POLICY TEMPLATE

ACCESS CONTROL

Category: Operations
Approval: PVP
Responsibility: Vice President Administration
Date:
  Date initially approved: September 1, 2005
  Date of last revision: November 5, 2013

Definitions:
Change Keys – keys that allow access into a single room, or a suite of two or three rooms all keyed alike; e.g. an office or office area.

Master Keys – keys that allow access into a group of rooms or buildings. There are three types:
1. Grand Master: allows access to all doors on a single keyway and is retained by the Locksmiths.
2. Master: allows access to all rooms in a building or several buildings, or a number of common function doors in one or more buildings; e.g., residence rooms, mechanical spaces. At Trent, Master keys are P, TUMS and C. Master keys are to be secure at all times and not taken home after work by employees.
3. Sub Master: allows access to number of functionally or organizationally related rooms in a building such as all spaces controlled by a single department.

Shift keys – one or more keys that are issued to an employee for the duration of their work shift to allow them access to spaces that are not occupied and/or controlled solely by them. For example, a combination of master, sub master and change keys to allow a custodian access to all spaces in a building for cleaning.

Purpose/Reason for Policy:
The purpose of the Access Control Policy is to:

- protect the personal safety of faculty, staff and students.
- safeguard both university and privately owned material assets.
- clearly define the approved procedures and authorities for access control at Trent University.

Scope of this Policy:
This policy applies to all Trent University owned infrastructure and access control systems. It applies to all employees, students, contractors and visitors who require key or card access to Trent infrastructure.

Policy Statement:
It is the policy of Trent University to safeguard persons and property by controlling access to university buildings so that only authorized users of a space have access to that space. To minimize the risk of lost or stolen keys, Trent University will work towards installing card access.
VPs, AVPs, Deans, Department Chairs and Directors are responsible to authorize the issue of any keys or access cards for the facilities allocated to their unit. They may appoint Key Approving Authorities for this purpose. All requests for master or sub-master keys must be approved by the individual(s) who has authority to access all the spaces and facilities accessed by the master key, normally a Vice-President, AVP or Dean, in consultation with the Director, Risk Management.

The Director, Risk Management, through the Access Control Supervisor is responsible to approve the selection of cost effective access control systems to provide appropriate physical security commensurate with the risk inherent in each location. The Director, Risk Management will ensure adherence to this policy and has the authority to deny any requests for keys/cards that contravene the intent of this policy or compromise the security of the university. Such denials may be appealed to the Vice President Finance and Administration. The Director, Risk Management is responsible to decide whether re-keying is necessary to maintain security in the event of lost or stolen keys. The Access Control Office is responsible to receive and coordinate approval of all key and card requests. Key requests are forwarded to the Locksmith shop and card requests to the Card Office.

The AVP Physical Resources, through the Locksmith Shop and the Property Management Contractor for Oshawa is responsible for the selection, installation, maintenance, repair and replacement of door lock cylinders and lock sets. They are responsible to receive key and lock change requests from the Access Control Office and perform the requested work within a reasonable time frame. The Locksmith will prepare contractors’ key rings as necessary for issuing by the Risk Management Department. The Locksmith is responsible to maintain up to date records of all keys produced, issued, returned and destroyed, as well as the keyways and codes for all locking devices installed throughout the university, with the exception of desks, cabinets etc.

Key Approving Authorities are responsible to determine that all persons requesting keys or cards to their departmental spaces have a bona fide operational requirement for the key or card. Any new requests for Master keys must be accompanied by a completed Police criminal record check form. Key Approving Authorities are to determine whether any criminal conviction listed on the criminal record check places the university at risk, should a Master key be issued. Key Approving Authorities are to ensure that all keys and cards are recovered when the key holder leaves the university, changes departments or is no longer is authorized to enter the spaces accessed by the keys/cards. The Access Control Office is to be advised of such changes so keycards can be deactivated and advised whenever keys and cards are re-issued. Keys/cards that are no longer required may be returned to the Access Control Office.

Key approving Authorities requesting a change or upgrade to the standard locking system such as re-keying, replacing lock sets and cylinders or installation of a different security system such as electronic (keypad), biometric or card access, are responsible to cover the cost of the change and the ongoing cost of maintaining the upgraded locking system from their departmental operating budget, unless the Director, Risk Management, in conjunction with the AVP Physical Resources, determines that the upgrade is required for the university to maintain appropriate security. The criteria for approving upgrades to the standard locking system are if the space is multi-occupant (4 or more) and/or if the space contains extremely sensitive, vulnerable, dangerous or valuable contents that cannot be effectively secured by the standard locking system. The department is also responsible for the cost of replacing lost, stolen, broken or worn keys and the cost of re-keying in the event of lost or stolen keys. The department may recover these costs at its discretion from the individual who has signed out the keys.

Special Authorities. The Directors of Housing and Conference Services are responsible for controlling all keys accessing residence rooms and programming card access to residences during their respective seasons (Housing – Fall and Winter; Conferences – Summer). The Dean of Science via the Science Facilities Manager is responsible for programming card access to science buildings. The Head, Trent in Oshawa via the Administrative Coordinator is responsible to control

Responsibilities:

systems on all external doors.
all interior room key access for the Oshawa campus.

**Keyholders.** Keys/cards to university spaces issued to individuals remain the property of Trent University. Upon receipt of a key/card, the individual key/card holder agrees:

a. to the proper use and care of the key/card;

b. to store master and sub-master keys securely on campus outside of working hours;

c. not to loan, duplicate or use the key/card in any unauthorized manner;

d. to return it to the issuing authority upon demand and/or when no longer required for bona fide operational reasons.

**All Trent community members** are responsible to refrain from installing unauthorized locking devices on university doors. To ensure access in the event of an emergency, no campus area may be secured except by a locking device approved by the Locksmith. Keys to filing cabinets, desks, cabinets, lockers etc. will remain the responsibility of the person in charge of the area.

**Space allocation authorities** are responsible to provide up to date lists annually to the Director, Risk Management of rooms and spaces allocated to each department/unit on campus. They are also to advise the Director, Risk Management of any changes to those lists as they occur.

<table>
<thead>
<tr>
<th><strong>Contact Officer</strong></th>
<th>Director, Risk Management</th>
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</thead>
<tbody>
<tr>
<td><strong>Date for Next Review</strong></td>
<td>2016 November 01</td>
</tr>
<tr>
<td><strong>Related Policies, Procedures and Guidelines</strong></td>
<td>Employee Campus Card Policy</td>
</tr>
<tr>
<td><strong>Policies Superseded by This Policy</strong></td>
<td>N/A</td>
</tr>
</tbody>
</table>
## APPENDIX ‘B’

## PROCEDURE

### ACCESS CONTROL

**Contact Officer**

*Director, Risk Management*

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<table>
<thead>
<tr>
<th>Purpose</th>
<th>To detail the procedures for obtaining, safeguarding and disposing of keys and key cards, and effecting repairs or changes to access control hardware.</th>
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</thead>
<tbody>
<tr>
<td><strong>Procedure</strong></td>
<td></td>
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<tr>
<td><strong>Key Approving Authority</strong></td>
<td>A Trent University Key Request Form (Appendix 3) must be completed and signed by the Authority for all key requests. Forms can be found at <a href="http://www.trentu.ca/locksmith/">http://www.trentu.ca/locksmith/</a>. The completed form must be submitted to <a href="mailto:keys@trentu.ca">keys@trentu.ca</a> or by fax to 748-1009 as per the instructions on the form. Requests to change access programming on access cards may be submitted by email to <a href="mailto:keys@trentu.ca">keys@trentu.ca</a>.</td>
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<tr>
<td><strong>Locksmith and Campus Card Office</strong></td>
<td>Cut keys as noted on approved Key Request Form and/or program access cards as requested by email. When the keys and/or card programming is complete, notify the keyholder and give the keys to the Campus Card Office for pickup.</td>
</tr>
<tr>
<td><strong>Keyholder</strong></td>
<td>Pick up keys from the Campus Card office. Test your key/card to confirm that it is working properly. Safeguard your key/card at all times and secure master and sub-master keys on campus when you leave for the day. Employees and students may bring access cards and change keys home with you. If your key/card breaks or stops working, advise your departmental Authority who will request replacement. Report all lost or stolen keys/cards to Campus Security, <a href="mailto:keys@trentu.ca">keys@trentu.ca</a> and to your Authority (Department Head).</td>
</tr>
<tr>
<td><strong>Key Approving Authority (lost or stolen key/card)</strong></td>
<td>Complete a Key Request Form (Appendix 3) if replacement keys are required and email <a href="mailto:fixit@trentu.ca">fixit@trentu.ca</a> to initiate lock cylinder changes or other lock related work as required. The Authority should consult the Director, Risk Management to reach a mutual decision on lock changes based on the risk involved. Lost or stolen cards will be immediately deprogrammed by Security. Costs associated with the missing key/card are borne by the issuing department who may in turn assess these costs against the individual who lost the key/card. It is recommended that departments create internal policies to clearly outline who is responsible for the cost of replacing lost keys/cards, any contingent changes to locks and/or any damages or losses to Trent property resulting from the loss of the key/card. <strong>Under no circumstances is a Key Approving Authority permitted to have anyone other than Trent Locksmiths re-key, repair or relocate university lock</strong></td>
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</tbody>
</table>
Campus Security

- cylinders or arrange the installation of new locking devices on any university building door.

- Create a Security Incident Report for all lost keys. Create Returnity entry for all lost and found keys and update when keys are found and reclaimed.

Key Approving Authority

- will ensure that individuals return their keys/cards when they are no longer affiliated with the department, or when they are no longer authorized to access a particular room or building. Returned keys may be retained by the Key Approving Authority for reissue to the replacement staff member, unless they have an employee number stamped on them. In such cases, the key is to be returned to the Locksmith for re-stamping. Key Approving Authorities are to advise keys@trentu.ca when a key has been reissued, and to whom. As well, Key Approving Authorities will promptly return to the locksmith all keys/cards that are no longer required by that department. Examples include reductions in staff or a reallocation of space.

Key Approving Authority (Contractors)

- Contractors requiring access to specific areas on campus may be issued keys by Campus Security. The Key Approving Authority for a department sponsoring contractor work will submit the contractor request form by e-mail to keys@trentu.ca (Appendix 3). When the locksmith produces contractor key rings, they are to be locked to reduce the chances of loss. “Do not duplicate” will be printed on each key.

Key Approving Authority (Master keys)

- Shift Keys are useful for employees who require access to university spaces in excess of their normal workplace, such as security officers, custodians, residence staff, PRD staff, IT staff and anyone who needs a master or sub-master key to perform their duties. These keys are not to be removed from Trent property after working hours because the impact of them being lost or stolen is significant. The risk of criminal acts, including crimes against persons, and the cost of re-keying an entire building or buildings are high. **Master Keys** are to be treated with the greatest care and are not to be issued to individuals unless approved by the appropriate Key Approving Authority and the Director, Risk Management. Master keyholders must provide a Canadian Police Information Certificate (police records check) to the Authority before the keys are issued. The Key Approving Authority will consult with the Director, Risk Management if there are any convictions on the CPIC that may put the university at risk should a Master key be issued. The Key Approving Authority and the Director, Risk Management will determine what risk treatments are necessary to manage the risk. Master keys will be treated as shift keys and remain on site in a secure key lockup when the regular user is not at work. **Grand Master keys** will not be issued to anyone other than the locksmith and Campus Security. All master keys will be stamped “do not duplicate”.

Master Keyholders

- Provide a recent (within 3 months) Canadian Police Information Centre (CPIC) records check to the Authority prior to initial issue of any Master keys.
Trent employees who have been issued Master Keys are to advise their Key Approving Authority if they are subsequently convicted of a criminal offence. Failure to do so may result in disciplinary action up to and including termination.

Safeguard your master keys at all times. Ensure they are stored securely within your department offices when you depart for the day. Approval of your Key Approving Authority is required if you must take them off campus for any reason.

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<td>Approval Authority</td>
<td>PVP</td>
</tr>
<tr>
<td>Date of Commencement</td>
<td>September 1, 2005</td>
</tr>
<tr>
<td>Amendment Dates</td>
<td>March 2009, April 2012</td>
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<tr>
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</tbody>
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APPENDIX ‘C’

GUIDELINE TEMPLATE

TRENT UNIVERSITY

NAME OF GUIDELINE

Director, Risk Management

Contact Officer

Purpose

This guideline will assist Authorities and the Director, Risk Management in determining:
• When re-keying is necessary after one or more keys are lost or stolen; and
• Assessing risk related to criminal convictions recorded on CPICs

Guideline

Re-Keying

Lost Keys

If an employee loses a key, determine the following information:
• What door(s) does the key open? If a master key, the risk is much higher as anyone trying the key to see which door it opens will very quickly find one.
• Does the key give access to attractive and valuable items or data or sensitive information? Valuable, sensitive and attractive items increase risk.
• Is the key an interior or exterior key and how accessible is the building by the public, especially after hours? High traffic and after hours security reduce risk.
• Is there any indication on the key, key ring or the purse, bag or other container that the key may have been in that it belongs to Trent? The risk is low if there are no identifying features and the keys were not lost on campus.
• What are the circumstances of the loss? If unknown or if lost on campus, the risk is higher than if the keys have been dropped into an inaccessible space or misplaced in the home or office, where they may turn up.

Stolen Keys

If keys are stolen, we must assume they are in the hands of a criminal and therefore the risk is immediately much higher. If there is any possibility that the thief may know that s/he is in possession of a Trent key, re-keying should occur.

Access Cards

Access cards will be immediately de-activated by Campus Security or the Card Office on a 24/7 basis when reported lost or stolen, so the risk is very low if the loss is reported immediately. If a lost card is subsequently found, it can be reactivated once the card holder’s identity and the card recovery have been confirmed.

Criminal Convictions
The Key Approving Authority should consult with the Director, Risk Management if a master key holder’s CPIC includes any convictions under the Criminal Code of Canada. They will consider:

- The access provided by the master keys.
- The job description of the keyholder, their hours of work and the degree of supervision in place.
- Whether the nature of the offense for which they have been convicted poses any potential risk, given the access requested and the employee’s job description.
- The date of the conviction; the older the conviction without re-offense, the lower the risk.
- Any extenuating circumstances relating to the offense, such as mental health issues which have since been successfully treated.
- The individual’s employment record at Trent.

The Key Approving Authority and Director, Risk Management will determine if issuing master keys poses a risk to persons or property at Trent. If so, they will further determine if there are any measures that can be taken to reduce that risk, such as increased supervision, change of shift time, a security bond or a behavioural agreement. They will also consider the impact on the individual’s employment status if master keys are not issued.

Related Policies / Procedures

*Employee Campus Card Policy.*

Links


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