

YANG ENTERPRISES INC.



THE ARECIBO OBSERVATORY

AOMT

AO-EHS-53

KEY AND LOCKS

AUGUST 31, 2019

The Arecibo Observatory, Environmental Health and Safety (EHS) pertain to all AOMT members UCF, YEI, and UAGM employees.



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The current version of this document is maintained on-line at the Yang Enterprises Inc. (YEI) Arecibo Observatory (AO) Configuration Management file server to support management and operations for all AO Management Team (AOMT) members.

Obsolete versions shall be removed from the server. Hard copies of the most recent version should only be used.

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ACRONYMS LIST

Acronym	Description
AOMT	Arecibo Observatory Management Team
EH&S	Environmental Health and Safety
UCF	University of Central Florida
UAGM	Universidad Ana G. Mendez
YEI	Yang Enterprises, Inc.



GLOSSARY OF TERMS

AO-EHS-53	Naming convention of the AO document: AO – stands for Arecibo Observatory EHS – stands for Environmental Health and Safety The number at the end is the program identifier for the Locks and Keys SOP.
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PREFACE

The contents of this Key & Locks Procedure are presented as a matter of information only. The procedures herein are established to increase understanding, eliminate the need for personal decisions on matters of company-wide policy, and to assure uniformity throughout our organization. It is the responsibility of each and every member of management to administer these policies in a consistent and impartial manner.

The AOMT, reserves the right to modify, revoke, suspend, terminate, or change any or all such policies, or procedures, in whole or in part, at any time, with or without notice. The language used in this manual is subject to modification as we must remain in compliance with all local, state, and federal laws and regulations.

Personnel performing outside of their respective AOMT corporate office, whether they are working at a customer site or working on a contract at another location, must also follow all policies and procedures set forth at that respective location.



INTRODUCTION

The Arecibo Observatory Management Team (AOMT) provides the guidance and management of the Arecibo Observatory (AO) through the implementation of policies, procedures and plans that regulate the daily operations and compliance with federal and state regulations to support the contractual objectives established by NSF.

The principle objective of this plan by the AOMT and the Facility Operations and Maintenance Director is providing the resource management and document configuration control infrastructure that guarantees the reliable implementation of the Hazard Communication Program AO-EHS-01.

The EH&S Manager plays a key role in the execution of the work orders required to comply with the EH&S Plan components.

The security and reliability governing program documents are provided by storing the documents at the AO YEI Configuration Management File Server accessible by authorized personnel only.

1.0 PURPOSE

To set forth the procedures for Institutional control of keys and to provide procedures for requesting keys. To ensure that the security of the Arecibo Observatory is maintained through strict accountability for keys issued.

2.0 RESPONSIBLE PARTIES:

- Arecibo Observatory Director
- Key Control Persons

3.0 SCOPE

This procedure applies to all staff and visitors from the Arecibo Observatory. (UCF, Yang Enterprises and UAGM)

4.0 DEFINITIONS

Designated Key Control Persons (DKCs) - The DKC will administer the department's key control program by preparing key related forms, issuing, tracking, transferring, and retrieving keys, performing periodic audits of the department's key control program.

Great Grand Master Keys (GGM): the key will allow access to all areas of the Arecibo Observatory. The issuance of the Great Grand Master's keys will be strictly controlled to maintain security throughout the Observatory. The issuance of these keys will be based on a demonstrable need and justification due to the wide access provided by the key.

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The loss or theft of this key, which allows access to all areas of the OA, would seriously undermine the security of this facility.

Master keys - key will allow access to a building or area of a specific department. The issuance of master keys will be strictly controlled and based on a demonstrable need and justification due to the wide access provided by the key. The loss or theft of this key, although it is not as serious as that of the GGM, entails great security implications

Operating Key - Key will permit access to a specific room only. Issuance of these keys should be based on a need to access a specific room only.

5.0 RESPONSIBILITIES

A. AO Director - Responsibilities include:

- a. Approve the Key Control Policy and make changes to the procedure in the future as needed.
- b. Screening Key Level 1 and 3 Requests; the Director's approval of these requests must be noted on the Key Request/Return Form as a prerequisite to Work Control Administration completing a Work Request to Locksmith Services.
- c. In the case of a lost key; review lost key reports, and in conjunction with DKC and the affected Department Head, determine if a rekey of the affected area is required. AO Director has final decision-making authority in determining if a rekey is needed. The Department, whose employee lost the key, will be responsible for the cost associated with the rekey.

B. Department Heads -Department Heads are ultimately responsible for the control of keys issued to personnel in their departments. This includes:

- a. Tracking and documenting key issuances, returns, and custody transfers
- b. Documenting and reporting all instances of lost or stolen keys
- c. Supervising periodic key audits.
- d. In the case of a lost key, fill the lost key report, and submit to DCK.

C. Key Control Persons (DKCs) – Is responsible to maintain current and accurate records of all Level keys and locks at the AO.

- a. Request the creation of the keys in accordance with properly approved Key Request Forms.
- b. Create and maintain a coding system that provides security and reasonable access to the departments of the AO.
- c. Maintain a secure file area accessible only to Purchasing/Procurement Support Specialist personnel for original keys furnished with all new buildings, additions, or renovations.

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- d. Conduct and support key audits; issue periodic reports as required.
 - e. Perform all maintenance and repair of locking systems.
 - f. Provide advice and counsel regarding the potential ramifications of lost or stolen keys and decisions to rekey.
 - g. All keys not issued to a specific employee must be appropriately secured in a locked cabinet or safe.
- D. Individuals with Grand Master Keys - Responsibilities include:
- a. Keys must be locked in a secure location when not in use and at the end of each workday.
 - b. Keys are not to be taken off-site.
 - c. When in use, keys must be attached to the user (belt hook, wrist strap, etc.).
 - d. The security personnel can open an area with the appropriate justification.
- E. Individual Key Holders - Responsibilities include:
- a. Safeguard the keys assigned to them from theft, loss, or unauthorized use.
 - b. Promptly report theft, loss or unauthorized use of those keys to the Department DKC.

6.0 KEY BASICS

- All AO employees will be assured access to their workspace. In most cases keys will be issued directly to employees. As key holders, individuals will assume responsibility for the safekeeping and eventual return of AO keys.
- Department Heads/DKC are responsible to ensure that keys are returned by their employees upon transfer or termination of employment with the AO or when the need for the key no longer exists. Department Heads are also responsible for notifying DKC to enable a record update.
- Lost, stolen, or unreturned keys will not be replaced until a report has been filed and a Lost, Stolen or Unreturned Form is on file with DKC. If replacement keys are required, an approved Key Request Form will be needed.
- The following amount will be charged to the employee when keys are lost:
\$100.00

7.0 KEY FORMS

1. Key Request Form – Used to request keys from DKC. (appendix 1)

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2. Key Return Form –Used to return keys to DKC. (appendix 2)
3. Lost, Stolen, or Unreturned Key Form - Used to report lost, stolen, or unreturned keys to DKC. (appendix 3)
4. Acknowledgment of receipt (appendix 4)
5. Key Tracking Log – used by Designated Key Control persons to track keys within their respective departments. (appendix 5)
6. Broken or Damaged Keys - If a key is broken, damaged, or otherwise defective, the key (or pieces) must be returned to DKC. DKC will arrange for a replacement key. There is no charge for replacing a broken, damaged, or defective key.
7. Key Audit Letter – Prepared by DKC and issued to departments to initiate the biennial key audit.

8.0 KEY AUDITS

- DKC will initiate a Annual Key Audit. The Department Head will verify possession of the keys and provide DKC with written verification of its key inventory within 30 days of receipt of the Audit notice.
- Any discrepancies between DKC records and actual inventory will be reviewed and reconciled by the responsible Department Head. No additional keys will be issued to a Department if its Audit results have not been received by DKC within the 30 days allotted for the audit.

9.0 KEY ISSUANCE

- Requests for keys must be submitted to DKC using the Key Request Form.
- Submit a Key Return Form for keys that are no longer needed by the individual to whom they were assigned shall be returned to the issuing DKC.
- Report lost, stolen, or unreturned keys immediately through the responsible Department Head via the Lost, Stolen, or Unreturned Key Form.

10.0 KEY EXCEPTION CASES – LOCK EXCEPTIONS CASES

- Some areas have their own locks that do not belong to the key system, any padlock that is purchased personally or through a purchase order must be authorized and approved by AO Director.
- A copy of the key should be retained for inspection purposes or audits.
- A log of how many padlocks approved should be kept, and location as to where they are placed must be noted.



- There may be “Exceptional Cases” where there should be only one key and must not be duplicated, in this case a note will be made in the Log explaining the reasons, why there should not be a duplicate of the key.
- If a lock is approved under the “Exceptional Cases criteria” the persons who will have access to the key must be registered in the Log. Refer to: **Appendix E – Personal Keys and Locks Log**
- If at any time a lock is found to be in use that is NOT approved, the AOMT may notify the manager of the area and have the lock removed. If a lock is removed for this reason a report should be filed indicating the time, place, area, and lock that was removed and by whom.



APPENDIX A – KEY REQUEST FORM



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AO KEY REQUEST FORM

1. Please submit the original form to Key Coordinator. Incomplete forms including improper authorization will not be processed.
2. Once the request is approved, applicant will be contacted when the key(s) is / are ready for pick up.
3. All key requests must be approved by AO Director. Key Coordinator will issue the appropriate key(s).
4. AO Director has the right to reject any key requests that are unnecessary.

Requestor Information

<i>Last Name</i>	<i>First Name</i>	<i>Department</i>
<i>Employee Number</i>	<i>Office Extension</i>	<i>Email:</i>

Request Type		New Hire
		Door Re-Key
		Office Move
		Replacement
		For Broken Key
		Lost/Stolen Key

Building Access			Office Use Only
Building #	Office #	Key amount	Key Code #
Building #	Office #	Key amount	Key Code #
Building #	Office #	Key amount	Key Code #

Authorization

All key requests MUST be approved by Head Department and AO Director.

Head Department:

<i>Name:</i>	<i>Date Approved/Denied</i>
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AO Director:

<i>Name:</i>	<i>Date Approved/Denied</i>
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AO KEY REQUEST FORM

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APPENDIX B – KEY TRACKING LOG



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AO KEY TRACKING LOG

Name	Location	No. Keys	Key ID	Date Out	Date Returned	Signature



AO KEY TRACKING LOG

Name	Location	No. Keys	Key ID	Date Out	Date Returned	Signature



APPENDIX C – KEY RECIEPT



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AO KEY RECEIPT

Date: _____ **TIME:** _____

TO: _____

FROM: _____

ATTACHED FOR CORRESPONDING ACTION (DESCRIBE AND DETAIL):

RECEIVED BY: _____

DELIVERED BY: _____



AO KEY RECEIPT

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APPENDIX D – LOST/STOLEN KEY FORM



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AO LOST/STOLEN KEY

Instructions

1. Submit this form to report lost, stolen, or unreturned keys to Key Coordinator.
2. The responsible Key Holder shall complete this form and return it to Key Coordinator.
3. Department Head signature is required to acknowledge lost or stolen keys.

Report Date: _____

Report Time: _____

Last Name _____

First Name _____

Department _____

Name of Person Making Report (If different than key holder):

I am reporting: Lost Stolen Un-returned keys
 belonging to Arecibo Observatory.

On Date _____

at/between the times of _____

Key Type (check all that apply)

Grand Master
 Building

Sub Master
 Individual Room/Office

List Lost, Stolen or Unreturned keys

Key Number	Key Code	Replacement Key Required			Key cost
		<input type="checkbox"/>	YES	<input type="checkbox"/>	NO
		<input type="checkbox"/>	YES	<input type="checkbox"/>	NO
		<input type="checkbox"/>	YES	<input type="checkbox"/>	NO
		<input type="checkbox"/>	YES	<input type="checkbox"/>	NO

 Individual Key Holder

 Date

 Department Head Signature

 Date



AO LOST/STOLEN KEY

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APPENDIX E – PERSONAL KEYS AND LOCKS LOG



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AO PERSONAL KEYS & LOCKS LOG

Name	Location	No. Keys	Key ID	Lock	Notes	Signature



REFERENCE DOCUMENTS

THE FOLLOWING DOCUMENTS ARE REFERENCED IN THIS PLAN:

DOCUMENT NUMBER	TITLE



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