



DEPARTMENT OF CORRECTIONS
Institutions



Title: Keys and Locks	DOC Policy: 40.1.2
Effective: 3/1/24	Supersedes: 11/1/16
Applicability: Institutions and Non-prison Facilities	
Directives Cross-Reference: None	
Attachment: Form - Personal Issued Key Request Form (CD1701)	

I. PURPOSE

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

II. DEFINITIONS

- A. Adult in Custody (AIC): Any person under the supervision of the Department of Corrections who is not on parole, probation, or post-prison supervision status.
- B. AIC Key: A key designated for use by an AIC in a specific area approved by the functional unit manager or designee.
- C. Automated Key Distribution System: A secured electronic key cabinet that uses a code or scanned key chit to allow access to check out assigned keys.
- D. Blank Key: A key with a special uncut design that may be used to match the cut of another key.
- E. 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.
- F. Emergency Key: A key or key ring specifically reserved for use in emergency situations.
- G. Inactive Key: A key for a lock not currently in use at the facility or a key not issued to a key ring.
- H. Institution Key: Keys used by employees, contractors, and volunteers during daily operations of the facility.

- I. Key Chit: An officially issued photo ID card or metal tag used by authorized personnel in exchange for a key ring.
- J. Key Ring: A particular key or combination of keys contained on a key ring and identified by number.
- K. Master Key: A key designed to open more than one lock of the same series, for example, grandmaster, sub-master, etc.
- L. Officer in Charge (OIC): That person designated by the functional unit manager to supervise the facility and make operational decisions in accordance with rule or procedure during periods when the functional unit manager or officer-of-the-day are not readily available
- M. 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.
- N. 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.
- O. Restricted Key: Keys or key rings that may only be issued to designated personnel or issued with the authorization of the functional unit manager or designee.
- P. Tele-Key Cabinet: Designated storage area where blank keys, pattern keys, and extra keys are stored. Other associated equipment is usually stored in the same area, such as key cutting equipment.
- Q. Vehicle Key: Keys which typically activate 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 person shall maintain the key control system so that keys are accounted for, updated, and replaced as necessary. The key control person shall maintain key equipment, records, inventory, rings, requests, training, chits, floor plans, maps, and documents related to 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 and authorized in writing by the functional unit manager.

- b. The tele-key cabinet and associated equipment will be kept in a secure area that prevents and prohibits AIC access and limits staff to only those with necessary access as designated by the functional unit manager.
- c. The tele-key cabinet shall contain:
 - A. At least two additional keys for each active lock in the institution, one of which may be a pattern key.
 - B. Key blanks
 - C. Core locks
 - D. Key making machine

2. Key Records:

- a. A key cross index record shall be maintained as follows:
 - A. Key number to lock and location
 - B. Location of lock to key number
 - C. Key number to key ring
 - D. Key ring number of assigned keys
 - E. 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:
 - A. Keys on each ring

- B. Locks
 - C. Inactive keys
 - D. Master keys
 - E. Key blanks (perpetual)
- b. A physical inventory shall be implemented as follows:
- A. The personnel obtaining or receiving key rings shall count individual keys on the key ring to verify the number of keys stamped on the tag.
 - B. A designated control person on each shift shall inventory all key rings maintained at the control center and 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 person.
 - C. The key control person or designee shall complete an inventory of all keys including the tele-key cabinet and associated equipment at the beginning of each quarter. Documentation of the inventory will be submitted to the functional unit manager or designee.
 - D. An inventory of all keys including the tele-key cabinet and associated equipment will be conducted at least once a year by someone other than the key control person, as designated by the functional unit manager.
4. Key Rings:
- a. A key ring list shall be maintained in the designated key storage area(s).
 - b. The key ring list shall be maintained by the key control person for all key rings as follows:
 - A. Vehicle keys
 - B. Institution keys
 - C. Restricted keys
 - D. Emergency keys
 - c. Each authorized position in the facility shall have a set of keys specifically designed for the assigned work area.

- d. Each key ring including emergency key rings, shall have a tag that identifies the key ring number 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 key control person.
- f. Keys or other items shall not be removed or added to any key ring by anyone other than key control person without expressed written approval from the functional unit manager or designee.
- g. The loss of 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 key ring or key shall make a detailed report to the functional unit manager or designee. The key control person shall forward a 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 key rings and placed on the inactive key inventory.
- i. Master keys shall be restricted to key rings that allow access to numerous areas.

5. Key Request:

- a. Personnel may request the creation or modification of a key ring by submitting a written request to the functional unit manager or designee.
- b. Personnel may request that a key or lock be added, removed, or replaced by submitting a written request to the functional unit manager or designee.

6. Key Training:

The functional unit manager or designee shall ensure all employees, contractors, and volunteers are trained before being authorized to receive key rings. Documentation of this training is maintained at the institution where the key chits are issued. This training will include:

- a. Key control;
- b. Read and understand policy 40.1.2 Keys and Locks, and

- c. Review, understand, and sign the Key Control and Requirements form established for the institution.

7. Key Chit:

- a. Each facility employee will be issued key chits with the employee's identity stamped or reflected on the chit.
- b. In the event an employee forgets, misplaces, or loses their key chit, a temporary key chit can be issued for the shift upon the authorization of the officer-in-charge.

8. Key Issue:

- a. Each key ring shall be issued from the designated key storage area by placing the appropriate key chit on the hook from which the 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 board or cabinet that is used for key issuance, return, and storage, which ensures ease of access, security, and 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. 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, such as records keys to staff working in the Records unit.
- d. Personnel obtaining a 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 the possession of another person will exchange their key chit with the other person for the key ring. 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 key chit. 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 a key ring from the designated key storage area by exchanging their key chit for the key ring. A key chit is not required when using the automated key distribution center.
- 3. Personal keys must be maintained on an employee's person or always stored in a secure area.
- 4. Personnel must always be in possession of issued keys on their person.
- 5. Personnel shall exercise care to prevent AICs from seeing numbers on keys or observing the key cut for any period.
- 6. Keys or the method of their use shall not be shared or surrendered to any AIC.
- 7. Personnel shall not throw keys to each other. Personnel shall utilize a hand-to-hand exchange, always maintaining key control.
- 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 person. 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 person 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 lost or malfunctioning locks shall be immediately reported verbally to the officer-in-charge and in writing to the functional unit manager or designee and the key control personnel.

C. Vehicle Keys

1. Certain key rings shall be designated as vehicle keys. A list of these keys shall be 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 per established process at that institution.

D. Restricted Keys:

1. Certain key rings shall be designated as restricted keys. A list of these keys shall be kept in the designated key storage area. The key ring list shall be maintained by key control person and approved by the functional unit manager or designee.
2. All keys shall be restricted if used for the following:
 - a. AIC records, including grievances;
 - b. Personal property storage;
 - c. Valuables storage;
 - d. Evidence storage;
 - e. Personnel records storage;
 - f. Commissary sales and storage;
 - g. Armory or vault;
 - h. Food storage (warehouse);
 - i. 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 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 person.
6. All emergency keys shall be checked at the beginning of each quarter by the key control person 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 person 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. AIC Keys:

1. AICs shall not possess keys unless issued and authorized by the functional unit manager or designee.
2. AICs may be issued one key to their cell (except dormitory AICs) which shall be used to open their door during authorized movement. The AIC receiving the key will be given a

direct order to maintain the key in their possession at all times and must report lost keys to the officer-in-charge immediately.

3. If an AIC loses a cell key, they shall report it immediately to the officer-in-charge. The officer-in-charge shall instruct the AIC 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 person.
4. All unassigned AIC cell keys shall be maintained in a designated key storage area.

G. Written Directive:

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

1. A comprehensive key control process maintained in a secure area and available to staff.
2. The specific person or job assignment to which the responsibility for the key control system will be designated.
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 AIC issued and purchased locks.
5. Defined safeguards related to the proper delivery and disposal of keys, locks, and related supplies as determined by the functional unit manager or designee.
6. Handling restrictions related to facility keys and AICs (AICs are prohibited from handling facility keys).
7. Identification of areas and functions or circumstances where AICs may be in possession of keys. A list will be maintained with the name of the pre-approved AIC, key number, and item or vehicle to which the key is assigned.
8. Staff responsibility related 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. Details related to the issuance, handling, and accountability of personally issued keys. The written directive will include a minimum requirement for an annual inventory and accountability of all personally issued keys.

10. Direction for the functional unit manager of department offices that are not part of a facility (such as Headquarters, CDC, Transport Unit Offices, etc.) to have written directives in place that include a minimum requirement for an annual inventory and accountability of all personally issued keys. Written directives will also address each of the following areas:
 - a. Key control responsibility;
 - b. Key equipment;
 - c. Key inventory;
 - d. Key issue;
 - e. Key records;
 - f. Key requests;
 - g. Key rings;
 - h. Key training;
 - i. Vehicle keys;
 - j. Restricted keys; and
 - k. 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 a 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 _____
Julie Vaughn, Rules Coordinator

Approved: _____ signature on file _____
Heidi Steward, Deputy Director



Personal Issued Key Request Form

Personal issued key or key set request for the purpose of: _____

I understand the following: The below key(s) are the property of the Oregon Department of Corrections (DOC). I will surrender these keys when:

- 1. There is no longer a legitimate reason for keeping the keys;
2. Upon my transfer to another facility;
3. At the request of my supervisor; or
4. Upon termination of employment with DOC.

I will not attempt to have these keys duplicated. If misplaced or lost, I will immediately notify the facility on-duty supervisor and provide written notification to my supervisor and the functional unit manager (FUM).

Employee Signature Date

FUM or designee Signature Date

APPROVED / DENIED (circle one)

The signatures below indicate the key or key set was issued, and the signer has read the department's policy on Keys and Locks (DOC policy 40.1.2) and respective functional unit procedures.

Employee Signature Date

Receiving Key Control Personnel Signature Date

Issuing Functional Unit: Key Numbers/Set Assigned:

Issue Date: Return Date:

cc: Personnel Working File
Key Control Personnel