	JUVENILE JUSTICE SERVICES Safety and Emergency Operations	Effective Date: 06/01/10
		Issue Date: 06/01/10
	Title: Key and Locks Control	
	Procedure #: P.5.17	

1. **ISSUING AGENCY** Children, Youth and Families Department (CYFD)

2. **SCOPE** Juvenile Justice Services (JJS)

3. **STATUTORY AUTHORITY** NMSA 32A-2-1 et. seq.

4. **FORMS** None

5. **APPLICABLE POLICY** **8.14.5.17 KEY AND LOCK CONTROL:**
 Juvenile Justice Services governs the control and use of keys by designating an individual to maintain a facility key inventory which identifies the location of keys and associated locks; facility keys are marked “do not duplicate” and can only be approved for duplication by the facility superintendent.

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7. **DEFINITIONS**

- 7.1. “Back-up Key Board” refers to the keyboard containing back-up and pattern keys located in a secure location as determined by the facility superintendent.
- 7.2. “Chit” refers to a small metal ring or brass plate labeled with a staff member’s name or identifying number, used to exchange during the check out of keys, tools or equipment.
- 7.3. “Emergency Keys” refers to a ring of keys that is grouped separately from the regularly issued keys to permit ready access to any part of the facility in the event of an emergency.
- 7.4. “Fire Door” refers to doors that provide access to the outside and fresh air.
- 7.5. “Grand Master Key” refers to a single key that will open all locks for an entire secure facility.
- 7.6. “Key Board” refers to the keyboard that contains the keys issued on a regular basis for operation of the facility.
- 7.7. “Key Control Officer” refers to the staff member designated by the facility superintendent to be responsible for inventory of facility keys.
- 7.8. “Master Key” refers to a single key that will open all locks in multiple designated areas.

- 7.9 "Restricted Key" refers to a key that provides access to highly sensitive areas and is issued only to authorized staff, as designated by the facility superintendent.
- 7.10 "Sub-Master Key" refers to a single key that will open all locks in one designated area.

8. GENERAL KEY AND LOCK CONTROL

- 8.1 All JJS facilities shall maintain a three tier key control system.
 - 8.1.1 Tier one is the physical plant department in charge of ordering, replacing, ongoing inventorying, marking for identification and "do not duplicate," distribution, and recording of all keys at the facility. This includes maintaining a facility-wide master inventory of keys and locks approved by the facility superintendent and physical plant director.
 - 8.1.2 Tier two is each department head or supervisor responsible for monitoring the use, custody and control of all keys assigned to their department, area or personnel. This includes maintaining a department or area inventory of keys assigned to their department or area personnel.
 - 8.1.2.1 Each department head or supervisor is responsible for checking locks in their department or area on a monthly basis.
 - 8.1.3 Tier three is a facility staff member designated by the superintendent as the key control officer to audit key and lock inventories. This includes monitoring the use, storage, distribution and recording practices for all keys and locks in the facility.
 - 8.1.3.1 The key control officer shall receive the master key and lock inventory from the physical plant department and the department or area inventory by the 5th day of each month. This inventory shall include any additions or deletions approved by the facility superintendent.
- 8.2 Each facility superintendent shall establish check in/out systems for keys that are compliant with this procedure and utilizes approved forms.
- 8.3 Once per quarter, a complete audit of keys and locks shall be conducted and documented by each facility key control officer. Any unapproved additions or deletions, keys or locks noted as not being on the master or department/area inventory, failure to document distributions or returns, or other indication of failure to appropriately monitor keys or locks will be immediately reported to the facility superintendent.
 - 8.3.1 The key control officer and physical plant manager will maintain all reports and audits related to key and lock control and present the documentation for audit/inspection as requested.
- 8.4 All keys and locks will be securely stored within designated areas. Only designated facility staff will have access to key storage locations or areas.
 - 8.4.1 Clients shall not be permitted to work in, or be allowed access to, areas used for the storage of keys and locks.
- 8.5 Any accessing, use, duplication, issuance or ordering of facility keys without the authorization of the physical plant department or facility superintendent can result in disciplinary action up to and including dismissal.

9. KEY BOARDS

- 9.1 Regularly issued, non-emergency and non-assigned keys will be assigned to a key board.
 - 9.1.1 The key board will have sufficient hooks to accommodate all key rings in operation and each hook on the board will be assigned a control number.
 - 9.1.2 Only one key ring will be assigned to each hook on the key board.
 - 9.1.3 The key board shall be in a secure, but readily accessible location like the control center or security office.

- 9.1.4 All key boards will be secured when not in use.
- 9.1.5 Key cabinets can be used in place of key boards, but cabinets must also meet the requirements of this procedure.
- 9.2 Every hook on the key board will be filled at all times with either a set of keys, a key chit, or a metal tag stamped with the key board hook number to indicate that the hook is not currently assigned a key ring.
- 9.3 Each key board will have a separate, securable location for restricted keys. Restricted keys include any grand master keys, master keys, sub-master keys, outer perimeter gate keys, administrative office keys, record storage area keys, tool/equipment and hazardous storage area keys, and exclusive use keys for health services, food services, physical plant and education.
 - 9.3.1 Other than to issue to assigned personnel during normal business hours, restricted keys shall be behind a tamper proof seal and can only be accessed by authorization from the facility superintendent or on-call manager in charge.
 - 9.3.2 Any unauthorized access to restricted keys can result in disciplinary action up to and including dismissal.
 - 9.3.3 The tamper proof seal for restricted key storage shall be applied daily by the tool control officer or the on-call manager in charge at the close of normal operations, and then inspected at the assumption of normal operations. In addition, each employee assigned to a designated key board location will check the seal upon assuming each shift.
 - 9.3.3.1 Any break in the seal or potential tampering must be immediately reported to the facility superintendent for investigation.
 - 9.3.4 Each facility superintendent must develop a system to record when restricted keys are routinely accessed and for the completion of a Special Incident Report if they are accessed by unauthorized person(s) or accessed during an emergency.
- 9.4 Key chits will be used to issue all keys from the key board.
 - 9.4.1 In addition to key chit exchange, restricted keys must be signed in and out by the staff receiving the key using the Restricted Key Log.
- 9.5 Any employee assigned to the control center or other area where a key board is designated will check the key board upon reporting for duty to assure that each key ring is accounted for with the appropriate amount of keys, and document this check in the post log.
- 9.6 Each key board shall have a key inventory located inside the key board detailing what keys rings are assigned to what hooks, the number of keys assigned to the ring and the locations the keys can access.
- 9.7 All key boards will be locked behind a Plexiglas or other similar type enclosure. As referenced in section 9.3, restricted keys must be double secured with a tamper proof seal.
- 9.8 A duplicate and exact back-up emergency key board will be located in the physical plant department or other area designated by the facility superintendent for emergency purposes. The facility superintendent and physical plant director shall be the **only** employees with a key to and allowed access to the back-up emergency key board.

10. NON-FACILITY PERSONNEL

- 10.1 Without the written authorization of the facility superintendent, keys and locks belonging to the facility shall not be issued to, or otherwise used by entities not assigned to the facility.
 - 10.1.1 An employee will escort non-facility personnel and provide appropriate access to areas when required.

11. KEY ISSUANCE

- 11.1 Any authorized employee requiring a key shall make a request to the physical plant manager or receive a key through check out from a designated location.
 - 11.1.1 The employee shall provide a key chit to the issuing employee and the issuing employee will exchange the key ring for the key chit.
 - 11.1.2 It is the responsibility of the receiving employee to check the ring to ensure that it has the number of keys indicated, and that no keys appear to be damaged.
 - 11.1.3 It is the responsibility of the issuing employee to ensure that the correct employee's name is listed on the key chit and that the employee is authorized to obtain the respective key ring.
 - 11.1.4 The key ring will be re-exchanged for the chit at the completion of the employee's use of the keys.
- 11.2 A list of all employees' names and their assigned hook number or key authorization will be maintained by the key control officer with a copy placed in the location where keys are issued.
- 11.3 Individuals who have forgotten or lost their chit must be issued a temporary administrative white chit.
 - 11.3.1 Use of an administrative white chit requires approval of the employee's supervisor and the chit must be returned at the end of the work day.
 - 11.3.2 Administrative white chits will not be issued for longer than one work day.
 - 11.3.3 The issuing employee will maintain a log of administrative chits in use.
- 11.4 Each facility superintendent shall develop a chit exchange system for incoming staff to receive keys in exchange for their chits on post.
 - 11.4.1 The incoming staff member shall exchange their chit, at the key issuing location, for the staff member's chit who is assigned the keys on post.
 - 11.4.2 The incoming staff member shall then provide the relieved staff member their chit in exchange for the keys upon entering the post.
 - 11.4.3 It is the responsibility of the incoming staff member to check the ring to ensure that it has the number of keys indicated, and that no keys appear to be damaged.
- 11.5 The facility superintendent may approve the issuance of keys to certain employees on a 24-hour basis. These keys shall be known as assigned keys.
 - 11.5.1 The facility superintendent, physical plant manager and key control officer will maintain a list of employees with assigned keys.
 - 11.5.2 A copy of the assigned key list will also be maintained where the keys are issued.
 - 11.5.3 Assigned keys will also be secured in a separate section of the back up emergency key board.

12. PHYSICAL PLANT DIRECTOR

- 12.1 The physical plant director will take possession of all keys and locks received at the facility prior to use and/or placement into the inventory.
- 12.2 The physical plant director will update the master inventory for each work area where the received keys or locks are to be assigned and maintain a copy of the report and updated and closed inventory.
 - 12.2.1 The master key inventory shall contain an inventory of all keys, keyboards, key blanks and locks. This includes the key code number; door and/or room number or lock that key operates; location of door, room or lock; assigned keys issued by name, position and title; back-up emergency board number; key board number and key or lock manufacturer.

- 12.2.2 Keys will be numbered, either by the manufacturer or by engraving, unless the size of the key makes this impossible. Identical keys will have the same number. Dissimilar keys will never have identical numbers.
- 12.2.3 A copy of the updated master, and if applicable department or area inventory, will be immediately forwarded to the key control officer and facility superintendent upon **any** change.
- 12.3 No area or department may directly receive keys without the approval of the physical plant manager.
- 12.4 The physical plant director shall place all keys, with the exception of keys on the back-up emergency key board, on a metallic tamper proof ring with a metal plate or tag signifying the amount of keys assigned to the ring.
 - 12.4.1 If the keys are to be assigned to a key board, the hook number will also be signified.
- 12.5 The facility superintendent, physical plant director and key control officer shall maintain the up-to-date master inventory of all keys and locks.
 - 12.5.1 The physical plant director shall ensure that the master key inventory is immediately adjusted as necessary to reflect the making of keys or other changes to the inventory.

13. EMERGENCY KEYS

- 13.1 The facility superintendent shall designate one set of emergency keys necessary to facilitate emergency evacuation from all parts of the facility.
 - 13.1.1 The emergency keys shall be located on an emergency key ring maintained in the control center or security office.
 - 13.1.2 These keys will be issued by designated staff during an emergency situation and shall be kept separate from all other keys.
 - 13.1.3 The emergency key ring must contain all keys necessary for complete evacuation of the facility (if multiple rings are used, the rings must be attached in some way).
- 13.2 The emergency key ring's individual emergency keys shall be marked for identification by color-codes.
 - 13.2.1 Fire door keys (i.e., exit doors) will be marked by touch and red color-coding. The corresponding locks will be colored coded and notched to match the respective key.
- 13.3 A schematic of emergency door location will be located with the emergency keys. Each facility door at the facility will be numbered so that quick reference to which key opens which door can be accomplished in an emergency.
- 13.4 At the location of each lock, there will be two-inch, color-coded circle. The emergency key that opens that particular lock will be coded with the same color as the circle on the lock. Fire doors will be color-coded with a red circle and must be notched to match the respective key. Access doors will also have a notched circle that matches the respective key.
- 13.5 Emergency keys will be used at least quarterly during emergency drills.
 - 13.5.1 Any malfunctions will be immediately reported to the physical plant manager for immediate correction.
- 13.6 All staff, but particularly youth care specialists, will have a thorough understanding of the use of emergency keys to facilitate evacuation in an emergency. Emergency key use will be trained as part of the key control training curriculum.

- 13.7 The facility superintendent shall direct a duplicate copy of the emergency key ring to be kept off-site in a secure location away from, but near, the facility (e.g., another facility, local law enforcement facility, fire station, etc.).
 - 13.7.1 The secure location will be provided a locked box for the storage of the facility's emergency keys.
 - 13.7.2 The keys will enable complete access to the facility in the event of an emergency in which outside responders cannot be aided by facility staff in entering or evacuating the facility.
 - 13.8 The Director of JJS or designee will develop a written agreement outlining who has access to these keys and under what circumstances they may be issued.
 - 13.8.1 The Director of JJS will identify specific staff members who are aware of the location of these keys and how to access them.
 - 13.9 The off-site emergency keys will be used as least annually for an emergency drill to ensure that they are in working order.
 - 13.9.1 When emergency key rings changes, the off-site emergency key ring will be immediately updated by the physical plant manager.
14. **LOST, DAMAGED OR DISCONTINUED KEYS/LOCKS**
- 14.1 When a key or lock is determined to be unserviceable, the department head or supervisor may request a replacement from the physical plant manager. When the replacement key is received the master and department/area inventory shall be updated indicating a replacement key/lock was received and the unserviceable key or lock returned to the physical plant director.
 - 14.1.1 The key control officer shall be notified of all replacement keys on the next due inventory date at the 5th of the next month.
 - 14.2 No discontinued key will be stored in an unsecured area, area accessible to clients or stored in the same location as assigned, key board, back-up emergency key board or emergency keys or otherwise in a manner that makes the key appear in use.
 - 14.2.1 A discontinued key/lock inventory will be maintained by the physical plant director indicating the date the key/lock was discontinued and the key/lock's final disposition.
 - 14.3 Any employee discovering a key/lock lost/missing will immediately verbally reported the missing key/lock to the department head or supervisor of the area and to the facility superintendent or on-call manager in charge.
 - 14.3.1 Any client(s) and/or staff member(s) who had access to the area of use will be held at that location until a thorough search has been made or until the facility superintendent or on-call manager in charge makes a determination that the key/lock is lost.
 - 14.3.2 The facility superintendent or on-call manager in charge will determine what search perimeters will be set, and authorize the searching of the facility.
 - 14.3.3 If the key/lock cannot be located after the search, the key/lock shall be listed on the discontinued key/lock inventory maintained by the physical plant manager indicating the date the key/lock was lost.
 - 14.3.4 If the facility superintendent determines that the lost key or lock presents a security or operational risk, all areas impacted by the lost key shall be immediately rekeyed or relocked.
 - 14.3.5 A serious incident report must be completed for all lost keys/locks. This includes lost keys/locks found in a subsequent search.

- 14.4 If a key/lock is found by an employee or otherwise found to be unattended, the key/lock will be confiscated and turned into the shift supervisor for forwarding to the key control officer.
 - 14.4.1 The key control officer will forward written notice to the department head or supervisor assigned the key/lock. A copy of this notice should also be sent to the facility superintendent and the physical plant director.
 - 14.4.2 The key control officer will check the key against the discontinued key inventory. If the key/lock has already been replaced, the found key/lock will be placed in secure storage or, if unserviceable, re-inventoried as unserviceable with a final disposition.
 - 14.4.3 The physical plant director shall update the master and department/area inventory as appropriate.
- 14.5 The facility superintendent and physical plant director must approve all key ordering, making, duplication or change of any key, door or lock.
- 14.6 Requests for changes, duplication, or additional keys or locks will be made in writing to the physical plant director.
 - 14.6.1 The physical plant director will review the request and forward it with his/her recommendations to the facility superintendent.
 - 14.6.2 Upon approval, the physical plant director will issue the key/lock, forward a copy of issuance to the key control officer and update the master key inventory.
- 14.7 Broken or damaged keys will be immediately reported to the supervisor. If necessary to complete operations, the broken or damaged key will be exchanged with a key on the back-up emergency key board.
 - 14.7.1 The facility superintendent, physical plant director or on-call manager in charge shall document the exchange and notify the key control officer the next business day.
 - 14.7.2 A Special Incident Report must be completed for all broken or damaged keys/locks. This does not include regular wear and tear replacements.
- 14.8 Any key/lock removed from the facility without authorization is considered to be lost. If a staff member inadvertently leaves the facility with a key or lock he/she will be contacted and required to return it immediately.
 - 14.8.1 Failure to return a key or lock to the facility after being appropriately notified is subject to disciplinary action up to and including dismissal.

15. KEY HANDLING

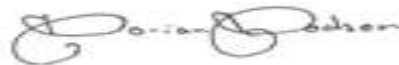
- 15.1 Keys found unattended or displayed in a manner demonstrating improper handling can result in disciplinary action.
- 15.2 Employees will avoid referencing key numbers and other identifying information in the presence of clients.
- 15.3 Employees shall avoid dropping keys, shall not throw keys from one person to another and shall not slide or skip keys across the floor.
- 15.4 Employees who misplace or damage keys or locks through negligence or carelessness can be subject to disciplinary action, up to and including dismissal.
- 15.5 Force shall not be used to operate locks. If the lock does not function easily, it shall be immediately reported, a work order issued and the lock repaired.
- 15.6 Each facility superintendent shall ensure a local operating procedure that provides for the securing of the personal keys of all persons entering the secure area of the facility, including visitors, staff regularly assigned to the facility and staff not regularly assigned to the facility.

- 15.6.1 If personal keys are allowed into the facility by juvenile justice staff, the local operating procedure shall address how personal keys are to be maintained and the search procedures that will be implemented if lost.
- 15.7 Padlocks will be used only for chains, gates, file cabinets, lockers, shadow boards and chemical/tool storage sheds/lockers. Padlocks and their keys will be inscribed with a control number and accounted for in the same manner as keys.
- 15.8 No employee will possess, alter, mark, duplicate, manufacture, make impressions of, or add/remove keys from rings without authorization from the physical plant director and facility superintendent. Likewise, no employee will alter or change locking devices or doors without authorization.
 - 15.8.1 This includes rendering a locking device or lock useless by wedging or barring a door, window, gate or the lock itself into the open or closed position.
 - 15.8.2 This also includes rendering an alarm associated with a locking device useless by silencing, disabling or cutting power to the device, alarm or panel.
- 15.9 If clients are issued keys or locks for personal use (i.e., lockers, foot lockers, drawers) only locks and keys approved by the key control officer may be used.
 - 15.9.1 The key control officer will maintain a separate client key/lock inventory that includes the client assigned the key/lock, location of the use, type of key/lock and combination if it is a combination style lock.
 - 15.9.2 If clients retain personal use keys, the physical plant manager will maintain a duplicate of the key as part of the client key/lock inventory.

16. CONTINUOUS QUALITY IMPROVEMENT

- 16.1 The facility superintendent will use the quarterly key audits and any accompanying corrective action as the continuous quality improvement plan.
 - 16.1.1 Annually, the four quarterly reports will be forwarded to the Director of JJS or designee for review. Based on this review, any changes in practices recommended will be incorporated into this procedure.

17. AUTHORIZED SIGNATURE



APPROVED: _____
 Dorian Dodson, Cabinet Secretary
 Children, Youth and Families Department

_____5/05/10_____
 Date