DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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NSTCINST 5530.2
N4
22 Aug 18

NSTC INSTRUCTION 5530.2

From: Commander, Naval Service Training Command

Subj: KEY AND LOCK CONTROL PROGRAM

Ref: (a) OPNAVINST 5530.14E
        (b) NASPNCLAINST 5500.1H
        (c) DOD UG-2040-SHR of December 2000
        (d) SECNAV M-5510.36
        (e) NSTCINST 3300.1A

1. Purpose. To establish procedures for issuance and safekeeping of official keys and locks within the Naval Service Training Command (NSTC) Headquarters (HQ), in accordance with references (a) through (e).

2. Cancellation. NSTCINST 5530.1.

3. Scope. This instruction applies to all NSTC Great Lakes staff, occupants of Building 1. Not included in this program are keys, locks, and padlocks for convenience, privacy, administrative, or personal use.

4. Duties and Responsibilities

    a. NSTC will designate in writing a NSTC Key Custodian (KC) who is responsible for managing the NSTC Key and Lock program.

    b. The NSTC KC is responsible for all official key and lock functions for Building 1. The NSTC KC is designated in writing by Commander NSTC, NSTC Executive Director, or Chief of Staff and shall:

        (1) Report to the NSTC Antiterrorism Officer for direction and implementation of NSTC's key and lock program to ensure compliance with this and other applicable instructions.

        (2) Maintain a master listing of all official keys and locks assigned to Building 1.

(3) Conduct an annual inventory, or upon assignment of a new NSTC N4 or KC of all keys. If the inventory is being conducted because of a change in KC, the incoming and outgoing KCs are required to conduct the inventory to ensure 100 percent accountability of all keys in the register. A copy of the completed inventory report will be provided to NSTC N4 and the NSTC Antiterrorism Officer (ATO).

(4) Maintain a Key Control Log and Key Issue Record for all keys and locks issued to personnel assigned to Building 1.

(5) Maintain a listing of personnel authorized access to specific spaces. In the event the key holder is not available to open the space, the NSTC KC will use the access list to determine who can be temporarily issued a key to open the space. Whenever a key is temporarily issued, the key shall be logged out to ensure accountability is maintained.

(6) Process all requests for manufacturing of duplicate keys, subsets of keys, and key and lock repair requests. Requests will be submitted to NSTC N4 through the designated Request for Manufacture of Key Form.

c. Command Personnel

(1) Personnel issued keys or locks are responsible for their safekeeping and accountability until they are returned. To avoid unauthorized access, no key or lock will be left unattended or unsecured at any time.

(2) The Flag Duty Officer (FDO) will account for all keys placed under his/her control using the NSTC Key inventory list.

5. Key Procedures. Key and lock controls will be administered in accordance with the following provisions:

a. All keys will be assigned a unique alphanumeric or numeric code for identification purposes. The code will be stamped or engraved into the key bow (part that is held when turning). The code assigned to each key will be recorded on a NSTC Key Inventory Log. The key inventory log will not be stowed in key repositories with the keys and/or locks identified thereon.

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b. Keys maintained in key repositories will be tagged. The tag will be marked with a number that indicates its proper location within the key repository.

c. A key ring holding several keys may be issued as a unit. In these instances, each key ring will be individually identified with a permanently coded tag (stamped or engraved). The ring will be brazed or welded to prevent the removal or transfer of keys or tags.

d. Keys and key rings will NOT be marked with any identifier that will reveal the lock(s) or location to which they belong.

e. A Building 1 master key or grand master key will be provided to the installation security department and first responders for emergency use only.

6. Requests for repair of locks. Repairs will be handled via work request to the NSTC N4.

7. Lock Rotation and Maintenance. Padlocks and removable lock cores shall be rotated from one location to another within the same level areas of protection (e.g., Level Two area locks and cores stay within Level Two areas, etc.) at least annually. All other locks will be rotated on an as-needed basis (e.g., lost/missing key, etc.) Rotation is accomplished to guard against the use of illegally duplicated keys and to afford the opportunity for regular maintenance to avoid lockouts or security violations due to malfunction because of dirt, corrosion, and wear.

8. Padlock In-Use. When a door or other equipment that the padlock is intended to secure is open or operable, the padlock will be locked into the staple, fence fabric, or other nearby securing point to preclude the switching of the padlock to facilitate unauthorized entry.

9. Lockouts. In accordance with reference (a), Security Force personnel, with the assistance of competent personnel, will investigate all lockouts involving restricted areas or buildings and determine if the failure of the locking device occurred because of a product failure or because of attempted or actual illegal entry.

10. Key Storage

    a. Key repositories shall be constructed of 18-20 gauge steel and have installed locking devices. They will be stowed in an area that provides a level of security equivalent to that provided to the assets being protected. Small repositories may be stowed in a General Services Administration approved container. However, when there is a requirement for a large repository, the repository will be firmly affixed to a bulkhead to prevent its easy removal.

    b. The key storage door will be closed and locked when not in use. The Key Control Log will be stowed in the repository or secure area controlled by the KC when not in use. No more than two repository door keys will be used for a repository.

    c. Keys issued for short-term use will be returned at the end of each watch or workday as applicable. The Key Control Logs will be reviewed prior to relieving or securing at the end of a watch, shift or workday to ensure proper accounting for all keys.

    d. Spare keys will be kept by the KC in the repository, and they will be marked in the same manner as the original key.

11. Key Issue

    a. Only the NSTC KC will issue keys. To maintain accountability control, key issue will be limited to only those persons with a bona fide requirement for key custody as approved by NSTC N4, their respective Special Assistant (SA), or Building 1 organizational leads for non-NSTC HQ staff. Sub custody of official keys is not authorized.

    b. The respective SA, or Building 1 organizational lead for non-NSTC HQ staff, will submit an official request to the NSTC KC that serves as their approval for an individual's access. Convenience, status, or the mere authorization for access to an area IS NOT sufficient criteria for issuance of a key. SAs and other Building 1 organizational leads for non-NSTC HQ staff will implement additional control measures as required to ensure key issue requirements for specific assets in their charge are met.

c. All issue and receipt of keys will be recorded. All issued keys will be inventoried as part of required inventories, and the KC will maintain all records for three years or until the next Inspector General inspection.

12. Inventories. Inventories of keys will consist of a visual sighting of the repository and issued keys. Inventories will be recorded on NSTC Key Inventory List and will be conducted at the following intervals:

a. Quarterly. The NSTC KC will conduct a quarterly inventory of custodial and sub-custodial key accounts in accordance with reference (c) and forward the inventory report to NSTC N4. The report will be generated by the NSTC KC the week of 15th of March, June, September, and December. The report and results will be retained by the KC for three years.

c. Annually. Annual inspections will be conducted at the end of each fiscal year, and the results will be submitted in writing to the NSTC Chief of Staff (COS), NSTC N4, and the NSTC ATO. Annual inspection/inventory results will be retained for three years.

d. Watch-to-Watch. When circumstances require a custodial change of responsibility for a key(s) as a part of watch duties (i.e., FDO, etc.), appropriate entries will be made on the Flag Duty Log, designated for use with the specific key(s) involved. Entries in other logs (i.e., pass-down log) will be in accordance with applicable watch instructions. However, such entries will not negate the Key Control Log entry requirement.

e. Inventory Discrepancies. Unresolved key inventory discrepancies or problems will be immediately reported to the NSTC KC and NSTC N4. An appropriate level of investigation into the circumstances surrounding the discrepancy will be conducted, the results of which will be forwarded to the COS and NSTC ATO and will be maintained as a matter of record.

f. Lost, Stolen, or Damaged Keys. All lost, stolen, or damaged keys will be annotated on NSTC Key Inventory, and a Lost Key Report will be filed with the NSTC KC. When a key is considered stolen, an appropriate level investigation into the circumstances surrounding the discrepancy will be conducted, the results of which will be forwarded to the COS and NSTC ATO, and

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13. <u>Records Management</u>. Records created as a result of this instruction, regardless of media and format, must be managed per SECNAV Manual 5210.1 of January 2012.

14. <u>Forms Control</u>. The following forms are available by the NSTC KC or NSTC ATO:

   a.   NSTC Key Inventory Log

   b.   NSTC Key Issue Record

   c.   NSTC Key Access Log

15. <u>Records Management</u>. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

16. <u>Review and Effective Date</u>. Per OPNAVINST 5215.17A, NSTC will review this instruction annually on the anniversary of its effective date to ensure palpability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction.

                              M. D. BERNACCHI

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via the Naval Service Training Command issuance website,
http://www.netc.navy.mil/nstc/NSTC_Directives/instructions.html.