

SUBJECT: Fare Collection System Key Control Policy		REVISED DATE:	
SCOPE: All Employees		POLICY NUMBER:	
General Manager:		Department Head:	
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PURPOSE

The purpose of this Key Control Policy and Procedure is to provide the framework by which all fare collection system keys and probing card along with access credentials will be managed, issued, stored, controlled, returned, replaced, and accounted for by the CONTRACTOR.

POLICY

This policy shall apply to all keys which are utilized in the operation of handling the fare collection system and Transit Facility offices. This policy will be considered a live document requiring at a minimum of monthly review to ensure accuracy and compliance. Changes will be made to the policy as necessary and applicable.

The Key Control Policy should pertain to two parties, they are:

- Key Control Authority (KCA)
- Key Holder

Each of the levels of Authority are describe in detail below -

Key Control Authorities (KCA)

The KCA comprises the person, persons, department, or committee that has authority to adopt, administer, and enforce this Key Control Policy. To enforce effective key control, the KCA may, if necessary, choose to charge a fee for lost, stolen or damaged keys to recover costs associated with replacement keys, re-keying locks or fare box devices.

The Key Control Authority Responsibilities:

- Implement, execute and enforce the key control policies and procedures.
- Issue and return keys with proper documentation, authorization, and transaction receipts, including a signed acknowledge form which indicates the individual who has been assigned a key understands this policy.
- Supervise, authorize, and control the security of keys, key storage and the key issuing process.
- Key records shall be kept current at all times and are to be considered high security and confidential.
- All transactions shall be recorded in a timely manner and all applicable forms are signed.

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- Standardized forms shall be used (see “Forms”).
- Keys and key blanks shall be stored in a locked cabinet or container, in a secured area.
- A key should be issued only to individuals who have a legitimate and official requirement for the key.
- All keys shall be returned and accounted for.
- Conduct periodic key audits to ensure appropriate accountability.
- Update Key Delegation form as needed.

Key holder Responsibilities:

- Understand that all keys shall remain the property of the City of Phoenix Public Transit.
- Key holders must ensure that keys are safeguarded and properly used.
- Keys that are no longer required for authorized purposes shall be returned immediately to the Key Control Authority.
- No person shall knowingly receive, borrow, or possess any key for any space without receiving permission from a person duly authorized to give permission to possess such key.
- No person shall knowingly alter, duplicate, copy, or make a facsimile of any key without receiving permission from the Key Control Authority.
- Key holders shall use assigned keys for access to authorized locks only.
- Key holders shall take measures to protect and safeguard any keys issued to them, in their name, or under their current control.
- Key holders shall not loan their key(s) to anyone without the direct authorization of the Key Control Authority.
- Key holders shall not use their key(s) to grant access to non-authorized individuals.
- Key holders shall immediately report any lost, missing, stolen or damaged keys.
- Persons entering locked buildings or spaces are responsible for re-securing all doors and shall not prop open any doors.
- Individuals shall not store keys in desk drawers or other unsecured areas.
- Keyholders must sign an acknowledgement that states they have read and understand the **Fare Collection System Key Control Policy**.

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PROCEDURE:

Key Issuance

- KCA receive keys from the City of Phoenix, Public Transit division. Keys are requested from or returned to the City using the City provide forms.
- KCA, provides keys for daily assignment
- KCA must insure
 - All keys issued must be accompanied by a signed key holder agreement.
 - Required signature(s) on key holder agreement include: Signature of key holder, authorizer (supervisor or manager requesting access for employee), and Key Control Manager or designee.
 - Keys must be personally picked up, not mailed. If necessary, keys may be delivered by courier or other return-receipt-required certified carrier.
 - Keys shall be individually serialized or numbered.
 - Individuals may be issued only one copy of each keyset.
- The KCA shall establish key issuance authorization levels determined by the type of key. The general rule shall be that an authorizer may only approve keys for spaces directly under his/her control. In some cases, more than one authorizer may be required.
- All keys should be tracked with a return due date and time, especially temporary issue keys. A tracking spreadsheet shall be used to manage this process.
- Shift keys or rings shall be returned at the end of every work shift, except for those authorized to keep a key on their person at all times. Positions would include Farebox Technician and Electronic Technician only.
- Shift key rings shall be sealed and tamper evident.

Returning Keys

- All keys shall be returned to the issuing department by the authorized key holder.
- When keys are returned, any key deposit will be refunded and a key return receipt shall be issued to the key holder.
- Found keys must be turned into the KCA.
- A fee or consequence for lost or stolen keys may be established.
- All re-keying charges must be paid by the CONTRACTOR responsible for losing the key. Rekeying charges shall be determined by the number of locks operated by the lost or stolen key(s).

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Audits

- On at least an annual basis, the KCA will determine that the proper accountability of keys is being maintained by conducting random key checks.

Forms

- Forms will be used for the issuance of keys, key return, and for a lost/stolen key report.
- The following basic information should be included on each form:
 - Key holder name, address, employee ID and department name.
 - Signature of key holder and date.
 - Key identification to include serial numbers, key numbers and probing card serial numbers.
 - Location where key(s) are needed.
 - Type of transaction; issue, return, lost or stolen, or lock opening request.
 - Authorization signature(s).
 - Date of specific transaction(s).
- Sample Forms attached.

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I _____, have read and understand and acknowledge receipt of the **Fare Collection System Key Control Policy** in its entirety. I also understand that, as a key holder, I am held to the responsibilities as to which the policy addresses and will be held accountable if any of these policies are violated.

Employee Name & Signature

Date

Manager's Signature

Date

Exhibit A

Key Delegation

Below is a complete listing of all individuals identified as having a legitimate and official requirement for the key and/or probing card. The list identifies the individual, the individual's title, and a short description of the individuals' duties requiring possession/use of the key/probing card. If any changes, modification or deletions are required; this Exhibit will be change to reflect these changes within a week of the date the change was made.

KEY CONTROL AUTHORITIES:

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Operations Division Information:

Type of Keys Required

Names of Individuals that may be assigned keys

Maintenance Division Information:

Type of Keys required

- Probe Cards
- Key for vault exchange
- Farebox Keys

Duties

- Probing of bus fareboxes on a nightly basis.
- Provide access to vault room to allow for the exchange of vaults often required during nightly probing.
- Resolve farebox problems in the yard or out in the field.

Names of Individuals that may be assigned keys by the Assistant General Manager

KEY REQUEST FORM

I _____ acknowledge that I have received the following key:
(Printed Name of Key holder)

TYPE OF KEY:

___ Farebox Master ___ Cash Box Door ___ Ticket Door ___ PC/PP ___ Probing Key

KEY NUMBER: _____

KEY SERIAL NUMBER: _____

PROBING CARD NUMBER _____

Key Issue Agreement: In return for the loan of this key, I agree: 1) not to give or loan the key to others; 2) not to make any attempts to copy, alter, duplicate, or reproduce the key; 3) to use the key for authorized purposes only; 4) to safeguard and store the key securely; 5) to immediately report any lost or stolen keys; 6) produce or surrender the key upon official request. I also agree that if the key is lost, stolen, or not surrendered when requested a charge that reflects the cost of changing any and all locks affected may be assessed.

By signing below, the key holder agrees to the terms of this agreement.

EMPLOYEE:

Key received by: _____ Date: _____
(Printed Name)

(Signature)

KEY CONTROL MANAGER:

Key issued by: _____ Date: _____
(Printed Name)

(Signature)

KEY RETURN RECEIPT

I _____ acknowledge that I have received the following key(s):
(Printed Name of Key holder)

TYPE OF KEY:

___ Farebox Master ___ Cash Box Door ___ Ticket Door ___ PC/PP ___ Probing Key

KEY NUMBER: _____

KEY SERIAL NUMBER: _____

PROBING CARD NUMBER _____

EMPLOYEE:

Key(s) returned by: _____ Date: _____
(Printed Name)

(Signature)

KEY CONTROL MANAGER:

Key received by:

_____ Date: _____
(Printed Name)

(Signature)

