



DEPARTMENT OF THE NAVY

UNITED STATES NAVAL ACADEMY
ANNAPOLIS, MARYLAND 21402-5000

USNAINST 5530.3
4/SecOfcr

22 APR 1992

USNA INSTRUCTION 5530.3

From: Superintendent

Subj: KEY AND LOCK CONTROL PLAN

Ref: (a) DOD 5100.76-M
(b) OPNAVINST 5530.13A
(c) OPNAVINST 5530.14B
(d) OPNAVINST 5510.1H
(e) SECNAVINST 5720.42E
(f) Navy Lock and Key Control Guide (Ashore)

Encl: (1) Initial, Semiannual, or Annual Key & Lock Inventory (USNA-DMC-5500/36 (Rev. 03-92))
(2) Daily Key Issue Log (USNA-DMC-5500/37 (Rev. 03-92))
(3) Permanent Key Issue Log (USNA-DMC-5500/38 (Rev. 03-92))
(4) Monthly Show Inventories of Locks and Keys (USNA-DMC-5500/35 (Rev. 03-92))
(5) Approved Locking Devices

1. Purpose. To establish a key and lock control program for the Naval Academy per references (a), (b), (c), (d), (e), and (f).

2. Cancellation. USNAINST 5500.8.

3. Scope. Included in this plan are all keys, locks, padlocks, and locking devices used to protect or secure restricted areas and activity perimeters; security facilities; arms, ammunition and explosives (AA&E); storage facilities, critical assets; classified material and sensitive materials; computer hardware and software; and supplies. Approved locking devices for the protection of classified materials are specified in reference (d). Not included in this program are keys, locks, and padlocks for convenience, privacy, administrative, or personal use.

4. Definitions

a. Key Control Officer - Designated in writing by the Superintendent and is directly responsible for all security-related key control and lock control functions onboard the Naval Academy. Normally, the Key Control Officer is the Security Officer.

b. Key Custodian - Designated in writing by the Key Control Officer and is responsible for the direction and implementation of the command's key control program.

c. Key Sub-Custodians - Designated by their respective department heads or tenant commands and approved in writing by the Key Control Officer. Key Sub-Custodians are responsible for all keys assigned by the Department Head. All elements of a good key and lock program must be met by the Key Sub-Custodian.

d. Central Key Room - Location where duplicate keys, key blanks, padlocks (key and combination type), and key-making equipment will be stored. The central key room is currently located within Public Works Department, W/C 19.

e. Central Key Issue Room - A room designated within each department/division as a central key issue room where all keys will be maintained.

5. Procedures

a. Key Control. Key custodians and central key issue rooms will institute a program that indicates all keys on hand, keys issued, to whom, date and time such keys were issued and returned, as well as signatures and telephone numbers of persons drawing or returning security keys. Access to the central key issue room must be controlled, and the space must be secured when not in use. Duplicate keys will be provided for protection equivalent to the asset/area that the original keys are used to secure. Continuous accountability of keys is required at all times. The Key Custodian may have Key Sub-Custodians as operationally necessary to accomplish the mission. The name, department, and telephone number of the Key Sub-Custodian will be provided in writing to the Key Control Officer, Key Custodian, and Security Department. All forms (enclosures (1) through (4)) are to be used by each Key Sub-Custodian for key accountability and control. These forms are available in the Security Department. Completed key control registers shall be retained in unit files for a minimum of 90 days and then disposed of per established procedures in reference (e).

b. Criteria for Issuing Keys. Keys for security locks and padlocks must be issued only to those persons with a need approved by the Superintendent or Department Head in writing. Convenience or status is not sufficient criteria to issue a security key. Keys that are required to be issued (on a short term daily basis) to personnel for whatever authorized reason, will be required to be turned in before the end of the work day of issuance. Key custodians will contact the supervisor of the personnel who fail to return issued key(s). Certain categories of security assets have specific rules concerning the issue and control of keys affording access to them. The Key Custodian is responsible for enforcing rules for key issue as part of that person's function. Department Heads or tenant commands will authorize Key Sub-Custodians, in writing, for issue of any master key. Under no circumstances will a master, sub-master, AA&E, or sensitive material control key leave the Naval Academy Complex or remain with any person as routine during the day or overnight.

c. Key Duplication. All requests for duplication of keys will be approved in writing by the respective Department Head or authorized representative. Any keys that have been duplicated without proper approval will be investigated by the Security Department. Duplicated keys will be stamped "U.S. GOVERNMENT PROPERTY-DO NOT DUPLICATE."

d. Lost, Misplaced, or Stolen Keys. In the event of lost, misplaced, or stolen keys, the affected locks or cores to locks shall be replaced immediately. Replacement or reserve locks, cores, and keys shall be secured to preclude accessibility to unauthorized individuals. The Key Control Officer will be notified immediately by telephone by the Key Sub-Custodian in the event of lost, misplaced, or stolen keys of high-security locking devices.

e. Key Storage. When not attended or used, keys shall be secured in containers of at least 20-gauge steel, or material of equivalent strength, and equipped with a secondary padlock or a General Services Administration (GSA) approved, three-position, changeable combination lock, Model 8077A. Keys to arms storage buildings, rooms, racks, or containers may not be removed from the Naval Academy.

f. Key Control for AA&E

(1) Keys to AA&E storage buildings, rooms, racks, containers, and intrusion detection systems (IDSs), shall be maintained separately from other keys, and accessible only to those personnel whose official duties require access to them. A current roster of these personnel shall be kept within the section, branch, division, or department. The roster shall be protected from public view.

(2) When arms and ammunition are stored in the same areas, keys to those storage areas may be maintained together, but separately from other keys that do not pertain to AA&E storage. The number of keys shall be held to the minimum essential. Keys may not be left unattended or unsecured at any time. The use of a master key system is prohibited for AA&E storage.

(3) When individuals, such as duty officers, are charged with the responsibility of safeguarding or otherwise having keys immediately available, they shall sign for a sealed container of keys. When the sealed container of keys is transferred from one individual to another, the unbroken seal is evidence that the keys have not been disturbed. If the seal is found broken, an inventory of the container's contents will be conducted and the Key Control Officer will be notified immediately.

g. Vacated Buildings. When buildings, or portions thereof, are vacated, the keys will be delivered to the Public Works Department for retention. Upon reassignment of a building, the department or tenant command assigned custody may obtain the keys from the Public Works Department.

6. Locks and Seals

a. Locking Devices. Approved locking devices are listed in enclosure (5).

b. Rotation and Maintenance. High- and medium-security padlocks and lock cores will be rotated at least annually. This guards against the use of illegally duplicated keys and affords the opportunity for regular maintenance to avoid lock-outs or security violations due to malfunction caused by dirt, corrosion, and wear. The testing, inspection, and maintenance of all high- and medium-security padlocks and keys will be conducted annually by locksmith personnel.

(1) Maintenance, testing, and lubrication will be coordinated so as not to disrupt normal production/work schedules.

(2) All maintenance, testing, and lubrication will be performed using only approved procedures.

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c. Padlock In-Use Security. When the door, gate, or other equipment that the padlock is intended to secure is open or operable, the padlock will be locked into the staple, hasp, fence fabric, or other nearby securing point to preclude the switching of the padlock.

d. Lock Control Seals. Inactive or infrequently used gates and storage spaces must be locked and have seals affixed. The approved seal is the car ball-end seal (NSN 5340-00-081-3381), Military Specification MIL-S-23769C. Security personnel are instructed that lack of free play (normally 1/8 to 1/4 inch) indicates the possibility of tampering. A follow-up examination of the seal should be conducted. Seals must be serialized and will be stored in a secure container. The Security Department will control placement of seals and account for seal numbers on hand, issued, and used.

e. Procurement of High-Security Locks. All locks used for high-security applications will meet military specifications. All high-security lock procurement must be approved by the Key Control Officer prior to issue by the Supply Department.

f. Lockouts. All lockouts involving restricted areas/buildings must be investigated by Security personnel to determine if failure of the locking device occurred because of a product failure or is a result of attempted or actual illegal penetration.

7. Inventories

a. All Keys. The Key Control Officer will conduct an annual inventory of all keys issued. The Key Custodian will inventory keys issued for sub-custodial use and key log accounts at least monthly (see enclosure (4)). All keys will be inventoried upon change of the Key Control Officer, Key Custodian, or Key Sub-Custodian.

b. AA&E Keys and Locks. Inventories of keys and locks shall be conducted semiannually using the approved form found in enclosure (1). Inventory records shall be retained in unit files for a minimum of 1 year and then disposed of per established procedures set forth in reference (e).

8. Tenant Activities

a. Tenant activities have the option of either participating in the Naval Academy Key and Lock Control Program or instituting their own.

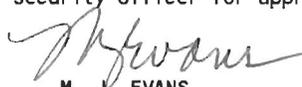
b. If they choose to participate in the Academy's program, the tenant activity will accomplish all the items required at the department level.

c. They will write an acceptable department/division level key and lock control instruction (acceptable to both the CO/OIC and the USNA Security Officer).

9. Action

a. The USNA Security Officer is designated by the Superintendent as the primary installation Key Control Officer who will oversee the key and lock control program for the Naval Academy.

b. All Directors, Department Heads, and Officers-in-Charge of affected activities will implement this instruction upon receipt. On an initial and recurring basis, divisions will provide the Security Officer with a current list of designated Key Custodians for the activity concerned. Requests for all Yard Master/Grand Master Keys will be forwarded to the Security Officer for approval.



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Chief of Staff

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APPROVED LOCKING SERVICES

HIGH SECURITY LOCKS

<u>Military Specifications</u>	<u>Type</u>	<u>NSN</u>	<u>Commercial Equivalent</u>
MIL-P-43607	Type II	5340-01-188-1560	S&G 831B
MIL-P-29151	Type A	5340-00-144-7310	Tufloc 60-1-XP
MIL-P-29151	Type B	5340-00-144-7311	Tufloc 60-2-XP-(PU)
MIL-P-29151	Type C	5340-00-145-0293	Tufloc 60-2-XP-(LF)
MIL-P-29151	Type D	5340-00-155-7359	Tufloc 60-2-XP

Authorized Use

1. All magazines, ready-service magazines, ready-service lockers, and AA&E storage areas.

MEDIUM SECURITY LOCKS

<u>Military Specifications</u>	<u>Type</u>	<u>NSN</u>	<u>Commercial Equivalent</u>
MIL-P-43951	Type I	5340-00-749-8016	S&G 826C

Authorized Use

1. All entrance doors to buildings and structures and rooms within buildings or structures in which AA&E Security Risk Categories I-IV are stored when lock is used with high-security hasp.
2. Gates to restricted areas, magazines, and in process/production and AA&E temporary storage areas that are not constantly manned.

LOW SECURITY LOCKS

<u>Military Specifications</u>	<u>Type</u>	<u>NSN</u>	<u>Commercial Equivalent</u>
NUK-P-17802	Type D	5340-000-158-2805	None
MIL-P-17802	Type D	5340-000-158-2807	None

Authorized Use

All general use.