

# York University

## *Access Control*

# Program Framework

# York University Access Control Program Framework

## 1.0 Background: The Purpose and Goals of Access Control

York University strives to promote a safe and secure environment for its core teaching, learning and research functions that also supports a vibrant and dynamic campus life and a diversity of community needs.

The purpose of York's Access Control program is to secure the property and assets of the University from theft or damage and to maximize the safety of members of the York community, while providing convenient access to University property for those legitimately requiring it.

The goals of the Program are to ensure that:

- the appropriate level of access control using appropriate mechanisms and technology are provided for all University buildings and assets;
- access control is provided comprehensively and consistently across the campuses and meets community needs;
- access control installations and ongoing maintenance of access control systems are delivered in the most effective manner;
- access control costs are allocated in a fair and consistent manner, but that levels of access control are based on clear criteria;
- appropriate control of keys and access cards exists to protect the overall integrity of the Access Control program; and
- an overall framework is in place for the ongoing management of access control that establishes institutional standards and sets forth responsibility and accountability at appropriate levels.

## 2.0 Definitions

Key is a device inserted into a lock that allows the lock to be disengaged mechanically, thereby permitting access to a building or interior area that is otherwise locked.

Access Control System refers to locking system that is hard-wired, consists of hardware and software, and stores information in two places, in a computer server and in a local control panel.

Card Activated Locking Mechanism refers to a stand-alone programmable locking device that requires power to operate (wired or battery), is activated by a card with a magnetic stripe, and may have a key override.

Access Card, Card Key, Access Key Fob are examples of items used to disengage an access control locking mechanism, thereby permitting access to a building or interior area that is otherwise locked.

Designated Authority is the functional responsibility held by the full-time employee designated by the head of the Faculty, department or operating unit to be responsible for authorizing access to buildings or interior spaces controlled by the Faculty, department or operating unit. The Designated Authority holds oversight responsibility and accountability for Key Coordinator and Access Card Coordinator functions.

Key Coordinator is the functional responsibility held by a full-time employee in the Faculty, department or operating unit assigned responsibilities of key control, requisition, distribution, retrieval and record keeping within the Faculty or operating unit.

Access Card Coordinator is the functional responsibility held by a full-time employee in the Faculty, department or operating unit assigned responsibilities of coordinating access card requirements of students and employees in the unit, including card distribution and recovery, IT system requirements, etc.

### **3.0 Standards**

Standards and procedures shall be established to guide the installation and maintenance of mechanical and other locking systems as well as access control systems in all York University buildings. These shall address fixtures, structural, electrical and other requirements and stipulate that all installations on York University property comply with all applicable University policies; municipal, provincial and federal laws, standards and codes. The Department of Facilities Services shall be responsible for establishing such standards and procedures that support the purpose and goals of the Access Control Program. All new construction and renovations to existing space will conform to these standards, which shall be applicable until modified by the University or rescinded.

### **4.0 Responsibility and Authority**

The Vice-President Finance and Administration shall be responsible for prescribing the University's standards and procedures for the control of interior building spaces.

#### Security Services

The functional responsibility for leading and overseeing the University-wide management of building access control shall reside with Security Services, which reports through the Assistant Vice-President Campus Services and Business Operations to the Vice-President Finance and Administration. Security Services shall:

- Maintain current records of the person designated to be responsible for access management and key control in every Faculty, department or operating unit;
- Ensure that a common template for managing key control processes (e.g., issuance, collection, inventory, security, record-keeping, etc.) is implemented by every Faculty, department or operating unit;
- Have responsibility for perimeter security arrangements for all campus buildings;
- Provide direction and central coordination of IT support for access control systems and access card distribution; and
- Undertake periodic audits to monitor for effectiveness and compliance.

Security Services shall hold the authority to activate access cards (card keys or fobs) and to delegate this authority, as required or appropriate, by setting up restricted local capabilities in the Faculty, department or operating unit to issue cards (card keys or fobs) and program access.

The Director, Security Services is the designated security expert and approval authority in all security installations on University property, including locks and keys, access control systems, video surveillance and alarms systems, etc. The authority for approving access to more than one building on the same access card, card key or access key fob shall be the Director, Security Services.

### Facilities Services

The Department of Facilities Services, which reports through the Assistant Vice-President Facilities Services to the Vice-President Finance and Administration, has overarching custodial responsibility for the physical upkeep, maintenance and servicing of all aspects of University plant, including interior building spaces. Facilities Services has the authority to access all interior areas for the purposes of fulfilling this overarching responsibility and to the extent necessary to do so, liaises with occupant units and Security Services.

The Department of Facilities Services shall be responsible for all physical installations in University buildings that restrict access to locked space. This includes, but is not limited to doors, frames, locks, keys, door and frame hardwares, electrical and fibre optic cabling, and access control hardware and devices (e.g., proximity reader, electronic strike, door contacts/magnets, electronic latches, power transfer hinge, motion sensor, etc.).

The Maintenance Section within Facilities Services shall be responsible for central key production, issue, control of master keys, and distribution of regular/change keys to University Faculties, departments and operating units. Maintenance shall keep up-to-date records of:

- Great Grand Master (GGM), Grand Master (GMK), Master Key (MK) and/or Sub-Master (SM) key holders across the University;
- Keys manufactured for and given to Faculties, departments and offices to control.

The Director of Maintenance (or equivalent/designate) shall monitor the issuing of master keys and shall, from time to time, but not less than once a year, undertake an audit of all master key types (GGM, GMK, and SM), including those held by Facilities Services, Security Services and the University's Instructional Technology Centre, and shall provide the audit report to the Director, Security Services.

### Faculty, Department or Operating Unit

Responsibility and accountability for the control of interior building spaces and providing access to those spaces rests with the Faculty, department or operating unit that has been assigned those spaces through the University's formal process of space planning and allocation. The Faculty, department or operating unit shall undertake this "control" in compliance with standards and procedures established by the University.

Within the Faculty, department or operating unit, there shall be a "designated authority" charged with the functional responsibility of access management and key control. The Faculty, department or operating unit shall be responsible for maintaining detailed records of names of individuals who are key holders and the specific keys being held. The Faculty, department or

operating unit shall also be responsible for maintaining records of those to whom access has been provided through the issue of an access card, card key or access key fob.

## **5.0 Compliance with Technical Standards**

No area of the University shall be secured except by a locking device authorized by the Department of Facilities Services.

## **6.0 Designated Authorities**

A Designated Authority shall be named in every Faculty, department or operating unit to have overall responsibility for access management and key control. The Designated Authority has the authority to request changes to locks, is responsible for deciding who gets access and ensures the Key Coordinator and Access Card Coordinator functions are enacted, as applicable.

The **Key Coordinator** function includes the following:

- Approves the issue of regular change keys for doors.
- Submits requests to the Department of Facilities Services for keys to be manufactured.
- Receives and issues keys.
- Maintains local records of key holders and key inventories, in accordance with the format or template prescribed by Security Services.
- Retrieves keys.
- Administers/coordinates keys for desks, cabinets, display cases, etc. in the Faculty, department or operating unit.
- As a matter of operational policy, undertakes an annual audit of keys controlled by the Faculty, department or operating unit.

The **Access Card Coordinator** function includes the following:

- Approves requests for access cards, card keys or access key fobs for employees.
- Coordinates access needs of students and other constituents, and liaises with Security Services in regard to card issue and recovery, and IT system requirements.
- Issues and retrieves access cards locally, as appropriate or required.

## **7.0 Control and Distribution of Keys and Access Cards**

Control and distribution shall be managed through a coordinated, multi-level system. The institutional key control function resides with Security Services in the Department of Campus Services and Business Operations, which shall establish operating procedures relative to the issuing of keys. Local key and card access control is managed by the Designated Authority of the Faculty, department or operating unit (with Security Services facilitating IT and card issue service for access cards, as required).

The framework for controlling and authorizing the issuance of keys and access cards, card keys or access key fobs is presented in the chart below.

Keys

Normally, a Sub-Master or Grand Master key shall be issued only to those persons who require access to space as part of their University responsibilities and where the issuance of multiple change keys, sub-masters or masters would be impractical.

Access Cards

As with keys, access to multiple doors to offices, facilities or buildings shall be programmed only on access cards (or card keys or access key fobs) held by those persons whose University responsibilities require it and where the issuance of multiple cards would be impractical or redundant.

<u>Key</u>	<u>Use</u>	<u>Holder</u>	<u>Authority</u>
Great Grand Master Key (GGMK)	Campus Buildings	Security, Fire Marshall, Locksmith, AVP Facilities Services, Director Maintenance, Occupational Health & Safety	AVP Facilities Services and Director Maintenance
Grand Master Key (GMK)	Internal Building Master Key	Facilities Services, Dean, Executive Officer, College Master, Facilities Manager,	Designated Authority of Faculty or department
Building Entrance Key	Exterior building door key (change key)	Facilities Services, Dean, Executive Officer, College Master, Facilities Manager, staff, faculty, students	Designated Authority of Faculty, department
Sub-Master Key(SMK)	Limited use, but where absolutely required; opens a section of a building	Department Chair, Admin. Assistant.	Designated Authority of Faculty or department
Change (or 'regular') Keys	Individual doors or set of doors keyed alike	Faculty, staff, graduate students, others	Designated Authority of Faculty, department or operating unit

<i><u>Access Level (Card or Fob)</u></i>	<i><u>Use</u></i>	<i><u>Holder</u></i>	<i><u>Authority</u></i>
Campus - Wide door access (equivalent to GGМК)	Campus-Wide	Security, Fire Marshall, Locksmith, Vice-President Finance & Admin	AVP Facilities Services and Director Maintenance
Sub-Campus wide door access	Several Buildings in various Faculties	Facilities Services	Director Security and Director Maintenance
Building or Faculty master door access (equivalent to GМК)	Large Building or Several Buildings in a Faculty	Facilities Services, Dean, Facilities Manager	Director Maintenance
Building or Faculty sub - master door access (equivalent to МК)	Building	Facilities Services, Dean, Executive Officer, Facilities Manager	Designated Authority of Faculty or department
Department or unit door access (equivalent to SМК)	Department or Unit within a Building	Department Chair, Admin. Assistant.	Designated Authority Keys of Faculty, department or operating unit
Door Access (equivalent to change keys)	Individual doors or set of doors coded alike	Faculty, staff, visitors, contractors	Designated Authority of Faculty, department or operating unit
Perimeter Access	Entrance doors only	Faculty, staff, others approved by an Access Card Coordinator	Designated Authority of Faculty, department or operating unit

### Record Keeping

A record of approval for each key and access card issued shall be maintained by the authority giving approval in a format consistent with the record keeping procedures established by Security Services.

### Key and Access Card Retrieval

The immediate supervisor shall be responsible for ensuring that keys and access cards are returned to the Designated Authority (or Key Coordinator or Card Access Coordinator) when it is no longer appropriate for a person to possess them. Access provided through an access card (or card key or access key fob) should be blocked systematically as early as possible (e.g., date of employee departure or transfer, end of the academic session of appointment or enrolment, etc.).

### Procedure for Lost or Stolen Keys or Cards

A lost or stolen key or access card shall be reported to Security Services who shall prepare an Incident Report to document the loss.

The Designated Authority of the Faculty, department or operating unit that issued the key shall be notified and shall decide about key replacement or possible lock/cylinder change. Facilities Services and the Designated Authority shall together determine appropriate action should any type of master key be lost or stolen.

Security Services shall, as early as possible, arrange to block systematically all building access programmed on an access card (or card key or access key fob) that has been reported lost or stolen by the owner.

#### Procedure for Replacing Keys and Cards

Requests to replace keys shall be directed to the Designated Authority (or Key Coordinator) of the Faculty, department or operating unit.

Any level of master key reported to be broken or damaged shall be replaced by Facilities Services only upon written request by the Designated Authority (or Key Coordinator) with damaged or broken pieces returned.

Security Services shall re-issue a lost, stolen, damaged or non-functioning access card (or card key or access key fob) normally the first working day after the identity of the holder has been validated. The cost of replacement of a lost, stolen or willfully damaged card (or card key or access key fob) will be borne by the holder. There will be no charge for replacing defective or non-functioning cards or devices.

#### Repair of Locks, Keys, Card Readers, Door Hardware

The Maintenance Section of the Department of Facilities Services shall be solely responsible for repairs or modifications to locks, doors and associated hardwares. Only technicians authorized by the Department of Facilities Services may repair or replace any portion of an access control system. All calls for assistance should be directed to Maintenance at extension -22401 during University business hours and to Security Services at extension -33333 evenings and on weekends.

#### Facilities Services Staff

The Department of Facilities Services shall establish strict internal standard operating procedures that restrict the use of University building keys to times and purposes related to the Department's overarching custodial responsibility for the physical upkeep, maintenance and servicing of interior building spaces. Permanent assignment of keys to Facilities Services staff shall be made only in cases of demonstrated need for operating, safety and security reasons.

#### Outside Contractors

Contractors who require keys or access cards to do work on campus will make arrangements through the Project Coordinator or Maintenance Supervisor who hired them. A master key shall not be issued to a contractor unless warranted by exceptional circumstances and authorized by the Director, Security Services who shall arrange close scrutiny of its use until returned; and only where a release form has been signed by the contractor to deduct funds from its contract to cover the cost of re-keying the building or part of the building if the key is lost or stolen. The Project Coordinator in charge of the work shall be responsible for securing this signed document, copies of which shall be provided to the Director of Maintenance and the Director, Security Services.

Where an access card is required, the Coordinator or Supervisor shall make arrangements with Security Services and shall provide a precise schedule of dates and times for activation and de-activation.

## **8.0 Procedure for Installations of Mechanical Lock-sets, Card Access Systems and Card Activated Locking Mechanisms**

### New Construction

The types of mechanical lock or electronic or other access control systems to be included in new buildings are determined during the planning stages of a capital project. The Planning Section of the Department of Facilities Services, which develops these plans and is represented on all Project User Committees, shall work with the users group to determine requirements and shall consult with and seek approval from the Director, Security Services in developing these aspects of the building program.

### Renovation / Existing Facilities

The Planning Section of the Department of Facilities Services also creates all plans for renovations and alterations that are either developed institutionally or requested by Faculties, departments or operating units. Facilities Planning shall consult with and seek approval from the Director, Security Services in each situation where an electronic or other access control system or mechanism is being included in a renovation of or alteration to an existing facility. For mechanical lock-sets, Facilities Planning shall consult with and seek approval from the Director of Maintenance who provides written authorization with specifications to the lock manufacturer.

### *Cost Attribution*

In either new construction or a renovation or alteration to existing building space, the types of mechanical lock or electronic or other access control systems shall be determined by the client/users and planners in the context of project scope and budget, with sign-off by the parties in advance of the project being initiated.

A Faculty, department or operating unit seeking an installation of an electronic or other access control system to replace a mechanical lock system shall do so as a service request to the Department of Facilities Services. The procedure outlined above shall be followed, including consultation with the Director, Security Services.

With the exception of revenue-generating ancillary operations, responsibility for funding ongoing repairs and maintenance of mechanical lock or electronic or other access control systems – including component parts, related doors, fixtures, etc – that are the result of failure due to normal wear-and-tear, manufacturer defect, or vandalism shall reside with the Department of Facilities Services. Within this context, Facilities Services shall establish a guideline for the occasional supply of a limited number of keys to Faculties, departments and operating units that allows for replacement.