necessary. The Key Control Officer shall maintain key equipment, records, inventory, rings, requests, training, chits, floor plans (maps) and the issue and return of keys and locks.

1. Key Equipment:

- a. The tele-key cabinet and associated equipment shall be accessed and maintained only by personnel who have received written authorization from the functional unit manager or designee. A log is maintained of all persons accessing that area, except for those employees assigned as a full time work assignment (bid or assigned post) and authorized in writing by the institution functional unit manager.
- b. The tele-key cabinet and associated equipment will be kept in a secure area that prevents and prohibits inmate access and limits staff to only those with necessary access as designated by the functional unit manager.
- c. The tele-key cabinet shall contain/include:
 - (1) At least two additional keys for each active lock in the institution, one of which can/may be a pattern key.
 - (2) Key blanks
 - (3) Core locks

(4) Key making machine

2. Key Records:

a. A key cross index record shall be maintained as follows:

(1) Key number to lock and location

(2) Location of lock to key number

(3) Key number to key ring

(4) Key ring number of assigned keys

(5) Key ring assignment

b. A cross index file shall be maintained listing the key inventory on each key ring.

c. Change of lock location or duplication of keys: Any change in location or duplication of any key or lock must be authorized by the functional unit manager or designee.

d. Records are maintained of the destruction of worn, broken or discarded locks and keys.

3. Key Inventory:

a. An inventory shall be maintained as follows:

(1) Keys on each ring

(2) Locks

(3) Inactive keys

(4) Master keys

(5) Key blanks (perpetual)

b. A physical inventory shall be implemented as follows:

(1) The personnel obtaining or receiving institution key rings shall count individual keys on the key ring to verify the number of keys stamped on the tag.

(2) A designated control officer on each shift shall inventory all institution key rings maintained at the control center and/or designated areas. Discrepancies shall be immediately reported verbally to the officer-in-charge, and in writing to the functional unit manager or designee and Key Control Officer.

- (3) The Key Control Officer shall complete a quarterly inventory of all keys to include the tele-key cabinet and associated equipment. Documentation of the inventory will be submitted to the institution functional unit manager or designee.
- (4) An inventory of all keys, to include the tele-key cabinet and associated equipment, will be conducted at least once a year by someone other than the Key Control Officer, as designated by the functional unit manager.

4. Key Rings:

- a. An institution key ring list shall be maintained in the designated key storage area(s).
- b. The institution key ring list shall be maintained by the Key Control Officer for all institution key rings as follows:
 - (1) Vehicle keys
 - (2) Institution keys
 - (3) Restricted keys
 - (4) Emergency keys
- c. Each authorized position in the facility shall have a set of institutional keys specifically designed for the assigned work area.
- d. Each key ring, to include emergency key rings, shall have a tag that identifies the key ring number (set#) and the number of keys assigned to the key ring. All emergency key sets shall have an additional smaller tag which identifies the area to which the keys are assigned.
- e. Key rings will be soldered or bound to prevent the removal of keys by anyone other than the Key Control Officer.
- f. Keys or other items shall not be removed or added to any institution key ring by anyone other than the Key Control Officer without expressed written approval from the functional unit manager or designee.
- g. The loss of institution key(s) shall immediately be reported to the officer-in-charge and functional unit manager or designee, and a recovery search shall be conducted. The personnel responsible for the loss of the institution key ring or key shall make a detailed report to the functional unit manager or designee. The key control staff shall forward cross-reference break down of key set by area to the functional unit manager or designee.
- h. Inactive keys shall be removed from the active institution key rings and placed on the inactive key inventory.

- i. Master keys shall be restricted to use for institution key rings that require access to numerous areas.
5. Key Request:
 - a. Personnel may request the creation or modification of a key ring(s) by submitting a written request to the functional unit manager or designee.
 - b. Personnel may request by writing to the functional unit manager or designee, that a key or lock be added, removed, and/or replaced.
6. Key Training: The functional unit manager or designee shall ensure all employees, contractors, and volunteers are trained before being authorized to receive institution key rings. This training will include:
 - a. Key control;
 - b. Read and understand this policy (**Keys and Locks**); and
 - c. Review, understand and sign the institution form on "Key Control and Requirements."

Documentation of above training is maintained at the institution where the key chits are issued.
7. Key Chit:
 - a. Each facility employee will be issued key chits with his/her identity stamped or reflected on them.
 - b. In the event an employee forgets, misplaces or loses his/her key chit, a temporary key chit can be issued for the shift upon the authorization by the Officer-In-Charge.
8. Key Issue:
 - a. Each institution key ring shall be issued from the designated key storage area by placing the appropriate key chit on the hook from which the institution key ring was removed. The key chit will remain on the hook until replaced by the assigned key ring or replacement key chit. This does not apply if an automated key distribution system is used.
 - b. The designated key storage area is a clearly marked key board or cabinet that is used for key issuance, return and storage, which ensure ease of access, security and total accountability.
 - c. All emergency and restricted key rings shall be logged in the key checkout log. Emergency keys rings will be issued and logged immediately after the issuance. The checkout log must indicate key number, date, time of issuance and return, the person to whom they were issued, the purpose of

the issuance and the person authorizing the issuance. This does not include restricted keys that are being checked out to the person or post for which they are assigned (i.e. Records Keys to staff working in Records.).

- d. Personnel obtaining an institution key ring shall count the number of keys on the ring to verify the number of keys on the ring corresponds with the number stamped on the small metal tag, and inspect the condition of the keys. Any discrepancy shall be immediately reported verbally to the Officer-In-Charge and in writing to the functional unit manager or designee.
- e. Personnel wanting to use a key ring in possession of another person will exchange their key chit with the other person for the key ring (i.e. shift change, reassignment, etc.). The person who has exchanged the key ring for a key chit shall return the other person's key chit to the control center and exchange the key chit for their own. The person receiving the key ring shall ensure the correct number of keys is on the key ring. If the key ring was issued using an automated system, rather than exchanging keys for a key chit, the relieving staff member is required to check out their own set of keys. The staff member who checked out keys from the automated system is responsible for returning them.
- f. Personnel shall return their key ring to the designated key storage area before leaving the facility grounds or at the end of their shift.
- g. Personnel who inadvertently remove keys from the facility must return them immediately.
- h. Personally issued keys will be assigned as designated by the functional unit manager.
- i. Personal Issued Key Request Form (CD 1701) will be signed and kept on file for all staff with personally issued keys.

B. Personnel Key Control Responsibilities:

- 1. Key control is the responsibility of all Department of Corrections personnel.
- 2. Personnel shall obtain an institution key ring from the designated key storage area by exchanging their key chit for the key ring (Key chit is not required for use of the automated key distribution center).
- 3. Personal keys must be maintained on an employee's person or stored in a secure area at all times.
- 4. Personnel must be in possession of issued keys on their person at all times.
- 5. Personnel shall exercise care not to allow inmates to see numbers on keys or to observe the key cut for any period of time.
- 6. Keys or the method of their use shall not be shared or surrendered to any inmate.

7. Personnel shall not throw keys to each other. Personnel shall utilize a hand-to-hand exchange, maintaining key control at all times.
8. Personnel shall immediately provide a verbal report regarding key malfunctions to the Officer-In-Charge and submit a written report to the functional unit manager or designee and Key Control Officer. The top portion of a broken key is to remain on the key ring until the damaged key has been replaced.
9. Personnel shall immediately report verbally to the Officer-In-Charge and in writing to the functional unit manager or designee and Key Control Officer any malfunctioning or marginally working lock.
10. Personnel shall ensure a lock remains secured to an object and locked except for entry and exit. Any loss or malfunctioning locks shall be immediately reported verbally to the Officer-In-Charge and in writing to the functional unit manager or designee and Key Control Officer.

C. Vehicle Keys

1. Certain key rings shall be designated as vehicle keys. A list of these keys (Institution Key Ring List) shall be located in the designated key storage area.
2. Vehicle keys shall be maintained on designated key hooks inside the key storage area.
3. Personnel using an institution vehicle shall obtain the vehicle key ring from the designated key storage area.

D. Restricted Keys:

1. Certain key rings shall be designated as restricted keys. A list of these keys (Institution Key Ring List) shall be located in the designated key storage area. The Institution Key Ring List shall be maintained by the Key Control Officer and approved by the functional unit manager or designee.
2. All institution keys shall be restricted if used for the following:
 - a. Inmate records, including grievances;
 - b. Personal property storage;
 - c. Valuables storage;
 - d. Evidence storage;
 - e. Personnel records storage;
 - f. Commissary sales and storage;
 - g. Armor and/or vault;

- h. Food storage (warehouse);
- l. Medical department keys;
- j. Inactive key storage area; and
- k. Others as designated by the functional unit manager.

E. Emergency Keys:

1. Certain key rings shall be designated "emergency keys." Such keys will be listed on the Institution Key Ring List maintained in the designated key storage area.
2. Emergency keys will be identified by a RED tag on the key ring.
3. Emergency keys shall be maintained in a secured, designated area with a floor plan (map) of the facility. The floor plan will reflect all entrances and exits within the facility.
4. Emergency keys shall be stored in a readily accessible place clearly separated from the standard key-issue board or cabinet.
5. Individual emergency keys will be coded on each key ring set (such as color coding, numbering, etc.). The coding reflected on the key will ensure easy identification of the lock or door it is designated to open.
 - a. Facilities will develop a consistent coding system to implement this process.
 - b. The coding system will be the responsibility of the functional unit manager or designee, and shall be maintained and updated each quarter by the Key Control Officer.
6. All emergency keys shall be checked once per quarter by the Key Control Officer or designee to assure proper operation. A report documenting the inventory and any necessary repairs or changes will be submitted to the functional unit manager or designee.
7. Emergency exit doors and corresponding emergency keys will be physically checked and logged monthly by the Key Control Officer to ensure they are in working order.
8. The functional unit manager will ensure selected keys (such as keys which access perimeter locks and gates) are duplicated and kept in a separate, secured location (such as a tower, arsenal or neighboring institution).

F. Inmate Keys:

1. Inmates shall not possess keys unless issued and authorized by the functional unit manager or designee.

2. Inmates may be issued one key to their cell (except dormitory inmates) which shall be used to open their door during authorized movement. The inmate receiving the key will be given a direct order to maintain the key in his/her possession at all times and must report lost keys to the Officer-In-Charge immediately.
3. If an inmate loses a cell key, he/she shall report it immediately to the Officer-In-Charge. The Officer-In-Charge shall instruct the inmate to search for the lost key. If the key cannot be found, the Officer-In-Charge shall initiate formal disciplinary action and report the loss to the functional unit manager or designee and Key Control Officer.
4. All unassigned inmate cell keys shall be maintained in a designated key storage area.

G. Written Directive:

The functional unit manager will designate responsibility of the oversight of control of keys and locks to a manager and will specify, through written directive, what the duties and responsibilities are and how they will be carried out. Written directive will include, at least the following:

1. A comprehensive key control process maintained in a secure area and available to staff.
2. Responsibility of the key control system will be designated to a specific person or job assignment (i.e. key sergeant or corporal).
3. Processes for secure storage, inventory, systematic filing and storage methods that ensure strict accountability for keys, pattern keys, blanks and facility locks.
4. Process for inventory of inmate issued and purchased locks.
5. Defined safeguards for the proper control of the delivery and disposal of keys, locks and related supplies as determined by the functional unit manager or designee.
6. The handling of facility keys by inmates is prohibited.
7. The identification of areas and functions or circumstances where inmates may be in possession of keys. A list will be maintained with the name of the pre-approved inmate, key number, and item or vehicle to which the key is assigned.
8. Responsibility of staff relating to the issuance and return of keys as well as reporting and actions taken for lost, broken, or stolen keys. The written directives include searches, inventories and changing of affected locks.
9. The functional unit manager will have written directive in place detailing the issuance, handling, and accountability (i.e. inventory and return) of personally issued keys. The written directive will include a minimum requirement for an

annual inventory and accountability of all personally issued keys.

10. The functional unit manager of department offices that are not part of a facility/institution (i.e. Dome Building, CDC, Transport Unit Offices, etc.) will have written directive in place that includes a minimum requirement for an annual inventory and accountability of all personally issued keys. Written directive will also address each of the following areas:
 - Key control responsibility
 - Key equipment
 - Key inventory
 - Key issue
 - Key records
 - Key requests
 - Key rings
 - Key training
 - Vehicle keys
 - Restricted keys
 - Emergency keys

H. Policy Variance Exception:

1. Request for exceptions to any specific part of this policy must be recommended in writing by the Eastside or Westside Institutions Administrator and Chief of Security on behalf of the specific facility's functional unit manager utilizing the Variance Exception form (CD1737). The reason for the specific exception and the proposed process to be used by the facility must be approved in writing by the Assistant Director of Operations.
2. Upon receiving written authorization for the exception to any specific part of this policy, the facility will explain this exception and approval (including date of approval) within the facility's Keys and Locks procedure.

III. IMPLEMENTATION

Each DOC facility shall develop a written directive to designate duties and responsibilities for the oversight of control of keys and locks.

Certified: signature on file
Birdie Worley, Rules Coordinator

Approved: signature on file
Brian Belleque, Deputy Director