California State University, Los Angeles
Department of Public Safety

NUMBER: I-11   APPROVED:_____
                                              Gregory D. King, Chief of Police

EFFECTIVE: May 1, 2007

SUPERSEDES: 1/29/2004   Revised/Reviewed: May 1, 2010

SUBJECT: **Key Control**

I.   PURPOSE.

        To establish the policy and procedures for key issue and control of State keys.

II.   POLICY.

        It shall be the policy of this department that the Key Control function be managed in an efficient and reliable method that ensures:
        •   internal accounting controls;
        •   the safeguarding of University and State assets; and
        •   adherence to management and administrative policies.

III.   DEFINITIONS.

        A.   Authorized Key Holder. Those persons authorized by the appropriate Executive or Administrative Officer to have in their possession key(s) to University facilities/equipment.
        B.   Director of Public Safety [Chief of Police]. Administrator responsible for overseeing the management of the Key Control Office.
        C.   Dispatcher. Department communications personnel assigned to work hours when the Key Control Office is not open.
        D.   Key Control Coordinator. Person assigned the full-time, day-to-day function of key distribution and control.

IV.   PROCEDURES.

        A.   The Key Control Office will provide and maintain security of campus facilities and equipment through enforced procedures for key issue, return, replacement, and re-keying. Procedures will be in accordance with Administrative Procedure 403.

        B.   All key request cards shall be directed to the Key Control Office for verification of authorized signature and duplication of key(s).

C.   Dispatchers shall be authorized to issue keys after hours, in accordance with this Department Order, to authorized key holders who have made previous arrangements with the Key Control Office.

D.   All persons requesting key issue shall be required to present a California State University, Los Angeles photo-identification card. New hires must present a California State University, Los Angeles temporary identification card in addition to some form of photo-identification (driver's license, identification from another university, etc.).

E.   All key request cards for State and University Auxiliary Services, Inc. (UAS) employees are required to have an Employee ID number and all student key request cards are required to have a Student ID number.

F.   Keys will not be issued in the event the Authorized Key Holder refuses to sign the Key Request card.

G.   No information, keys, names, changes or alterations shall be made to a previously approved Key Request card. Key requests may be cancelled by the Key Control Coordinator who originally approved the Key Request, the Administrative Officer who signed the Key Request card, the administrator's designee who types Key Request cards, or by the designated Authorized Key Holder.

H.   No rubber stamp signatures will be accepted.

I.   All keys must be matched with the number written by the Locksmith on the Key Request card to that stamped on the key. If the numbers do not match, the key shall not be issued.

J.   Keys shall not be given to the Authorized Key Holder until all key distribution procedures outlined in this order have been completed.

K.   Lost keys will be reported to the Key Control Coordinator on the Replacement/Lost Key Report form (Appendix A).

L.   Keys stolen off-campus will require a police report under the jurisdiction of local law enforcement. Keys stolen within CSULA will require that a University Police Officer take a report. A copy of the police report will be provided to the Key Control office.

M.   All separations are conducted via email using the Separation Tracker List, sent by the Human Resource Management office.

N.   Parking & Transportation Services Administrative Coordinator:

      1.   Supervises the Key Control Coordinator in the performance of Key Control duties to ensure compliance with the Key Control Policy.

2. Under direction of the Director of Public Safety or his designee, the Coordinator meets with appropriate personnel to facilitate enforcement of the Key Control Policy and handles sensitive Key Control matters.

O.   Key Control Coordinator.

1. Maintains a master signature file containing the original signature of those persons authorized by the Executive Officer, set forth in Administrative Procedure 403, to approve key requests.

2. Reviews all requests for replacement keys and requests for keys for student employees, and notifies the requesting Administrative Officer of the disposition.

3. Honors key requests signed by <u>only</u> those Administrative Officers authorized by the Executive Officers to approve key requests.

4. Reviews key request cards for adherence to security regulations.

5. Processes name changes of Authorized key holders and updates records.

6. Monitors the return of keys, which includes the following:
   a) acceptance of the return of all University keys held by the key holder, whether or not the key request cards are on file;
   b) a Key Receipt form will be filled out;
   c) the original will be given to the Authorized key holder; and,
   d) the department copy will be filed in the Key Control Office.

7. Hold keys one (1) quarter for pick-up unless the requesting department has placed early orders (i.e., tenth-week order) for the following quarter. All key requests remaining at the end of the quarter will be cancelled and returned to the Lock Shop.

8. Processes separation requests through Separation List Tracker, including:
   a) conducts clearance checks;
   b) verifies that the keys listed on the Key Request cards have been returned by the employee via a CSLA Key Receipt; and,
   c) contacts separating employee and/or department personnel of outstanding keys;
      1. If all keys are not returned, the employee will not be cleared and a hold will be placed on all university services.

9. Performs all Key Control duties including:
   a) processing key request cards, issuing and receiving keys, processing lost and stolen key reports and correspondence;
   b) periodically making computer searches as necessary (example: found keys, key misuses by Authorized Key Holder; department building, floor, room opened by key); and,
   c) maintaining a computerized database to manage keys and distribution.

10. Processes and maintains records on chargebacks and forwards all processed chargebacks to Financial Services.

11. Process charges differ for replacement keys according to Key Request card signed upon issuance. Charges are payable to CSULA and are forwarded to the University Cashiers Office.

12. Reviews and maintains records on all Locksmith related Public Safety Work Requests, and forwards them to the Locksmith for completion.

P.   Dispatcher.

1. The Public Safety Dispatcher assumes the role of key controller and access monitor for buildings during non-business hours. "Non-business hours" is defined as those time periods the Front Counter is not open for public service.

2. A record of all keys issued/distributed during non-business hours shall be made to provide effective accounting and control.

   a. All keys will be signed in and out - using the data sheets made available in a 3-ring binder at the Front Counter (Key Control Sheet, Appendix F).

   b. Written authorization from areas in which keys are distributed shall be included within the information provided in the data sheets. Included authorized areas (which may be changed through administrative action) are Physical Education, King Hall, Simpson Tower, Biological Science, Physical Science, computer and science labs, and Facilities controlled zones (i.e., boiler rooms, electrical rooms, etc.).

3. Any problems experienced (i.e., missing keys, keys not returned, keys broken when returned) will be documented within the Automated Records Management System (ARMS). A copy of the ARMS entry will then be printed out and placed in the Key Control internal mailbox.

V.   APPENDICES:

A.   Replacement/Lost Key Report.
B.   CSLA Key Receipt.
C.   Master Key Request card.
D.   Key Request card.
E.   State Administrative Manual [SAM] 20050.
F.   Key Control Sheet.
G.   Key Control Database Entry Guidelines.

Appendix A

REPLACEMENT / LOST
KEY REPORT

Name of employee _____
                          Last   First

Social Security Number_____

Department_____   Extension _____

Employee's Address _____

Residence Phone (____) _____

Were the keys stolen?_____   Police report number _____

Date of Occurrence _____

Building and room number(s) for key replacement:
_____
_____
_____
_____

Describe how keys were lost (what happened?):
_____
_____
_____

When did you notify your department?_____

Do other employees have these same keys?_____

If so, when did you notify employees of key(s) loss?_____

To the best of your knowledge the information above is correct.

_____   _____
Signature of Employee   Date

_____   _____
Public Safety Personnel   Date

****
Office Use Only

Date Charges Paid _____   Rekeying Required? _____

New Key(s) Issued? _____   Separating Employee? _____

(2940)

Appendix B.

CSLA Key Receipt

Name of Employee:	Social Security Number	Date:

Quarter: ✔

Year:

On this date the above named employee returned the following keys:

☐ Fall ☐ Winter ☐ Spring ☐ Summer Student ☐ Dept. _____

1.	8.	15.
2.	9.	16.
3.	10.	17.
4.	11.	18.
5.	12.	19.
6.	13.	20.
7.	14.	21.

Name of Authorized Key Receiver:

[2942] 2/99

Appendix C.

MASTER KEY REQUEST
(SUBMIT IN TYPED OR HANDWRITTEN FORMAT)

Please issue to: _____
          Last   First

Department: _____ Ext. _____

Employee ID # _____ **Circle one:**   Faculty   Staff

Keys to the following: (Lock-shop Use Only)

Master Key(s): _____   _____
          Indicate building & key number

AUTHORIZED BY:
Vice President of Division _____ Date _____ Extension_____

REQUEST PREPARED BY:
Name (Last, First): _____ Date _____ Extension_____
Dept. Name: _____ Date _____ Extension_____

Received By:
Signature _____ Date _____

(2943) 8/02

INSTRUCTIONS FOR COMPLETING MASTER KEY REQUEST

1. Fill out request with complete name, Employee ID Number, department, date and extension.
   The authorized signature must include a First and Last name (initials or stamped signatures are not acceptable.)
2. There is a four (4) key maximum on each key request card.
3. Request keys in accordance with the Administrative Procedure #403 and the following guidelines:
   a) For Master keys, specify Building and key number.
   b) Purchase Master Key Request/Form 41 cards from Campus Stores, Bung. X, 3-3740.
   c) Appropriate identification, such as picture I.D., is required at time of key issuance/pick-up.
4. For REKEYING locks, please complete a Facility Work Request/Form 40, attach Key Request Card(s) and send to Key Control, Public Safety, Bung. C, 3-3700.

RULES GOVERNING KEY USE
I hereby acknowledge receipt of the key(s) listed on the attached card. I agree to comply with the following stipulations:

1. I will be fully responsible for the use and return of the key(s).
2. The key(s) will not be loaned, given, or traded with anyone under any circumstances.
3. I must **immediately** report the lost/stolen key(s) to Key Control, Public Safety, and complete a Replacement/Lost Key Report form.
4. I will pay **$200** at the time the Replacement/Lost Key Report form is completed.
5. All keys are university property and must be returned to Public Safety Key Control when need for access has ceased, upon obsolescence of key, and upon termination of employment or transfer to another department.
6. I am aware that failure to return key(s) may result in an offset claim being filed against funds which may be owed to me by another state agency including the State Franchise Tax Board.
7. Penal Code Section 469 prohibits unauthorized duplication of keys, possession of keys duplicated illegally, and non- authorized possession of state keys.

_____   _____
          Full Signature   *Date*

Appendix D.

KEY REQUEST
(SUBMIT IN TYPED OR HANDWRITTEN FORMAT)

Cal State LA

Please issue to: _____
            Last   First

Department: _____ Ext. _____

Employee/Student ID # _____

Circle one: Faculty Staff Student   Student Appointment Dates: _____ to _____
                                                    (M/D/Y)   (M/D/Y)

Requested By: _____ _____ Date: _____
            Last   First   Extension

Authorized By: _____ Date: _____

Keys to the following: **(Lock-shop Use Only)**

Department Sub-master: _____   _____

Bldg Entrance Key to: _____   _____

Bldg & Room # to: _____   _____

_____   _____

State tag #: _____   _____
            (Office furniture)

Wall Cabinets in Bldg & Room # to: _____   _____

Padlock/Gate Area to: _____   _____

Other (specify): _____   _____

                                                    (4181) 8/02

INSTRUCTIONS FOR COMPLETING KEY REQUEST

1. Fill out request with complete name, Employee or Student ID Number, department, date and extension. The authorized signature must include a First and Last name (initials or stamped signatures are not acceptable.)
2. There is a four (4) key maximum on each key request card.
3. Request keys in accordance with Administrative Procedure #403 and the following guidelines:
   a) For room keys, specify building and room number (s). (NOT A KEY NUMBER)
   b) For equipment such as desk, file cabinets, etc. specify tag number.
   c) For wooden cabinets without state tag number, specify building and room number of location.
   d) For padlock, specify Code number (if applicable) gate, or area.
   e) Incomplete Key Request cards will be returned to department for completion.
   f) Purchase Key Request/Form 41 cards from Campus Stores, Bung. X , 3-3740.
   g) Appropriate identification such as, picture I.D. is required at time of key issuance/pick-up.

RULES GOVERNING KEY USE
I hereby acknowledge receipt of the key(s) listed on the attached card. I agree to comply with the following stipulations:

1. I will be fully responsible for the use and return of the key(s).
2. The key(s) will not be loaned, given, or traded with anyone under any circumstances.
3. I must <u>immediately</u> report the lost/stolen key(s) to Key Control, Public Safety Bung. C, and complete a Replacement/Lost Key Report form.
4. I will pay the charges current at the time the Replacement/Lost Key Report form is completed, not to exceed $125/lost/stolen key.
5. All keys are university property and must be returned to Public Safety Key Control when need for access has ceased, upon obsolescence of key, and upon termination of employment or transfer to another department.
6. As faculty/staff, I am aware that failure to return key(s) may result in an offset claim being filed against funds which may be owed to me by another state agency including the State Franchise Tax Board.
7. As a student, I am aware that failure to return key(s) will result in a hold being placed on my registration and records.
8. Penal Code Section 469 prohibits unauthorized duplication of keys, possession of keys duplicated illegally, and non- authorized possession of state keys.

_____   _____
        Full Signature   *Date*

Appendix E.

State Administrative Manual [SAM]
INTERNAL CONTROL **20050**
(Renumbered from 2003, 2006, Revised 12/00)

State entity heads, by reason of their appointments, are accountable for activities carried out in their agencies. This responsibility includes the establishment and maintenance of internal accounting and administrative controls. Each system an entity maintains to regulate and guide operations should be documented through flowcharts, narratives, desk procedures, and organizational charts. The ultimate responsibility for good internal control rests with management.

Financial Integrity and State Manager's Accountability Act
Because governments are susceptible to fraud, waste, and abuse, increased attention has been directed toward strengthening internal control to help restore confidence in government and improve its operations. In particular, the Financial Integrity and State Manager's Accountability Act was enacted to inhibit waste of resources and create savings. GC 13400 through 13407 describes the Legislative findings, entity responsibilities, and entity reports on the adequacy of internal control.

GC 13403 defines internal accounting and administrative controls and sets forth the elements of a satisfactory system of internal control. As stated in GC 13403, internal accounting and administrative controls are the methods through which state entity heads can give reasonable assurance that measures to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribe managerial policies are being followed.

Internal accounting controls comprise the methods and procedures directly associated with safeguarding assets and assuring the reliability of accounting data. Internal administrative controls comprise the methods and procedures that address operational efficiency and adherence to management policies.

Furthermore, GC 13403 states the elements of a satisfactory system of internal accounting and administrative controls, shall include, but are not limited to:
1. A plan of organization that provides segregation of duties appropriate for proper safeguarding of state assets.
2. A plan that limits access to state assets to authorized personnel who require these assets in the performance of their assigned duties.
3. A system of authorization and record keeping procedures adequate to provide effective accounting control over assets, liabilities, revenues and expenditures.
4. An established system of practices to be followed in performance of duties and functions in each of the state agencies.
5. Personnel of a quality commensurate with their responsibilities.
6. An effective system of internal review.

These elements, as important as each is in its own right, are expected to be mutually reinforcing and, thus, to provide the system with "internal checks and balances." All the elements are so basic to adequate internal control, that serious deficiencies in any one could preclude effective operation of the system and should trigger a sign of a problem.

Symptoms of Control Deficiencies

Experience has indicated that the existence of one or more of the following danger signals will usually be indicative of a poorly maintained or vulnerable control system. These symptoms may apply to the organization as a whole or to individual units or activities. Entity heads and managers should identify and make the necessary corrections when warned by any of the danger signals listed below.

1. Policy and procedural or operational manuals are either not currently maintained or are nonexistent.
2. Lines of organizational authority and responsibility are not clearly articulated or are nonexistent.
3. Financial and operational reporting is not timely and is not used as an effective management tool.
4. Line supervisors ignore or do not adequately monitor control compliance.
5. No procedures are established to assure that controls in all areas of operation are evaluated on a reasonable and timely basis.
6. Internal control weaknesses detected are not acted upon in a timely fashion.
7. Controls and/or control evaluations bear little relationship to organizational exposure to risk of loss or resources.

Key Control Sheet

Lab/Location:

Name:
SS#
Ext:
Home Phone #:

Date(s) _____

Quarter: Fall ☐   Winter

Time: _____

	Signature	Date	Time of Pick-up	Staff	Key
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					

Key Control Database Entry Guidelines

Our primary goal for Key Control is to maintain adequate records on both state and master keys to help minimize the risk of unauthorized access to buildings and rooms, which may contain confidential information and/or equipment.

The following procedure shall be adhered to when entering key cards into the Key Control database:

1. Remove all staples from the key cards.

2. Compare the name(s) and Employee ID Number(s) on all cards – to insure that the keys have been issued to the correct person, due to common names i.e. John Smith.

3. Cards are filed alphabetically by last names, an individual's card packet should be organized by the established department sequence, and key entries should be made corresponding to the department(s) indicated.

4. Place all Master Key Cards at the back of the card file.

5. Discard any green or pink key cards that are old ***and*** do not have a white signature card attached – check dates to make sure they did not just sign one white card for two or more key cards.

6. Once the cards have been organized, input the information from the cards into computer file – ***Remember one key per line, one card could involve multiple line entries.***

7. When inputting Master keys enter them under the column marked **"cabinets/other"** and use a **bold** font.

8. After the information has been entered in the database stamp the bottom left hand corner of the card, or available space around the edge, with ENTERED and write in the date and your initials.

9. If it is a **NEW** Master Key such as the **GM, GGM,** or **GGGM** that has been recently picked up, input the information in the database and then place it in the Front Desk Supervisor's in-box to be entered by the supervisor into the Master Key file. This shall provide Key Control with a record of all Master Keys that have been released to campus personnel.