



Department of Defense MANUAL

NUMBER 5100.76

April 17, 2012

Incorporating Change 2, Effective October 5, 2020

USD(I&S)

SUBJECT: Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives (AA&E)

References: See Enclosure 1

1. PURPOSE. This Manual:

a. Reissues DoD 5100.76-M (Reference (a)) in accordance with the authority in DoD Directive 5143.01 (Reference (b)) and DoD Instruction 5100.76 (Reference (c)) to prescribe minimum standards and criteria for the physical security of DoD sensitive conventional AA&E in the custody of any DoD Component, DoD contractor, and foreign military sales (FMS) or security cooperation (SC) programs.

b. Establishes requirements to protect sensitive conventional AA&E stored at DoD and DoD contractor AA&E activities adequately during peacetime conditions.

2. APPLICABILITY. This Manual:

a. Applies to:

(1) OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (hereinafter referred to collectively as the "DoD Components").

(2) Sensitive conventional AA&E designated Security Risk Categories (SRC) I-IV and uncategorized (CAT-U) AA&E as described and categorized in this Manual, at AA&E facilities and installations. It also applies to the storage and transportation of classified SRC I-IV AA&E in accordance with DoD Manual 5200.01 (Reference (d)).

b. Does NOT apply to:

- (1) Nuclear weapons.
- (2) Devices charged with chemical agents, except as specified in this Manual.
- (3) Blank, inert training ammunition, or rim-fire ammunition.
- (4) AA&E aboard USS and USNS vessels.
- (5) Non-lethal ammunition and other inert, non-explosive munitions items not categorized as SRC III or IV.
- (6) Liquid pepper spray used for law enforcement or security that is available as a commercial off-the-shelf product.
- (7) Demilitarized weapons, which shall be secured as the DoD Components direct.
- (8) Commercially procured SRC III and IV AA&E while at a commercial production facility; however, when such items are placed in transit to a DoD activity, all pertinent requirements of Enclosure 10 of this Manual apply.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy in accordance with Reference (c) that the security of sensitive conventional AA&E is of the highest importance to the Department of Defense. If AA&E is compromised, sabotaged, stolen, misused, or vulnerable to malicious mischief or acts of terrorists, subversives, criminal elements, or willful interference, it has the potential to jeopardize the safety and security of personnel, activities, missions, and installations worldwide. Continuous program and policy oversight is required to ensure protection of AA&E within the Department of Defense.

5. RESPONSIBILITIES. See Enclosure 2.


6. PROCEDURES. See Enclosures 3 through 11.

7. INFORMATION REQUIREMENTS. The response reporting requirements referenced in section 2 of Enclosure 2, section 10 of Enclosure 3, and section 3 of Enclosure 11 does not require licensing with a report control symbol in accordance with Paragraph 9 of Volume 1 of DoD Manual 8910.01 (Reference (e)) and section 5 of Enclosure 11 is exempt from licensing in accordance with Paragraph 8 of Reference (e).

8. **RELEASABILITY. Cleared for public release.** This manual is available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

9. **SUMMARY OF CHANGE 1.** This administrative change updates the title of the Under Secretary of Defense for Intelligence to the Under Secretary of Defense for Intelligence and Security in accordance with Public Law 116-92 (Reference (f)).

10. **EFFECTIVE DATE.** This manual is effective April 17, 2012.



Michael G. Vickers
Under Secretary of Defense for Intelligence

Enclosures

1. References
2. Responsibilities
3. Guidance
4. Physical Security Planning
5. Protection of Arms
6. Protection of Missiles, Rockets, and All SRC of A&E
7. Sensitive Conventional AA&E SRC
8. Inventory, UII Registration, Disposal, and DEMIL
9. Physical Security of AA&E at Contractor Facilities
10. AA&E Transportation Security
11. Reports, Investigative Aids, and Disposition of Records

Glossary

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REFERENCES

- (a) DoD 5100.76-M, “Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives,” August 12, 2000 (hereby cancelled)
- (b) DoD Directive 5143.01, “Under Secretary of Defense for Intelligence and Security (USD(I&S)),” October 24, 2014, as amended
- (c) DoD Instruction 5100.76, “Safeguarding Conventional Arms, Ammunition, and Explosives (AA&E),” February 28, 2014, as amended
- (d) DoD Manual 5200.01, “DoD Information Security Program,” February 24, 2012, as amended
- (e) DoD Manual 8910.01, “DoD Information Collections Manual,” June 30, 2014, as amended
- (f) Public Law 116-92, “National Defense Authorization Act for Fiscal Year 2020,” December 20, 2019
- (g) DoD 5200.08-R, “Physical Security Program,” April 9, 2007, as amended
- (h) DoD Instruction 6055.16, “Explosives Safety Management Program,” July 29, 2008, as amended
- (i) DoD 6055.09-M, “DoD Ammunition and Explosives Safety Standards,” February 29, 2008, as amended
- (j) Defense Transportation Regulation 4500.9-R, “Defense Transportation Regulation, Part II, Cargo Movement,” June 2008¹
- (k) DoD 4145.26-M, “DoD Contractor’s Safety Manual for Ammunition and Explosives,” March 13, 2008, as amended
- (l) DoD Manual 4140.01, “DoD Supply Chain Materiel Management Procedures,” date varies by volume.
- (m) Military Handbook 1013/1A, “Design Guidelines for Physical Security of Facilities,” December 15, 1993²
- (n) DoD Manual 5200.02, “Procedures For The DoD Personnel Security Program (PSP),” April 3, 2017
- (o) DoD 5220.22-M, “National Industrial Security Program Operating Manual,” February 1, 2006, as amended
- (p) Section 922(g) of title 18, United States Code
- (q) DoD Instruction 6400.06, “Domestic Abuse Involving DoD Military and Certain Affiliated Personnel,” August 21, 2007, as amended
- (r) DoD Instruction 6055.17, “DoD Emergency Management (EM) Program,” February 13, 2017, as amended
- (s) Unified Facilities Criteria 4-021-02NF, “Security Engineering Electronic Security Systems,” September 27, 2006, as amended³
- (t) Unified Facilities Guide Specification Division 28, Section 28 20 01.00 10, “Electronic Security System,” October 2007⁴

¹ <http://www.transcom.mil/dtr/part-ii/>

² Authorized users only at: https://osdext.osd.mil/sites/ousdi/j_cws/psd/Shared%20Documents/DoD%205100.76-M%20References/Ref_K.pdf

³ http://www.wbdg.org/ccb/DOD/UFC/ufc_4_021_02nf.pdf

- (u) Underwriters Laboratories Inc., Standard for Safety, UL-2050, “National Industrial Security Systems,” August 10, 2003, www.ul.com⁵
- (v) Federal Information Processing Standards Publication 140-2, “Security Requirements for Cryptographic Modules,” May 25, 2001⁶
- (w) Section 797 of title 50, United States Code
- (x) DoD Instruction 5200.08, “Security of DoD Installations and Resources and the DoD Physical Security Review Board (PSRB),” December 10, 2005, as amended
- (y) Federal Specification AA-F-363D, “Filing Cabinet, Security, Maps and Plans, General Filing, and Storage,” June 1 2001⁷
- (z) Federal Specification AA-F-358J, “Filing Cabinet, Legal and Letter Size, Uninsulated, Security,” November 2, 2010⁸
- (aa) Federal Specification AA-C-2859, “Cabinet, Security, Weapons Storage,” April 20, 2007⁹
- (ab) Federal Specification FF-L-2937, “Combination Lock, Mechanical,” January 31, 2005, as amended¹⁰
- (ac) Underwriters Laboratories, Inc. Standard UL 768, “Standard for Combination Locks,” January 6, 2006¹¹
- (ad) Department of Homeland Security, “User’s Guide on Security Seals for Domestic Cargo,” January 2007
- (ae) Federal Specification RR-C-271D, “Chains and Attachments, Welded and Weldless,” September 25, 1990¹²
- (af) Federal Specification FF-P-2827, “Padlock, Key Operated, General Field Service,” November 27, 2002¹³
- (ag) Commercial Item Description, “Padlock (Key Operated),” August 6, 1999¹⁴
- (ah) Commercial Item Description, “Padlock Set (Individually Keyed or Keyed Alike),” August 6, 1999¹⁵
- (ai) Federal Specification AA-V-2940, “Vault System, Armory, Assembled,” February 20, 2008¹⁶

⁴ <http://www.wbdg.org/ccb/DOD/UFGS/UFGS%2028%2020%2001.00%2010.pdf>

⁵ Contact usdi.pubs@osd.mil for ordering instructions

⁶ <http://csrc.nist.gov/publications/fips/fips140-2/fips1402.pdf>

⁷ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-f-363.pdf

⁸ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-f-358.pdf

⁹ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-c-2859a.pdf

¹⁰ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/ff-l-2937.pdf

¹¹ Contact usdi.pubs@osd.mil for ordering instructions

¹² https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/rr-c-271.pdf

¹³ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/ff-p-2827.pdf

¹⁴ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/a-a-59487b.pdf

¹⁵ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/a-a-59486b.pdf

¹⁶ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-v-2940.pdf

- (aj) Naval Facilities Engineering Service Center Technical Data Sheet TDS-2078-SHR, “Pre-Engineered Explosives Magazines,” June 2001¹⁷
- (ak) Naval Facilities Engineering Security Center-Internal Locking Device (ILD) “Engineering Drawings,” January 2009¹⁸
- (al) Military Detail Specification MIL-DTL-43607H, “Padlock, Key Operated, High Security, Shrouded Shackle,” June 5, 2007¹⁹
- (am) Military Detail Specification MIL-DTL-29181, “Hasp, High Security, Shrouded, for High and Medium Security Padlock,” March 10, 1998, as amended²⁰
- (an) Naval Sea Warfare Center Purchase Specification NSWC 3046-93-2, “Pre-Engineered/Pre-Fabricated Steel Armory,” April 2011²¹
- (ao) Naval Sea Warfare Center Purchase Specification NSWC 3046-93-1, “Pre-Engineered/Pre-Fabricated Steel Magazines,” April 2011²²
- (ap) Section 208, part 555 of title 27, Code of Federal Regulations
- (aq) Federal Specification RR-F-191-K, “Fencing, Wire and Post Metal (and Gates, Chain-link Fence Fabric, and Accessories) (General Specification),” May 14, 1990²³
- (ar) Federal Specification AA-V-2737, “Modular Vault System,” April 25, 1990²⁴
- (as) Federal Specification AA-D-600D, “Door, Vault, Security,” May 25, 2000²⁵
- (at) DoD Instruction 4140.01, “DoD Supply Chain Materiel Management Policy,” March 6, 2019
- (au) DoD Manual 4160.21, “Defense Materiel Disposition,” October 22, 2015, as amended
- (av) Parts 223 and 252 of title 48, Code of Federal Regulations
- (aw) Subpart 2.101 of the Federal Acquisition Regulation, current edition²⁶
- (ax) DoD Directive 5105.65, “Defense Security Cooperation Agency (DSCA),” October 26, 2012
- (ay) Office of the Chairman of the Joint Chiefs of Staff, “DoD Dictionary of Military and Associated Terms,” current edition
- (az) DoD Directive 5105.64, “Defense Contract Management Agency (DMCA),” January 10, 2013
- (ba) Chapter 47 of title 10, United States Code (also known as the “Uniform Code of Military Justice, as amended”)

¹⁷ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/tds-2078-shr.pdf

¹⁸ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/ild_main/ild_intro

¹⁹ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/mil-dtl-43607j.pdf

²⁰ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/mil-dtl-29181c.pdf

²¹ <https://nossa.nmci.navy.mil/nrws3/LinkClick.aspx?fileticket=AknQI7tjHiw%3d&tabid=89&mid=436>

²² <https://nossa.nmci.navy.mil/nrws3/LinkClick.aspx?fileticket=AknQI7tjHiw%3d&tabid=89&mid=436>

²³ <http://www.wbdg.org/ccb/FEDMIL/rrf191k.pdf>

²⁴ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-v-2737.pdf

²⁵ https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks/pdf_files/aa-d-600.pdf

²⁶ <https://www.acquisition.gov/far/>

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE AND SECURITY (USD(I&S)). The USD(I&S) shall oversee implementation of the procedures within this Manual.

2. DIRECTOR, DEFENSE SECURITY SERVICE (DSS). The Director, DSS, under the authority, direction, and control of the USD(I&S), shall:
 - a. Conduct AA&E pre-award surveys as required or requested.
 - (1) Surveys shall include inspections of contractor-owned, contractor-operated (COCO) facilities within the United States to assess compliance with the security requirements in this Manual for AA&E contracts. Inspections shall be conducted at intervals not to exceed 12 months or more frequently if requested by the procuring command.
 - (2) The results of the surveys and inspections shall be provided to the appropriate DoD Component procurement command or activity.
 - b. Assess contract compliance only when DSS (or Government entry authority) is contractually provided entry authority as required by subparagraphs 4.i.(1) and 4.i.(2) of this enclosure and the contract(s) contains the requisite contract language listed in the Appendix to Enclosure 9 of this Manual.
 - c. Coordinate inspections of DoD AA&E COCO facilities manufacturing or possessing SRC III-IV ammunition and explosives (A&E) with the Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF).
 - d. Conduct inspections of ATF licensed or permit holding DoD contractors that, in addition to manufacturing explosives for the DoD, also manufacture explosives for the commercial market.
 - e. Facilitate collaboration, coordination, and cooperation with ATF through periodic meetings with ATF at the headquarters and field office levels.
 - f. Review reports submitted by DoD Components of corrective action taken at COCO facilities to assess and evaluate compliance with this Manual.

3. INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE (IG DoD). The IG DoD shall monitor DoD Component compliance with the provisions of this Manual.

4. HEADS OF DoD COMPONENTS POSSESSING AA&E. The Heads of DoD Components possessing AA&E shall:

- a. Implement the procedures in this Manual and develop supplemental guidance for the protection of AA&E in accordance with Reference (c).
- b. Oversee and develop written security policy that prescribes minimum physical security requirements for AA&E items not categorized SRC I-IV and those items listed in subparagraphs 2.b.(2) through 2.b.(7) in the front matter of this manual or outside the scope of this Manual.
 - (1) Copies of approved DoD Component AA&E security policies for unclassified AA&E (CAT-U) shall be provided to the Office of the Under Secretary of Defense for Intelligence and Security (OUSD(I&S)).
 - (2) DoD Component AA&E security policies shall prescribe minimum security requirements for weapon systems and platforms as described in DoD 5200.08-R (Reference (g)).
- c. Exempt arms and ammunition issued to general and flag officers from the requirements of this Manual (except for loss reporting), when appropriate. Where such exemptions are invoked, the affected arms and ammunition shall be safeguarded and accounted for in a manner prescribed in policy by the Heads of the DoD Components and the minimum requirements outlined in Enclosure 5 of this Manual.
- d. Exempt arms and ammunition issued to specified DoD component criminal investigators from the minimum standards outlined in this Manual (except for loss reporting and the requirements outlined in Enclosure 5 of this Manual for personally retained weapons) if compliance would impede mission performance. Where exemptions are invoked, the affected arms and ammunition shall be safeguarded and accounted for in a manner prescribed in policy by the Heads of the DoD Components and the minimum requirements outlined in Enclosure 5 of this Manual.
- e. Impose additional protective measures in addition to those prescribed in this Manual where appropriate. Such measures shall not violate or conflict with DoDI 6055.16 (Reference (h)) and DoD 6055.09-M (Reference (i)).
- f. Develop physical security programs that implement processes and procedures to assess and evaluate appropriate security measures based on continuous threat assessments, force protection condition (FPCON) levels, physical security surveys and inspections, and vulnerability assessments. DoD Components shall also use risk management principles for mitigating, reducing, or eliminating risks. These programs must be threat-based, cost-effective, and include accountability and inventory control.
- g. Plan, program, and budget requisite resources to protect AA&E in their possession and during transportation in accordance with the requirements of this Manual and chapter 205 of the Defense Transportation Regulation (DTR) (Reference (j)).

h. Establish procedures for the review of all military AA&E storage facility construction, renovation, and modification projects in accordance with Enclosure 5 of this Manual.

i. Monitor solicitations and contracts involving SRC I-IV AA&E, listed in the appendix to Enclosure 9 of this Manual, at COCO facilities for compliance with security requirements outlined in this Manual. Any additional requirements imposed by a DoD-procuring command or activity shall be specified in section H, "Special Clauses Section," of AA&E contracts. Additionally, the Heads of the DoD Components possessing AA&E shall review:

(1) Solicitations and contracts for inclusion of entry authority to prime contractor and subcontractor facilities to enable the Government to conduct security surveys, inspections, and investigations.

(2) Solicitations and contracts for inclusion of appropriate authority and contract clauses that apply to DoD AA&E in accordance with the appendix to Enclosure 9 of this Manual.

(3) All contracts manufacturing A&E for compliance with the explosive safety requirements of DoD 4145.26-M (Reference (k)).

j. Coordinate with DSS after corrective actions have been taken by contract facilities or deviations are approved for COCO facilities in accordance with this Manual.

k. Identify a single office of record that shall provide current information identifying its AA&E contractor and subcontractor addresses, contract numbers, AA&E items and categories involved, and special protection requirements for all contractor locations where SRC I-IV are produced or stored.

l. Review physical inventories of AA&E in accordance with Enclosure 8 of this Manual and DoD Manual 4140.01 (Reference (m)).

m. Include all protective measures outlined in this Manual in FMS or SC programs and contracts.

n. Ensure that shipments of AA&E are in accordance with chapter 205 of Reference (j) and Enclosure 10 of this Manual.

ENCLOSURE 3

GUIDANCE

1. GENERAL

a. AA&E facilities should be consolidated to the maximum extent possible within the scope of operational, safety, and mission requirements to reduce vulnerabilities and protection costs.

b. AA&E should be removed from designated storage areas for as short a period of time as possible and in the smallest possible quantity to minimize potential threats and reduce vulnerabilities.

c. AA&E should be segregated into smaller storage areas by assigned SRC, and provided the degree of physical security protection required by this Manual for each SRC in order to reduce costs for protection and inventory control.

d. AA&E facilities and installations shall be constructed according to the security structural requirements in this Manual, Reference (i), and Military Handbook 1013/1A (Reference (m)). AA&E facilities should meet or exceed a minimum of 10 minutes' resistance to forced entry against an unlimited supply of hand and battery-operated tools. Review of these requirements shall be conducted by qualified engineers and trained physical security specialists prior to design, contract award, and acceptance for new construction and major renovations to ensure compliance with the criteria of this Manual and References (i) and (m). Resources used for upgrading existing facilities should be prioritized in the following order:

(1) AA&E facilities and installations storing SRC I items.

(2) AA&E facilities and installations storing SRC II items.

(3) AA&E facilities and installations storing SRC III and IV items.

e. When operations unique to an activity, such as a Government-owned AA&E manufacturing facility, necessitate a divergence from the requirements of this Manual, the threat, operating environment, and conditions shall be evaluated to tailor the security requirements of this Manual to include compensatory measures implemented for the protection of AA&E. The security requirements shall be based on risk management, practicality, cost, and mission performance. Waivers and exceptions to the requirements of this Manual shall be submitted according to the provisions for deviations in this Enclosure.

2. PHYSICAL SECURITY DEVIATIONS

a. DoD Components possessing AA&E may deviate from the construction standards of this Manual for existing facilities if they specify equivalent levels of protection. Exceptions to policy

or waivers, as defined in the Glossary, for non-construction requirements prescribed herein shall be requested in writing by activities storing AA&E and approved in accordance with procedures designated by DoD Components. The approval of these requests will be in accordance with procedures established by the DoD Component and this Manual:

(1) Waivers and exceptions shall be individually considered. Blanket waivers and exceptions shall not be authorized. Waivers and exceptions shall not be used to reduce or eliminate security measures outlined in this Manual. The commander or director of an AA&E storage facility, where a waiver or exception is approved in accordance with the procedures developed by the DoD Component, shall ensure that prescribed compensatory measures are implemented as required to ensure the protection of AA&E.

(a) Waivers may be approved for temporary relief from a specific requirement(s) specified in this Manual pending action to conform to a requirement. A waiver shall be granted for a 12-month period and shall specify the approval rationale as well as the equivalent compensatory measures that shall substitute for the waived security requirement(s). DoD Components may grant a 12-month extension to previously approved waivers. Afterwards, the waiver shall be processed immediately as an exception to policy.

(b) Exceptions may be approved for permanent relief from a requirement specified in this Manual. Exceptions shall be granted only when compliance with a requirement from this Manual would unduly impede mission performance as described and documented in the exception request. As with waivers, approved exceptions shall specify the rationale for granting the exception. In addition, approved exceptions shall specify the alternative or compensatory security measure(s) that shall provide equivalent protection of the excepted security requirement(s). Exceptions shall be reviewed every 3 years by the granting authority.

(2) Waivers and exception requests involving surface transportation of AA&E shall be coordinated in advance with the Military Surface Deployment and Distribution Command (SDDC). All waivers and exception requests shall be forwarded by SDDC to the OUSD(I&S). Copies of such approved waivers and exceptions shall be forwarded to;

Commander, Military Surface Deployment and Distribution Command
ATTN: AMSSD-SBI-BP, 1 Soldier Way
Scott Air Force Base, IL 62225

b. Inspection findings and deficiencies resulting in noncompliance with the requirements in this Manual will be corrected as soon as practical. For those findings and deficiencies that can be corrected within 90 days, no waiver is necessary; however, compensatory measures shall be taken during the 90-day interval. For those deficiencies that cannot be corrected within 90 days, a request for waivers or exceptions is to be submitted in accordance with paragraph 2.a of this enclosure.

3. SECURITY OF AA&E DURING TRAINING, IN MUSEUMS, AND ABOARD PLATFORMS. AA&E shall be protected in accordance with guidance issued by the responsible DoD Component during training and operational exercises; while it is on display in museums;

and while it is on-board military vehicles and aircraft. The specific criteria and standards for protection shall be based on the physical security standards established in this Manual and Reference (g).

4. INSPECTIONS AND AUDITS. Inspections and audits provide tools for the oversight, management, and control of AA&E items. DoD Components responsible for the protection of AA&E shall develop policies that outline inspection and audit requirements to ensure that physical security of AA&E is maintained.

a. Physical security inspections shall be conducted at intervals determined by the DoD Component. Inspections of AA&E storage facilities shall be conducted at intervals not to exceed 18 months and shall include at a minimum:

(1) Review of physical security measures and policy compliance.

(2) Review of existing deviations from policy.

(3) Review of suitability and screening of personnel with access to AA&E in accordance with section 8 of this enclosure.

(4) Inventory and accountability procedures.

(5) Facility design and construction.

b. Audits of AA&E storage facilities shall include at a minimum:

(1) Review of records of lost, stolen, or missing AA&E.

(2) Review of accountability and inventory procedures.

(3) Review of internal processes developed to ensure compliance with AA&E protective and accountability measures.

5. PROHIBITIONS

a. Reserve Officer Training Corps (ROTC) or Junior ROTC units, and gun clubs shall not store SRC I and II AA&E at their facilities. ROTC units may only possess SRC II AA&E during authorized training with active DoD Components.

b. National Guard and Reserve units are not authorized to store SRC I missiles and rockets permanently at their facilities. The installation commander may approve temporary storage (not to exceed 90 days) of SRC I missiles and rockets at ammunition supply points when security measures, as outlined in this Manual, are incorporated or where security is provided by armed guards. National Guard and Reserve units are authorized temporary custody (not to exceed 14

days) of SRC I AA&E when training on military installations. DoD Components may approve periods exceeding these requirements where supplemental security measures are in place to meet operational needs.

6. INVESTIGATIONS. DoD Components that possess AA&E shall conduct thorough investigations for lost, stolen, and missing AA&E to determine the circumstances of the loss or theft and to determine responsibility as appropriate. Before any loss can be attributed to any inventory or accountability discrepancy, it must first be determined through an investigation that the loss was not the result of theft, abandonment, or misappropriation. Additional requirements for reporting are outlined in Enclosure 11 of this Manual.

7. TRAINING

a. DoD Components possessing AA&E shall establish a continuing training and education program for those personnel responsible for the accountability and protection of AA&E. The training program shall be designed to:

(1) Provide instruction for the implementation of physical protective and procedural measures that protect AA&E and in the preparation of written reports surrounding the discovery of a loss, suspected theft, and accountability procedures for AA&E.

(2) Fulfill the requirements identified by activities assigned to safeguard AA&E.

(3) Fit the requirements of the different groups of personnel responsible for the protection of AA&E.

b. The DoD Components shall provide annual refresher briefings to all personnel who are responsible for the control and safeguarding of AA&E.

8. SUITABILITY AND SCREENING FOR ACCESS TO AA&E. DoD Components shall be selective in assigning personnel to duties involving the control of AA&E. Only personnel who are mature, stable, and have shown a willingness and capability to perform assigned tasks in a dependable manner shall be assigned duties that involve the responsibility for control, accountability, and shipment of AA&E. DoD Components shall comply with the provisions of DoD Manual 5200.02 (Reference (n)) and this Manual to ensure that persons assigned custody, maintenance, transportation, disposal, or security responsibilities for AA&E on military installations in the United States and its territories, and for personnel assigned such duties overseas, shall receive investigations and periodic reinvestigations as listed for each category of person in paragraphs 8.a. and 8.b. of this enclosure.

a. U.S. Citizens

(1) Military Personnel. National Agency Check with Law and Credit (NACLC).

(2) DoD Civilian Personnel. Access National Agency Check and Inquiries.

(3) Contractor Personnel (Including Sub-contractors). NACLIC.

b. Drivers of vehicles transporting AA&E

(1) Personnel operating a vehicle or providing security to a vehicle transporting SRC I and II AA&E (including contractor personnel transporting such items on military installations in the United States and its territories, or U.S. citizens assigned to such duties overseas in direct support of installation requirements) shall receive a background investigation as provided for in this section and Reference (n).

(2) Designated commercial carrier employees providing protective security service must possess a SECRET clearance to transport AA&E and items classified SECRET, as provided for in DoD 5220.22-M (Reference (o)), and carrier-issued identification.

c. Foreign national personnel providing services related to the handling, storage, or shipment of AA&E in overseas locations shall receive an investigation according to the policy and procedures governing locally hired employees subject to status of forces agreements, export licenses, or laws of the host government. The DoD Components assume responsibility for permitting access to DoD systems, information, material, and areas when an investigation conducted by the host country does not meet the investigative standards in Reference (n).

d. Within the United States, including Alaska, Hawaii, and the U.S. territories of Puerto Rico and Guam, commercial carrier employees transporting AA&E or classified AA&E shall possess a SECRET clearance. Commercial carrier employees transporting uncategorized AA&E shall comply with investigative requirements prescribed by chapter 205 of Reference (j).

e. Outside the United States, local national personnel transporting SRC I-IV AA&E shall receive an investigation; however, the type of background investigation may vary based on treaties and or host nation agreements that exists between the DoD Component and the host country and in accordance with DoD Component policy.

9. LAUTENBERG AMENDMENT

a. The 1968 Gun Control Act and subsequent 1996 Lautenberg Amendment, which are codified in section 922(g) of title 18, United States Code (U.S.C.) (Reference (p)), prohibit anyone who, among other reasons, has been convicted in any court of a crime that is punishable by imprisonment for a term exceeding 1 year; has been convicted in any court of a misdemeanor crime of domestic violence; or is subject to a court order finding the person to represent a credible threat to the physical state of an intimate partner or child, to ship, transport, possess, or receive firearms or ammunition. Reference (p), as enacted and amended, contains a public interest exception for all but one of the nine disqualification categories; specifically subsection 922(g)(9), the Lautenberg Amendment, makes it a felony for anyone who has ever been

convicted of a domestic violence misdemeanor prior to or after the passage of the September 30, 1996, law to possess firearms or ammunition. There is no exception for law enforcement and military personnel with qualifying convictions. It is illegal to provide a firearm or ammunition to anyone convicted of such a domestic violence misdemeanor.

b. DoD Components shall comply with the provisions of Reference (p) and ensure persons carrying firearms are properly screened in accordance with DoDI 6400.06 (Reference (q)). All DoD Components shall post notices about the Lautenberg Amendment and the procedures for implementation in all facilities in which Government firearms or ammunition are stored, issued, disposed of, and transported pursuant to Reference (q).

c. Heads of DoD Components will require that commanders and civilian equivalents evaluate the need to suspend arming authorizations of DoD personnel who are under investigation or have been arrested or apprehended for crimes or incidents involving domestic violence. If suspension is warranted, any Government-issued firearms or ammunition shall be retrieved until the matter is resolved and until a final determination is made. Heads of DoD Components shall additionally require that commanders and civilian directors use discretion in allowing persons with firearms suspensions to carry non-lethal weapons.

10. AA&E CONTRACT REQUIREMENTS

a. The DSS shall be notified by the Defense Contract Management Agency when pre-award surveys are required to allow for DSS participation as necessary. Upon receipt of contract facility pre-award survey and inspection results from DSS, required corrective action or deviation requirements shall be coordinated with contractors within 90 calendar days, as outlined in Enclosure 9 of this Manual. DSS shall be notified, as appropriate, of actions taken by contractors, subcontractors, and Government administrative contracting officers (ACOs) in response to DSS-reported AA&E security deficiencies and recommendations.

b. The appropriate SRC (I-IV) of the end product, and Government-furnished equipment and material shall be reflected in all applicable AA&E contracts and subcontracts. The contract or subcontract must reflect the appropriate SRC to ensure complete understanding by DSS industrial security representatives, the ACO, and prime and subcontractors concerned.

c. Oversight of COCO AA&E facilities outside the United States shall be in accordance with host nation agreements, treaties, and laws.

ENCLOSURE 4

PHYSICAL SECURITY PLANNING

1. GENERAL. To make the most effective use of resources, thorough and comprehensive security planning must be undertaken. Planning should be a continuing process and should be tailored to the local, general, and specific threats to AA&E.

a. In assessing local requirements for physical protection, factors that shall be considered include:

(1) Annual local threat or vulnerability assessments prepared by the installation or facility, including information from local law enforcement agencies.

(2) Location, size, and vulnerability of storage and production facilities.

(3) Vulnerability of AA&E to theft or loss.

(4) Geographic location.

(5) Availability and responsiveness of security forces.

(6) Level of protection provided by:

(a) Physical security protection measures.

(b) Security forces.

(c) Security in depth and integrated security.

(d) Facility construction.

(7) Impact on mission capability.

b. A local threat analysis and vulnerability assessment shall be conducted at each conventional AA&E facility prior to its occupation, use, or before major renovation. Threat assessments conducted for AA&E facilities should include information provided by the Defense Intelligence Agency AA&E threat assessment outlined in Reference (c). Threat analysis and vulnerability assessments shall be updated annually or as new threats and/or vulnerabilities become known. The vulnerability assessment shall include the specific threats, capabilities-based threat assessment, physical security surveys and inspection, security measures, and the results of security and response force exercises in accordance with Reference (g).

2. COORDINATION

a. In developing a security plan, coordination and close liaison should be conducted among the DoD facility; adjacent DoD facilities; DoD Components; local, State, and Federal law enforcement agencies; and host nation agencies. To the extent permissible, such interaction should allow for an exchange of intelligence, security measures, contingency plans, and other information, which enhances security and protection.

b. On an installation, the host activity shall assume responsibility for coordinating the physical security of all tenants, regardless of DoD Component represented, as outlined in support agreements and installation security plans.

c. The purpose of such coordination is to ensure effective planning for security requirements. Authority, jurisdiction, and responsibility must be set forth in a manner that ensures protection and avoids duplication of effort.

d. Protection of AA&E should be addressed in security plans as required by the DoD Components.

3. CONTINGENCY PLANS. In most instances, it shall be necessary to augment security for AA&E during periods of increased vulnerability such as natural disasters, national emergencies, civil uprisings, or periods of increased threat from terrorists or criminal elements. This includes periods of heightened security during the elevation of FPCON levels when increased security measures may be required. Contingency plans shall include provisions for increasing the physical security measures for storage areas commensurate with the local commanders' assessment of the threat and situation. Transportation security plans for AA&E shall be modified under increased threat conditions to include enhanced security measures, which can be applied on a regional basis in accordance with DoDI 6055.17 (Reference (r)).

4. SECURITY THREATS

a. Security plans shall provide for the identification of local threats and should make full use of the investigative and intelligence resources available in the local and regional geographical areas to anticipate all threats, which include internal and external threats to the physical security protection of AA&E assets.

b. In order to identify these threats effectively, liaison shall be established with:

- (1) Local law enforcement agencies.
- (2) Supporting defense criminal investigative organizations (DCIOs).
- (3) Local supporting DoD counterintelligence offices.
- (4) Local Federal Bureau of Investigation (FBI) offices.

(5) ATF offices.

(6) Host nation agencies when located overseas.

c. The DoD Component security plans shall address actions to counter theft or pilferage by employees authorized access to AA&E. These actions include:

(1) Trustworthiness Determination. This includes appropriate background checks and adjudication as outlined in Enclosure 3 of this Manual.

(2) Internal Controls. This should include:

(a) Monitoring of storage areas.

(b) Inspection programs within storage areas and during ingress and egress of employees and other authorized personnel.

(c) Inventory management and accountability.

5. IMPLEMENTATION OF SECURITY PLANS. The DoD Components shall develop written guidance for the implementation of security plans and requirements pertinent to each installation, unit, or activity.

6. INTRUSION DETECTION SYSTEMS (IDS)

a. Where required, as specified in this Manual, the IDS shall be either an approved DoD Component standardized system, a DoD Component commercial equivalent, or an integrated system. IDS design should include the design specifications and requirements specified in the Unified Facilities Criteria (UFC) 4-021-02NF (Reference (s)), Unified Facilities Guide Specification Division 28, Section 28 20 01.00 10 (Reference (t)), Reference (i) and Underwriters Laboratories Inc. (UL) Standard for Safety UL-2050 (Reference (u)). The IDS shall consist of an interior point sensor on doors and other accessible openings and interior volumetric sensors. Additional levels of protection, when practical, should be considered, such as vibration sensors on walls to detect boundary penetration attempts or duress signaling for SRC I and II AA&E facilities. See Enclosure 9 of this Manual for additional IDS requirements for contractor AA&E facilities.

b. Approval of non-DoD or Military Service standardized IDS shall be obtained from:

(1) For Army Sites:

Office of the Provost Marshal General (DAPM-MPD-PS)
2800 Army Pentagon

Washington, DC 20310-2800

(2) For Navy Sites:

Chief of Naval Operations (N46)
716 Sicard Street SE, Suite 1000
Washington, DC 20373-5140

(3) For Air Force Sites:

HQ AFSFC Requirements Branch
AFSFC/SFXX
1517 Billy Mitchell Blvd
Lackland AFB, TX 78236

https://afsmil.lackland.af.mil/Organization/AFSFC/SFO/org_afsfc_index.htm

(4) For Marine Corps Sites:

Commandant of the Marine Corps
Headquarters, U.S. Marine Corps
Security Division (PSC)
Pentagon, Room 4A324
Washington, DC 20380-0001

(5) For Defense Logistics Agency Sites:

Headquarters, Defense Logistics Agency
Director of Public Safety (DES-S)
8725 John J. Kingman Road
Suite 3533
Fort Belvoir, VA 22060-6221

c. DoD standardized systems, or the commercial equivalent approved by the DoD Component, shall replace non-DoD standardized or non-approved systems on a programmed, phased-in basis. Systems shall be replaced or upgraded when they are no longer cost-effective to maintain. All alarm signals shall annunciate at a central control or monitoring station from which an armed police or security response force can be dispatched directly.

d. Where an IDS is installed in a facility outside a military installation, arrangements shall be made to connect to local police or commercial monitoring companies that can immediately direct a response to activated alarms. Response agreements and requirements shall be documented in applicable contracts and/or support agreements.

e. A daily log shall be retained of all alarms received. Logs shall be retained for a minimum of 90 days and shall be reviewed to identify and correct IDS reliability problems. Logs can be

retained manually by an operator or electronically generated, stored, and printed by the IDS. The log shall reflect the information requirements listed in subparagraphs 6.e.(1) through 6.e.(3) of this enclosure.

- (1) Nature of the alarm (e.g., nuisance, system failure, unauthorized entry, or tamper).
- (2) Date, time, and location of alarm.
- (3) Action taken in response to the alarm and final adjudication.

f. IDS transmission lines shall have electronically monitored line supervision in order to detect evidence of tampering or attempted compromise. Any visible lines must be inspected monthly and the inspection documented by the owner or user. Documentation shall include date and time of check, status, and the name and initials of the person who conducted the check. These records shall be kept for 1 year in active status. If line security is unavailable, two independent means of alarm signal transmission from the alarm area to the monitoring station shall be provided and any visible lines must be inspected weekly. Where possible, one of the two independent means of alarm signal transmission should be a secure wireless link. The dual transmission equipment shall continuously monitor the integrity of communications links. Wireless links shall be protected, at a minimum, by means specified in Federal Information Processing Standards Publication 140-2 (Reference (v)).

g. Upon loss of the alarm signal transmission, the system shall immediately initiate notification to the monitoring facility via the other communication link. IDS shall have a protected independent backup source that provides a minimum of 8 hours of power.

h. Systems shall be tested monthly to ensure the proper functioning of the alarm sensors. For bulk storage areas (e.g., depots, weapon stations), such checks shall be performed at least quarterly. A log shall be retained documenting such tests and shall be kept for 1 year.

i. Installation of IDS at A&E facilities shall comply with electrical and lightning protection requirements in Reference (i).

j. Provisions of telephone or radio communication between a central control station and alarm zones to provide for controlled entry by authorized personnel should be considered as an adjunct to the IDS.

7. SECURITY FORCES

a. Security forces, or other personnel authorized by the DoD Component Head, shall check AA&E storage areas during non-duty hours in accordance with this Manual. The checks shall be recorded and consist of an inspection of all buildings, including all access openings in the storage areas. Records of such checks shall be retained in unit files for a minimum of 90 days. These forces should be able to respond to alarm annunciations as soon as possible but not to exceed 15

minutes of alarm notification. The use of closed-circuit television (CCTV) should be used to provide immediate assessment of alarm annunciations until arrival of security forces.

b. DoD security forces shall be provided with two-way radio communication.

c. Where AA&E is stored off military installations in civilian communities, and where security checks cannot be conducted by DoD personnel due to legal or operational considerations, liaison shall be established with local law enforcement or host nation authorities to ensure that non-duty hour checks are conducted by the local police or host nation authorities.

8. RESTRICTED AREA POSTING. Facilities containing AA&E shall be designated and posted as a “RESTRICTED AREA.” Areas should be posted except when such action would conflict with host nation agreements or highlight a concealed area. Where posted in host nation countries, signs should include host nation language and English. Commanders of military installations and facilities have the authority to publish and enforce regulations for safeguarding personnel, facilities, and property in accordance with section 797 of title 50, U.S.C. (Reference (w)), as implemented by Reference (g) and DoD Instruction 5200.08 (Reference (x)).

9. ACCESS CONTROL

a. Strict personnel and vehicular access control shall be established for areas storing AA&E. Persons allowed unaccompanied or unescorted access shall have authorization in writing by the head of the AA&E activity. Access to such areas for all personnel shall be recorded (manually or electronically). The records of access shall be retained for 1 year and disposed of according to DoD Component guidance.

b. Vehicles and personnel shall be subject to searches and random inspections upon entry to and exit from AA&E areas.

c. Privately owned vehicles are prohibited in facilities or installations storing AA&E unless authorized by the DoD Component and compliance with the requirements of Reference (i). The use of government leased or rented vehicles for official purposes are not considered privately owned for the purposes of this Manual.

10. KEY, COMBINATION, AND LOCK CONTROL

a. Keys and combinations to AA&E storage areas that include buildings, rooms, racks, containers, and IDS shall be retained separately from other keys and combinations. They shall only be accessible to those individuals whose official duties require access to them. A current roster of personnel who are authorized for key access shall be retained and kept from public view.

b. The number of keys and combinations issued shall be held to the absolute minimum. Master keying and keying alike of locks and the use of a master key system is prohibited for use in the protection of AA&E.

c. Keys and combinations retained in Standard Form 700, “Security Container Information” shall not be left unsecured or unattended at any time. This form is available to U.S. Government agencies. It can be ordered by calling Federal Supply Service customer assistance at (800) 525-8027, selecting option 3, and referencing stock number 7540-01-214-5372 or at <http://www.gsa.gov/portal/forms/download/9FAD818A86CC7DA685256B9D00493AAA>.

d. If the keys or combination are lost or stolen, the affected locks or lock cores shall be replaced immediately, as appropriate.

e. Combinations shall be changed when the lock is placed into use, whenever a person knowing the combination no longer requires access, or when the combination has been subject to compromise. AA&E at risk shall be inventoried and the integrity of the accessible security systems protecting AA&E shall be verified when keys, locks, or combinations are compromised.

f. Written records of combinations shall be minimized and combinations should be committed to memory. The DoD activity shall implement a control system that ensures accountability and control of written combinations, keys, and locks for AA&E storage structures and facilities. The DoD activity shall appoint a combination, key, and lock custodian to implement and supervise these programs. Reserve or replacement high-security padlocks, cores, keys, and written combinations shall not be removed from DoD-controlled space (off installation) except for cases of operational necessity. When not attended or in use, unclassified written combinations, operational keys, reserve or replacement high-security padlocks, and cores shall be secured as described in Table 1. Use of existing containers is authorized until they are replaced.

Table 1. Key, Lock, and Combination Storage

	SRC I and II	SRC III and IV
Keys and combinations	General Services Administration (GSA)-approved Class 5 security container ¹ or GSA-approved Class 5 weapons container ² .	Containers of at least 12-gauge steel (or material equivalent strength) security with a GSA-approved built in combination lock ³ or a built in combination lock ⁴ meeting Group 1.
¹ In accordance with Federal Specification AA-F-363D (Reference (y)). In accordance with Federal Specification AA-F-358J (Reference (z)). ² In accordance with Federal Specification AA-C-2859 (Reference (aa)). ³ In accordance with Federal Specification FF-L-2937 (Reference (ab)). ⁴ In accordance with UL-768 (Reference (ac)).		

g. Commanders or their designees (e.g., individual unit commanders with AA&E resources directly within their control) who are storing or securing AA&E shall appoint in writing AA&E lock, combination, and key custodians. Key and combination control registers shall be retained to reflect continuous key accountability.

(1) Key and lock custodians shall not be primary or alternate armorers.

(2) Key and lock custodians shall not be persons who are authorized unaccompanied access to AA&E storage areas.

h. Key and combination registers shall contain:

(1) Printed name and signature of individuals receiving combinations and/or keys.

(2) Date and time of issuance.

(3) Written key unique item identifier (UII) (i.e., serial number) and/or combination numbers or other identifying information. Registers containing combinations for classified information or material shall be protected according to the highest classification level being stored.

(4) Signature of individuals issuing keys and/or combinations.

(5) The date and time the key was returned.

(6) Printed name and signature of individual receiving returned keys and/or changing combinations.

i. Completed key and combination control registers shall be retained in activity files for a minimum of 1 year and then disposed of according to DoD Component guidance.

j. Inventories of keys, combinations, and locks shall be conducted semi-annually by a disinterested party or person not responsible or authorized unaccompanied access for that particular AA&E resource. Inventory records shall be retained in activity files for 1 year and then disposed of in accordance with DoD Component guidance.

k. When combinations, codes, or approved electronic equipment is used in lieu of keys, the control procedures used for keys and combinations outlined in this enclosure shall apply.

l. When individuals such as duty officers are charged with safeguarding/custody of keys and/or combinations to AA&E areas, they shall sign for the custody of keys, key container, and/or combinations as applicable. When container custody is transferred, the seals shall be checked for original container integrity. If the seals are unbroken and intact, it shall not be necessary to physically count the keys with each change of custody.

m. Combinations used to protect classified AA&E shall require the custodian to hold a personnel security clearance commensurate with the highest level of classified information being protected.

n. A key control training program should be developed to train responsible personnel in lock and key control procedures and responsibilities. Training should be comprehensive and provide a strategic understanding of key and lock control and protection requirements. Training should be provided on an annual basis. More information is available from the DoD Lock Program Technical Support Hotline at (800) 290-7607, DSN (312) 551-1212, or via the Internet at <https://portal.navfac.navy.mil/go/locks>.

o. Unserviceable high-security padlocks, keys, and cylinders shall be controlled until properly destroyed. These high-security padlocks, cylinders, and keys can be sent to the DoD Lock Program for disposal at:

(1) Army and Air Force. Ship via registered mail to:
DoD Lock Program (HSPS)
1100 23rd Avenue
Port Hueneme, CA 93043-4370

(2) Navy, Marine Corps, and Coast Guard. Ship via registered mail to:

Commanding Officer
Naval Surface Warfare Center,
Crane, IN 47522-5010
(Code GXQS)

11. SECURITY SEALS

a. Security seals shall be part of an integrated security program to enhance AA&E accountability. Security seals shall not be used as the single measure of protection for AA&E.

b. An effective security seal control program should be administered by a security seal custodian and include:

- (1) Procurement.
- (2) Storage.
- (3) Accountability.
- (4) Installation and inspection.
- (5) Removal and inspection.

c. For further guidance, refer to the Department of Homeland Security's Users Guide on Security Seals for Domestic Cargo (Reference (ad)) or call the DoD Lock Program Technical Support Hotline (800) 290-7607, (805) 982-1212, or DSN (312) 551-1212.

ENCLOSURE 5

PROTECTION OF ARMS

1. GENERAL. This enclosure prescribes the criteria and standards for the protection of arms in the custody of DoD Components. All arms shall be stored in the manner prescribed in this enclosure or as outlined in Enclosure 6 of this Manual for SRC I-III missiles and rockets and all SRC of A&E at unit level.

2. STORAGE AND SUPPLEMENTAL CONTROLS

a. The installation/base commander shall determine the necessity for perimeter fencing. Chains used to secure perimeter gates shall meet Table IV, Type 1, Class 4, of at least 3/8-inch thickness in accordance with Federal Specification RR-C-271D (Reference (ae)). An example of equivalent chain is "Type 1 Grade C, Class 4, NSN 4010-00-184-3476, Chains," which shall be secured with a general field service padlock in accordance with Federal Specification FF-P-2827 (Reference (af)).

b. Arms stored within structures prescribed in Enclosures 5 and 6 of this Manual at unit level shall be secured in GSA-approved Class 5 container, banded crates, standard issue (arms racks or locally fabricated and approved arms racks or metal containers). The DoD Components shall develop policy for the inspection and approval of locally fabricated arms racks and containers. The racks must be constructed to prevent easy removal of arms and/or major components.

(1) Hinged locking bars for racks shall have the hinges welded, peened, or otherwise secured to prevent easy removal of arms and secured with low-security padlocks in accordance with the Commercial Item Description for a Key-Operated Padlock (Reference (ag)) or the Commercial Item Description for an Individually Keyed or Keyed Alike Padlock Set (Reference (ah)).

(2) Chains used to secure weapons racks shall be heavy-duty hardened steel or welded, straight link, galvanized steel, 5/16-inch thickness or equivalent in accordance with Reference (ae).

(3) Racks and containers weighing less than 500 pounds (with weapons) shall be fastened to the structure, or fastened together in groups that have a total weight exceeding 500 pounds, with bolts and chains.

(a) Bolts used to secure racks must be spot-welded, peened, or otherwise secured to prevent easy removal.

(b) Weapons racks shall be secured with low-security padlocks in accordance with Reference (ag) or Reference (ah), and chains in accordance with Reference (ae).

c. Unless continuously guarded or under constant surveillance so that unauthorized entry into and around arms storage structures can be detected, all SRC II arms storage structures (both bulk storage and unit level) shall be protected by IDS as specified in Enclosure 4 of this Manual. All SRC III and IV IDS requirements shall be determined by the respective DoD Component. In addition, an individual(s) from a supervised armed security force (where allowed by local jurisdiction) shall check all alarmed SRC II arms storage structures at least once daily during non-duty hours.

d. SRC III and SRC IV storage facilities not equipped with IDS shall be checked at least once daily as outlined in paragraph 2.c. of this enclosure.

e. When the storage of arms in an arms storage facility, arms room, modular vault, or portable armory impedes operational or training requirements, arms may be stored in accordance with the guidance in subparagraphs 2.e.(1) and 2.e.(2) of this enclosure.

(1) DoD Components may authorize storage of small quantities of SRC IV arms in a GSA- approved Class 5 security container (Reference (y) and Reference (z)), or weapons storage container (Reference (aa)) that is secured with a lock meeting specification in accordance with Reference (ab) that does not contain classified materials. These containers storing SRC IV arms are exempt from requirements for IDS, security lighting, and security patrol requirements. The DoD Components shall limit the number stored based on mission and operational requirements in conjunction with an assessment of the threat and vulnerability conditions. Provisions of this paragraph only apply to small units (e.g., police, security forces, explosive ordnance detachments, and DCIOs, or for operational and readiness requirements).

(2) Arms may be stored in secured combat vehicles, aircraft, ships, trailers, or in other configurations required by operational or training requirements, provided constant surveillance of the items is established and retained.

f. Firearms stored at rod and gun clubs on DoD installations shall comply with the requirements of this Manual or as determined by the DoD Component.

g. SRC II-IV arms may be stored in one of the methods listed in subparagraphs 2.g.(1) through 2.g.(4) of this enclosure.

(1) A GSA-approved assembled armory vault system as described in Federal Specification AA-V-2940 (Reference (ai)). The armory vault system is approved for exterior use and provides for 15 minutes of protection against multilevel tool attack.

(2) A pre-engineered magazine in accordance with Naval Facilities Engineering Service Center Technical Data Sheet TDS-2078-SHR (Reference (aj)) and, locked with an internal locking device (ILD) in accordance with Naval Facilities Engineering Security Center Internal Locking Device Engineering Drawings (Reference (ak)), or a high-security padlock that meets Military Detail Specification (MIL-DTL) MIL-DTL-43607H (Reference (al)), and high-security hasp in accordance with Military Detail Specification MIL-DTL-29181 (Reference (am)).

(3) A pre-engineered/pre-fabricated steel armory in accordance with Naval Sea Warfare Center Purchase Specification NSWC 3046-93-2 (Reference (an)), locked with an ILD in accordance with Reference (ak), or a high-security padlock that meets the specifications in accordance with Reference (al), and high-security hasp in accordance with Reference (am).

(4) A pre-engineered/pre-fabricated steel magazine in accordance with Naval Sea Warfare Center Purchase Specification NSWC 3046-93-1 (Reference (ao)), locked with an ILD in accordance with Reference (ak), or a high-security padlock that meets the specifications in accordance with Reference (al), and high-security hasp in accordance with Reference (am).

(5) The additional controls listed in subparagraphs 2.g.(5)(a) through 2.g.(5)(d) of this enclosure are required with using portable armories for the protection of SRC II-IV.

(a) IDS. Portable military armories storing SRC II- IV arms shall be provided with approved IDS in accordance with this Manual. Facilities without operational IDS require constant surveillance by armed guards.

(b) Security Patrols. Facilities shall be checked at intervals not exceeding 8 hours. Facilities should be checked by a security patrol more frequently as determined by the local threat and vulnerability assessment.

(c) Security Lighting. Exterior lighting shall be provided for all portable armories in accordance with paragraph 2.h. of this enclosure.

(d) Locks and Hasps. Doors used for access to the portable armory shall be locked with an approved ILD in accordance with Reference (ak), or a high-security padlock in accordance with Reference (al) and a high-security hasp in accordance with Reference (am).

h. Security lighting shall be provided for all arms storage areas and facilities. The lighting shall be sufficient to allow guards or individuals responsible for maintaining surveillance to see illegal acts such as forced entry or the unauthorized removal of arms. Lighting shall provide a minimum of 0.2 foot-candles (2 lux) illumination measured on the horizontal plane at ground level and be sufficient to allow detection of unauthorized activity. Exterior light switches shall be installed so that they are only accessible to individuals with authorized access.

i. Manhole covers shall be secured to prevent unauthorized entry into facilities or areas that store arms.

3. ARMS PARTS. Major parts for arms (such as barrels and major subassemblies) shall be afforded at least the same protection as SRC IV arms. The frame or receiver of an arm constitutes a weapon and such parts shall be stored according to the applicable SRC (e.g., the receiver of a .50 caliber machine gun shall be stored as a SRC II arm).

4. FACILITIES LOCATED OUTSIDE A MILITARY INSTALLATION

a. In addition to meeting the requirements of this Manual, SRC II-IV arms shall have the bolts removed and secured in a separate GSA-approved Class 5 security container or GSA-approved weapons container in response to any of the conditions listed in subparagraphs 4.a.(1) through 4.a.(5) in this enclosure.

(1) Facility does not meet the structural requirements of this Manual (e.g., undergoing security upgrade).

(2) Increased threat conditions.

(3) Inoperative IDS.

(4) The facility is unattended for extended periods of time with the arms stored inside.

(5) As directed by DoD Component policy.

b. Bolts so removed shall be tagged or marked with the weapons' UII to ensure return to the same weapons.

5. ISSUANCE OF ARMS. The Heads of the DoD Components shall prescribe and implement procedures for issuing arms for training and/or mission performance purposes. Such procedures shall include:

a. A system to identify and authenticate persons authorized to remove arms from arms rooms/storage areas.

b. A sign-in, sign-out register/log that reflects the name and signature of the individual removing or returning the arms, date and time of sign-out and return, and reason for use.

c. Expeditious inquiry of all instances where arms were not returned within stipulated timeframes.

d. Emergency issuance procedures that ensure the integrity of the accountability system.

6. PERSONALLY RETAINED WEAPONS

a. DoD Components, dependent on situation, shall also prescribe physical security measures or delineate compensatory measures in accordance with this Manual for those persons identified in paragraphs 4.c. and 4.d. of Enclosure 2 of this Manual. This includes guidance and procedures to prevent loss, theft, and unauthorized carry or use. Firearms shall be returned or retrieved from the person assigned for accountability and safekeeping when, at any time, the security of the firearm could be compromised.

b. Personnel authorized to retain, transport, and store Government-issued firearms at their personal residences and/or Government or non-Government locations shall be provided with a safety-lock device that prevents the firearm from being loaded and instructions for its proper use.

7. PRIVATELY OWNED WEAPONS. DoD Components shall establish policy and procedures commensurate with the requirements for the protection of SRC IV arms in this Manual for the accountability and storage of privately owned weapons and ammunition that are stored in DoD AA&E facilities on installations.

8. CONTRACT GUARD WEAPONS AND AMMUNITION. DoD Components shall establish policy and procedures for the protection of contract guard weapons when stored on DoD installations. When stored on DoD installations, these items shall be protected in accordance with this Manual.

9. FACILITY CONSTRUCTION CRITERIA

a. New construction, major renovations, or use of existing facilities not previously storing arms, other than approved GSA-approved containers, vaults, Type II magazines, and Type II armories, built at AA&E facilities and installations shall be constructed according to this Manual, Reference (i), and Reference (m). New facility construction design shall provide a minimum of 10 minutes' resistance to forced entry against an unlimited supply of hand tools or battery-operated tools.

b. These requirements shall continue to be met or exceeded should applicable an UFC be less protective.

ENCLOSURE 6

PROTECTION OF MISSILES, ROCKETS, AND ALL SRC OF A&E

1. GENERAL

a. Missiles, rockets, and A&E listed in Enclosure 7 of this Manual shall be stored in structures that meet the explosive safety requirements outlined in Reference (i) and provided security protection in accordance with this Manual. Individuals issued or in possession of missiles, rockets, ammunition, or explosives are responsible for the security of such property while it is entrusted to their care.

b. Missiles, rockets, and A&E items installed in or on platforms are considered in use and shall be protected as part of the overall weapon system on which they are installed and protected in accordance with Reference (g) and this Manual.

c. The requirements of this Manual shall be included in the development and security requirements for weapons systems.

2. BULK STORAGE AREAS (MUNITIONS SUPPLY POINTS/STORAGE AREAS)

a. Bulk storage areas are considered to be depot activities, pre-stock points, and ammunition supply points at which bulk quantities of missiles, rockets, and A&E are stored. Storage is usually in original containers.

b. If operational necessity dictates and existing facilities do not meet the criteria of Reference (i) or this Manual, SRC III and IV A&E may also be stored in pre-engineered explosives magazines as specified in Reference (aj), Reference (ao), or a similarly constructed DoD Component-prescribed structure.

c. Type II magazines, in accordance with section 208, part 55 of title 27, Code of Federal Regulations (Reference (ap)) that have been approved for a reduced explosive safety quantity distance arc can only store the quantity and types of explosive ordnance demonstrated in the sympathetic detonation test for that container. Only the explosive items listed in the sympathetic detonation test listed for the particular magazine can be placed inside that magazine.

d. All SRC categories shall normally be stored in original containers, banded, and/or sealed to reflect the integrity of the contents. Where practical, containers weighing less than 500 pounds should be fastened to the structure, or fastened together in groups that have a total weight exceeding 500 pounds, with bolts or chains secured with approved padlocks in accordance with Reference (ag) or Reference (ah). Where such fasteners hinder operational requirements, the facility manager may waive this requirement.

e. Storage structures shall be secured with either high-security padlocks and hasps or ILDs as necessary to ensure protection is afforded according to level of threat. The use of the ILD should be considered for installation and use in new construction and major renovations of magazines storing SRC I and SRC II A&E as necessary to ensure protection is afforded according to the level of threat and SRC category. Contact the DoD Lock Program Technical Support Hotline at (800) 290-7606, DSN (312) 551-1212 or via the Internet at <https://portal.navfac.mil/go/locks> for more information.

3. PERIMETERS, OPENINGS, AND FENCING (SRC I AND II A&E)

a. Fence fabric shall be chain link, i.e., galvanized, aluminized, or plastic-coated woven steel, 2-inch square mesh made from 9-gauge diameter wire, excluding coating that meets Federal Specification RR-F-191K (Reference (aq)). In Europe, fencing may be North Atlantic Treaty Organization Standard Design Fencing (2.5-3mm gauge, 76mm grid opening, 2-meter height, and 3.76-meter post separation).

b. The minimum height of the fence fabric shall be 6 feet excluding top guard/outtrigger. The bottom of the fence will extend 2 inches into the ground. Surfaces will be stabilized in areas where loose sand, shifting soils, or surface waters may cause erosion and thereby assist an intruder in penetrating the area. Where surface stabilization is not possible, or is impracticable, concrete curbs, sills, or other similar type anchoring devices, extending below ground level will be provided.

c. Clear zones shall be established to extend a minimum of 12 feet on the outside and 30 feet on the inside (or to the maximum extent within available land space if minimum requirements cannot be met).

d. The perimeter fence shall have the minimum number of vehicular and pedestrian gates, based on operational requirements. Unless continuously guarded, gates shall be secured with chains in accordance with Reference (ae), or equivalent chain. Chains shall be secured with a general field service padlock in accordance with Reference (af). Hinge pins shall be peened, welded, or otherwise secured.

e. Drainage structures and water passages penetrating or passing under installed fencing with a cross-sectional area opening greater than 96 square inches or greater with the smallest dimension being more than 6 inches shall be barred.

f. If an installation's SRC I and II storage areas have adequate perimeter fencing, it is not required to fence the inner (actual) storage area if the entrance(s) to the storage area is (are) protected by an IDS integrated with CCTV monitoring.

4. EXTERIOR LIGHTING

a. Exterior building and door lighting shall be provided for all structures storing SRC I and II items. The lighting shall be sufficient to allow detection of unauthorized activity.

b. Switches for exterior lights shall be installed in such a manner that they are accessible only to individuals with authorized access. The necessity for perimeter lighting shall be determined by the DoD Components.

c. Facilities used to store A&E shall require illumination in accordance with paragraph 2.h. of Enclosure 5 of this Manual.

5. COMMUNICATIONS. Storage areas shall have a primary and backup means of communications that permit notification of emergency conditions. The backup system shall be a different mode than the primary. Radio may be one of the modes of communication. The communication systems shall be tested with results documented daily or where unique circumstances exist in accordance with DoD Component established procedures.

6. UNIT LEVEL (BASIC LOAD QUANTITIES OR QUANTITIES SUFFICIENT FOR TRAINING AND OPERATIONAL PURPOSES)

a. Unit-level stocks are typically limited quantities housed in a building or facility as described in this section when needed for the purposes of continuous use, tactical configuration, mission requirements, or other storage that may impede training or readiness.

b. SRC I-III missiles and rockets and all A&E SRCs shall be stored in accordance with the guidance for bulk storage areas listed in paragraph 2 of this enclosure or in a manner listed in subparagraphs 6.b.(1) through 6.b.(6) of this enclosure when the requirements outlined in Reference (i) for the appropriate type A&E are met.

(1) An existing arms room constructed in accordance with this manual, Reference (m), or a DoD Component-specified structure.

(2) A GSA-approved outdoor assembled armory vault system in accordance with Reference (ai).

(3) Indoor modular vaults, including GSA-approved modular vault systems in accordance with Federal Specification AA-V-2737 (Reference (ar)) with armory vault doors in accordance with Federal Specification AA-D-600D (Reference (as)).

(4) A GSA-approved Class 5 weapons storage container in accordance with Reference (y), Reference (z), or Reference (aa).

(5) A pre-engineered magazine as described in Reference (aj) or Reference (ao) when operational necessity dictates and existing facilities do not meet the criteria of this Manual or Reference (m) for SRC III and IV A&E.

(6) Secured combat vehicles, aircraft, ships, trailers, or in other configurations required by operational or training requirements, provided constant surveillance of the items is established and maintained. The DoD Components shall prescribe additional security measures for this type of storage that shall prescribe protection requirements commensurate with this Manual.

c. Facility Construction

(1) Personnel doors shall be constructed in a manner listed in subparagraph 6.c.(1)(a) or (b).

(a) GSA-approved Class 5 Armory Vault Doors as described in Reference (as).

(b) Solid hardwood or laminated wood of at least 1 3/4-inch thickness with 12-gauge steel plate on the outside face, or standard 1 3/4-inch thick, hollow metal, industrial-type construction with a minimum 14-gauge skin plate thickness, internally reinforced with continuous vertical steel stiffeners spaced 6 inches on center.

(2) Door bucks, frames, and keepers shall be rigidly anchored and provided with anti-spread filler reinforcement to prevent disengagement of the lock bolt by prying or jacking of the door frame. Door frames shall be designed and installed in a manner that prevents removal of the frame facing. Their construction requirements shall be as exacting as those for the actual doors. For example, where metal doors are used, the frame and thresholds shall also be metal. Door hinges shall be located on the inside and shall be of the fixed-pin security type or equivalent.

(3) Existing access doors (except for GSA-approved Class 5 vault doors, which have built-in three position dial combination lock and doors of GSA-approved Class 5 Weapons storage containers) shall be equipped with a locking device listed in subparagraph 6.c.(3)(a) or (b).

(a) High-security padlock in accordance with the specifications in Reference (al) and high-security hasp in accordance with the specifications in Reference (am).

(b) Integrated ILD in accordance with the specifications in Reference (ak).

(4) New construction or planned upgrades to access doors for SRC I and II missiles and rockets should consider the use and installation of ILDs or GSA-approved armory vault doors.

d. Missiles and rockets shall normally be stored in original containers, banded and sealed to protect the integrity of the contents. Where practical, containers weighing less than 500 pounds should be fastened to the structure, or fastened together in groups that have a total weight exceeding 500 pounds, with bolts or chains secured with approved padlocks in accordance with

Reference (ag) or Reference (ah). Where such fasteners hinder operational requirements, the facility manager may waive this requirement.

e. Windows and other openings shall be kept to a minimum and where used on facilities storing A&E shall comply with the requirements of Reference (i).

f. Exterior building and door lighting shall be provided for all structures storing SRC I and II material. The lighting shall be in accordance with requirements outlined in paragraph 2.h. of Enclosure 5 of this Manual. The Heads of the DoD Components shall determine the necessity for security lighting of structures housing SRC III and IV A&E.

g. Two or more units may share the same storage facility. Where applicable, stocks shall be separated and identified by unit. One unit shall be designated as responsible for the security of the entire facility.

7. INTRUSION DETECTION (BULK STORAGE AND UNIT LEVEL)

a. Each magazine and/or structure (permanent and portable) storing SRC I and II missiles and rockets, and SRC I and II AA&E, shall be equipped with an IDS as described in Enclosure 4 of this Manual. The exceptions are storage areas that are continuously manned or under constant surveillance to detect unauthorized entry into and around the storage structures. For areas with an IDS, an individual from a supervised and armed security force (where allowed by local jurisdiction) shall randomly check all alarmed structures at least once daily during non-duty hours, or more often based on threat or risk assessment.

b. Structures containing SRC III missiles and rockets, and SRC III and IV A&E, do not require IDS. However, they do require security force checks daily during non-duty hours. IDS for portable pre-engineered explosive magazines that contain SRC III and IV shall be determined by the responsible DoD Component. If SRC III and IV structures/containers are equipped with IDS, daily security force checks during non-duty hours are not required.

ENCLOSURE 7

SENSITIVE CONVENTIONAL AA&E SRC

1. GENERAL. This enclosure outlines processes for identifying the SRC of AA&E based on utility, casualty or damage effect, adaptability, and portability. The SRC identification process supports the minimum security requirements to protect AA&E adequately. This enclosure includes SRC I-IV and provides guidance for uniform identification and coding of AA&E items.

a. On the basis of their relative utility, attractiveness, and availability to criminal and terrorist elements, AA&E shall be categorized according to the risks involved. Any single container that contains a variety of spare parts that can be assembled to perform the basic function of the end item shall be categorized the same as the end item.

b. Section 2 of this enclosure lists those missiles and rockets determined to be sensitive and assigns appropriate risk categories to them. Conventional missiles and rockets that meet the definition of SRC I shall be included automatically in that category as they come into the inventory.

c. Sensitive Conventional AA&E, rocket, and missile SRC and actions for physical security accountability and transportation shall be standardized throughout the Department of Defense. These items shall be integrated into standard catalog data by all DoD Components and shall be included in applicable documents that address physical security, accountability, storage, transportation, and other related functional activities. DoD Component item managers through joint-Service coordination shall use the processes outlined in section 4 of this enclosure for determining the SRC of AA&E for uniform identification and codification of AA&E items. Examples are in sections 2 and 3 of this enclosure.

d. To ensure a uniform approach to AA&E item identification and coding, DoD Components shall incorporate the criteria into their respective cataloging policies and procedures. Additionally, the criteria shall become part of the Federal cataloging system.

e. The DoD Components shall periodically review A&E coding by means of routine catalog data changes. The exception to applying the methodology specified in this enclosure shall be when a joint-Service agreement is reached on a case-by-case basis to place an item in a higher or lower SRC than that indicated by the total numerical value, or when evidence of theft, diversion, or misuse requires higher coding.

f. The OUSD(I&S), based on threat assessment, evaluated risk, and geographical location, may determine the requirements for items to be placed in higher risk category or application of additional security measures. When this method for determining increased protection is applied, a DoD-wide message shall be prepared and provided to DoD Components.

g. Items represented as examples for each SRC are provided for general reference. The specific SRC category of all AA&E should be verified through appropriate supply and logistics systems to ensure accurate designation and incorporation of security measures.

2. MISSILES, ROCKETS, AND A&E

a. Missiles and Rockets

(1) SRC I. Man-portable missiles and rockets in a ready-to-fire configuration or when jointly stored or transported with the launcher tube and/or grip-stock and the explosive round, although not in a ready-to-fire configuration, shall be considered SRC I weapon items. Examples include:

(a) Stinger missiles.

(b) Dragon, Javelin, light antitank weapon (66mm), shoulder-launched multi-purpose assault weapon rocket (83mm), M136 (AT4) anti-armor launcher and cartridge (84mm).

(2) SRC II. Missiles and rockets that are crew-served or require platform-mounted launchers and other equipment to function include HYDRA-70 rockets and the tube-launched optically wire guided (TOW) missile.

(3) SRC III. Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function include the HELLFIRE missile.

b. A&E

(1) SRC I. Complete explosive rounds for SRC I missiles and rockets include those items listed in section 2.a.(1) of this enclosure.

(2) SRC II. Examples include:

(a) Hand or rifle grenades (high-explosive and white phosphorous).

(b) Antitank or antipersonnel mines (each with an unpacked weight of 50 pounds or less).

(c) Explosives used in demolition operations, C-4, military dynamite, and trinitrotoluene (TNT) with an unpacked weight of 100 pounds or less.

(d) Warheads for sensitive missiles and rockets weighing less than 50 pounds each.

(3) SRC III. Examples include:

(a) Ammunition, .50 caliber and larger with explosive-filled projectile (unpacked weight of 100 pounds or less).

(b) Incendiary grenades and fuses for high-explosive grenades.

(c) Blasting caps.

(d) Supplementary charges.

(e) Bulk explosives.

(f) Detonating cord.

(g) Warheads for sensitive missiles and rockets weighing more than 50 pounds, but less than 100 pounds each.

(4) SRC IV. Examples include:

(a) Ammunition with non-explosive projectile (unpacked weight of 100 pounds or less).

(b) Fuzes (other than those for high-explosive grenades).

(c) Illumination, smoke, and chlorobenzylidene malononitrile (CS grenades).

(d) Incendiary destroyers.

(e) Riot control agents (100 pound package or less). Excludes liquid pepper spray that is procured or manufactured through commercial sources.

(f) Ammunition for weapons not otherwise categorized in paragraph 3.c. in this enclosure.

(g) Explosive compounds of sensitive missiles and rockets (except warheads).

(h) Warheads for precision-guided munitions weighing more than 50 pounds (unpacked weight).

3. ARMS

a. SRC II. Examples include:

(1) M-16/M4s

(2) Light automatic weapons up to and including M249, M2, and 40mm MK19 machine guns.

(3) SRC II weapons frames and receivers; and weapons components such as silencers, mufflers, and noise suppression devices.

b. SRC III. Examples include:

(1) Functional launch tube with umbilical squib installed and grip stock for the Stinger missile.

(2) Launch tube, sight assembly, and grip stock for missiles.

(3) Tracker for the Dragon missile.

(4) Mortar tubes up to and including 81mm.

(5) Grenade launchers (single shot).

(6) Rocket and missile launchers with an unpacked weight of 100 pounds or less.

(7) Flame throwers.

(8) The launcher, missile guidance set, or the optical sight for the TOW and the Javelin Command Launch Unit.

c. SRC IV. Examples include:

(1) Single shot and semi automatic (non-automatic) shoulder-fired weapons such as shotguns and bolt action rifles and weapons barrels.

(2) Handguns.

(3) Recoil-less rifles up to and including 106mm.

4. CAT-U. Examples include, AA&E such as those items with numerical ratings of 13-16. AA&E that are uncategorized and/or generally exceed an unpacked weight of 100 pounds shall have security policy developed by the responsible DoD Component.

5. COMPUTATION OF SRC. The DoD Components shall use Tables 2 through 6 to determine the numerical value of each risk factor (utility, casualty or damage, adaptability, and portability) and compute the overall risk and SRC. To determine the numerical rating corresponding to risk, select one value from each table (Tables 2 through 5) and then total the four numbers. Use the total to obtain the overall SRC value from risk factor SRC Conversion table (Table 6).

Table 2. Utility Risk Factor Values

Utility	Risk Factor	Description
High	1	High-explosive, concussion, and fragmentation devices.
Moderate	2	Small arms ammunition.
Low	3	Ammunition items not described in section 4 of this enclosure. Non-lethal munitions, civil disturbance chemicals, incendiary devices.
Impractical	4	Practice, inert, or dummy munitions; small electric explosive devices; fuel thickening compound; or items possessing other characteristics that clearly and positively negate potential use by terrorist, criminal, or dissident factions.

Table 3. Casualty or Damage Risk Factor Values

Casualty or Damage Effect	Risk Factor	Description
High	1	Extremely damaging or lethal to personnel; devices that would probably cause death to personnel or major material damage.
Moderate	2	Moderately damaging or injurious to personnel; devices that could probably cause personnel injury or material damage.
Low	3	Temporarily incapacitating to personnel.
None	4	Flammable items and petroleum based products readily available from commercial sources.

Table 4. Adaptability Risk Factor Values

Adaptability	Risk Factor	Description
High	1	Usable as is without modification. Easy to employ without the use of other system components.
Moderate	2	Slight modification. Other system components required; or can be used with slight modification.
Low	3	Major modification. Other components not available in the commercial market are required; or can be used with modification that changes the configuration.
Impractical	4	Requires specified functions or environmental sequences that are not readily reproducible, or construction makes it incapable of producing high order detonation; for example, gas grains and impulse cartridges.

Table 5. Portability Risk Factor Values

Portability	Risk Factor	Description
High	1	Items easily carried/concealed by one person.
Moderate	2	Items that can be carried by one person for a short distance despite their shape, size, and weight.
Low	3	Items that require at least two persons to carry because of their shape, size, and weight.
Impractical	4	Material handling equipment required. The weight, size, and shape of these items preclude the movement without materials-handling equipment.

Table 6. Risk Factor Numerical Values and SRC Conversion

Numerical Rating (Sum totals from Decision Tables 3-6)	Risk Factor Evaluation	SRC ¹
(4-5)	High sensitivity	II
(6-8)	Moderate sensitivity	III
(9-12)	Low sensitivity	IV
(13-16)	Non-sensitive	U
¹ SRC I calculation is not included since it is specifically defined.		

ENCLOSURE 8

INVENTORY, UII REGISTRATION, DISPOSAL, AND DEMILITARIZATION

1. GENERAL. The control of AA&E is critical to their protection. In order to control and maintain accountability of AA&E effectively, the requirements in subparagraphs 1.a. through 1.c. of this section shall be met to ensure that AA&E are properly safeguarded:

a. Inventories of weapons and ammunition at the unit level should not be conducted by unit armorers, persons authorized unaccompanied access, or by the same person two consecutive months in a row.

b. DoD Components shall establish procedures for item managers to ensure adequacy of requisition verification of SRC I missiles and rockets. The procedures shall include positive steps for rejecting unauthorized requisitions. Procurement contracts shall provide for individual items serialization.

c. Statistical sampling of items outlined in DoD Instruction 4140.01, (Reference (at)) can be used based on DoD Component implementation policy and consistent with this enclosure.

2. PHYSICAL INVENTORY CONTROL PROCEDURES. In accordance with Reference (m), the items listed in subparagraphs 2.a. through 2.c. of this enclosure require inventories.

a. SRC I missiles and rockets and SRC II-IV arms (includes other sensitive conventional arms in addition to small arms). Physical inventories shall be performed in accordance with Reference (m) and subparagraphs 2.a.(1) through 2.a.(4) of this enclosure.

(1) Unit-level personnel shall conduct a 100 percent monthly physical count by serial number or UII.

(2) Installation-(post, camp, base, station) level personnel shall conduct a 100 percent semi-annual count by serial number or UII.

(3) Depot-level personnel shall conduct a 100 percent annual physical inventory.

(4) Where the items are banded and crated, the inventory shall consist of a 100 percent count, as reflected by the number of items listed on the crates. Any evidence of tampering shall be cause for a crate to be opened and a 100 percent count taken of the contents. Inventory records shall be retained for a minimum of 2 years.

b. SRC II or III missiles and rockets. Each DoD Component having custody of SRC II and III missiles and rockets shall establish and maintain records that provide continuous accountability (receipt, storage, shipment, and destruction/demilitarization (DEMIL)). These records shall include and reflect missiles and rockets issued for training; missiles and rockets

returned unexpended from training; and expended residue as applicable. Additionally, the DoD Components shall establish requisition verification procedures as specified in section 1 of this enclosure for SRC I missiles and rockets. Physical inventories shall be performed in accordance with Reference (at) and subparagraphs 2.b.(1) through 2.b.(4) of this enclosure.

(1) Unit-level personnel shall conduct a 100 percent quarterly physical count by serial number or UII.

(2) Installation-(post, camp, base, station) level personnel shall conduct a 100 percent semi-annual count by serial number or UII.

(3) Depot-level personnel shall conduct a 100 percent annual physical count.

(4) Where the items are banded and crated, the inventory shall consist of a 100 percent count, as reflected by the number of items listed on the crates. Any evidence of tampering shall be cause for a crate to be opened and a 100 percent count taken of the contents. Inventory records shall be retained for a minimum of 2 years.

c. SRC I-IV A&E at units, installations, and depots. Physical inventories shall be performed in accordance with Reference (at) and subparagraphs 2.c.(1) through 2.c.(4) of this enclosure.

(1) Unit-level personnel shall conduct a 100 percent monthly physical count of the contents of any unsealed containers. This also applies to items issued and stored outside AA&E storage areas.

(2) Installation-(post, camp, base, station) level personnel shall conduct 100 percent semiannual physical count of the contents of any unsealed containers.

(3) Depot-level personnel shall conduct inventories as a minimum as prescribed in Reference (at).

(4) Where the items are banded and crated, the inventory shall consist of a 100 percent count, as reflected by the number of items listed on the crates. Any evidence of tampering shall be cause for a crate to be opened and a 100 percent count taken of the contents. Inventory records shall be retained for a minimum of 2 years.

3. INVENTORY ADJUSTMENTS. When processing inventory adjustments, no AA&E loss shall be attributed to an accountability or inventory discrepancy unless determined through investigation that the loss was not the result of theft.

4. DISPOSAL AND DEMIL. Disposal and DEMIL of all excess and surplus AA&E shall be accomplished in accordance with DoD Manual 4160.21 (Reference (au)) and the explosives safety requirements in Reference (i). AA&E being disposed of (e.g., FMS, transfer to law

enforcement agencies) shall be stored and transported in accordance with this Manual until custody is transferred to a non-DoD entity or activity.

5. INVENTORY WHEN CUSTODY OF KEYS TO UNIT LEVEL ARMS STORAGE FACILITIES IS TRANSFERRED.

The Heads of the DoD Components shall prescribe and implement inventory procedures that ensure physical counts of arms and ammunition by both incoming and outgoing key custodians each time the custody of the keys is transferred. For boxes and containers that are sealed or locked, the inventory shall consist of a 100 percent count as reflected by the number of items listed on the boxes and containers. Evidence of tampering shall cause the boxes to be opened and the contents counted. Inventory results shall be retained until completion of the next UII inventory.

6. PERSONNEL. Personnel who are responsible for the accountability of AA&E shall be made aware of the importance of accurate receipt, dispatch, and inventory records. The requirement for scheduled inventories shall be emphasized to ensure compliance with established policy. Personnel shall follow procedures for processing inventory adjustment gains and losses as prescribed in Reference (m).

ENCLOSURE 9

PHYSICAL SECURITY OF AA&E AT CONTRACTOR FACILITIES

1. GENERAL. AA&E in the custody of contractor owned facilities shall be protected according to the provisions of this Manual through the express terms of the contract. Any additional requirements imposed by a DoD procuring command or activity shall be specified in section H, "Special Clauses Section," of the contract. DoD Components shall furnish additional guidance issued for the protection of AA&E to the OUSD(I&S) Director of Security.

2. CONTRACTOR-OWNED AA&E PRODUCTION AND STORAGE FACILITIES. These facilities include areas where, through contract with the DoD Components, arms, ammunition, and/or explosives are manufactured, retrofitted, modified, or developed. This enclosure outlines the additional requirements not further defined in this Manual that apply specifically to contractor-owned facilities. In addition to this enclosure, all other requirements in this Manual and Reference (i) which are applicable to the SRC of AA&E being controlled, stored, or otherwise in the control of the contractor shall be applied.

3. FACILITY CONSTRUCTION. AA&E in production and/or storage at contractor-owned facilities shall be secured in one of the structures listed in subparagraphs 3.a. through 3.i. of this enclosure as prescribed and authorized by the procuring command/activity:

- a. A structure built in accordance with Reference (i).
- b. A structure that complies with Reference (k).
- c. A portable explosives magazine as specified in Reference (aj).
- d. A structure built according to the procuring command/activity's applicable Military Department or UFC construction requirements for AA&E as supplemented by guidance in this Manual.
- e. A storage structure built in accordance with Reference (m) to meet appropriate threat and delay time requirements.
- f. An existing structure if approved by the procuring command/activity. The procuring command/activity shall coordinate with the supporting DSS field office for those facilities approved for use by the procuring command/activity. The procuring command/activity shall ensure alternative or compensatory measures are implemented prior to approval of existing structures that are not compliant with this Manual. The procuring command/activity shall maintain a list and provide a copy to the DSS supporting field office.

g. A GSA-approved modular vault (see Reference (ar)) with a GSA-approved Class 5 Armory Vault Door in accordance with Reference (as).

h. A GSA-approved Class 5 map and plan container (see References (y) and (z)), or GSA-approved Class 5 weapons storage container (see Reference (aa)), for the storage of SRC III and IV arms only.

i. A Type II Magazine (for storage of SRC III and IV A&E only) pursuant to Reference (ap).

4. CONTRACTOR FACILITY SUITABILITY DETERMINATION

a. Procuring command/activity approval (authorization) of any of the structures in section 3 of this enclosure shall be based on one or all of the items in subparagraphs 4.a.(1) through 4.a.(4) of this enclosure.

(1) Type and quantity of the AA&E in possession of the contractor commensurate with all applicable safety requirements.

(2) Knowledge of the contractor's AA&E storage and production structures based on past contract performance.

(3) Structural information provided by the contractor or DSS representative.

(4) Procuring command/activity on-site visit.

b. The procuring command/activity shall issue a written facility suitability determination to the contractor to show compliance by the contractor with the structural requirements of this Manual. The procuring command or activity may accept suitability determinations made by another procuring command /activity as long as the structural integrity of the same facility is unchanged. If more than one structure is involved for a given contract, the determination may encompass all of the applicable structures to avoid the necessity of a separate suitability determination for each storage structure. The suitability determination process must begin at the pre-award stage of the contract.

5. ADDITIONAL PROTECTIVE MEASURES

a. Security Locks and Hasps

(1) Access doors to storage and production structures shall be secured with a key-operated high-security padlock (see Reference (al)) and hasp (see Reference (am)). GSA-approved Class 5 vault doors and doors of GSA-approved Class 5 weapons storage containers, and doors of Type II magazines are excluded from this requirement. High-security locks and hasps may be provided to the contractor as Government-furnished equipment, or the contractor

may procure these items from the Defense Supply Center, Philadelphia, as directed by the procuring activity.

(2) The lock and hasp requirement is intended for production structures where AA&E is to be left unattended overnight. If AA&E is removed at the end of the duty day from structures identified in section 2 of this enclosure, no special lock is required to be installed on the production structure.

b. Combination, Key, and Lock Control. The contractor shall implement a control system that ensures accountability and control of AA&E locks, keys, and combinations.

(1) The contractor shall appoint a key and lock custodian to implement and supervise the control and use of locks, keys, and combinations.

(2) AA&E storage structure keys shall be retained separately from other keys and accessible only to those persons whose duties require access to AA&E.

(3) The number of keys shall be held to the minimum necessary and must be signed for by those persons authorized access.

(4) When not attended or in use, keys shall be stored in approved containers as described in Table 1 in Enclosure 4 of this Manual. Reserve or replacement locks, cores, and keys shall be secured in the same manner as addressed in Table 1 in Enclosure 4 of this Manual.

c. Access Control. The contractor shall ensure that only appropriately cleared persons and authorized persons are granted access to AA&E. Vehicular and pedestrian entry into and exit from the production and storage areas shall be controlled. Privately owned vehicles shall not be parked within 100 feet of storage and production structures.

d. Security Lighting. Exterior building and door lighting shall be provided for all structures containing SRC I and II items. The lighting shall be sufficient to allow security forces to detect unauthorized activity. Switches for exterior lights shall be installed in such a manner that they are accessible only to individuals with authorized access.

e. Perimeter Fencing. The need for perimeter fencing of structures containing SRC I and II items shall be determined by the procuring command/activity after consultation with the AA&E contractor and/or the DSS representative. Guidelines for fencing are contained in Reference (aq). Perimeter fence chains as described in Reference (ae) shall be secured with a general field service padlock (see Reference (af)).

f. Intrusion Detection/Alarm System

(1) Structures storing SRC I and II missiles and rockets, SRC I and II A&E, and SRC II-IV arms shall be protected by an IDS unless the areas where they are located are continuously manned or under constant surveillance so that unauthorized entry can be detected. The necessity

for non-duty hour security checks of these structures shall be determined by the procuring command/activity after consultation with the AA&E contractor and/or the DSS representative.

(2) All materials and equipment used in the IDS shall be listed in Reference (u) under the specific alarm configuration/application, or be a system approved by the procuring commands DoD Component authority listed in paragraph 6.b. of Enclosure 4 of this Manual. A list of manufacturers of UL-listed IDS equipment is available from the UL Website at <http://www.ul.com> or from:

Underwriters Laboratories, Inc.
Publication Stock
333 Pfingsten Road
Northbrook, IL 60062

(3) All IDS material and equipment shall be installed according to the criteria established in Reference (u). Reference (u) provides the technical requirements for installation, maintenance, testing, and operation of alarm equipment installed in an area or on an object that contains material for which physical security protection is necessary and required by this Manual.

(4) IDS transmission lines shall have line security (electronically monitored to detect evidence of tampering or attempted compromise). If line security is unavailable, two independent means of signal transmission from the alarmed area to the monitoring station shall be provided. Where feasible, one of the two independent means of alarm signal transmission shall be either a long-range radio or cellular telephone link. The dual transmission equipment shall continuously monitor the integrity of both the telephone wire line and cellular or long-range links. Upon loss of either communications path, the system shall immediately initiate notification to the monitoring facility via the remaining communications link. The AA&E contractor shall test the alarm sensors monthly to ensure the proper functioning of the system. A log of such test shall be retained for a period of 1 year.

(5) All alarm signals shall annunciate at a central control or monitoring station from which an armed police or security response force can be dispatched directly. Such station may be either a commercial central station listed with UL, an AA&E contractor proprietary station, or a local law enforcement monitoring station, or Government Contract Monitoring Station as specified in Reference (u).

(6) Alarm systems must comply with Reference (u) unless an exception is granted by the government procuring command/activity. Each alarmed area must be issued a certificate by the UL-listed alarm installing company or DoD Component approving office as listed in Enclosure 4.

(7) The response force shall respond within 15 minutes after receipt of an alarm signal and consist of one of the types of responses listed in subparagraphs 5.f.(7)(a) through 5.f.(7)(c) of this enclosure.

(a) In-house AA&E Contractor Response Force. This refers to the AA&E contractor employee(s) on-site at the AA&E facility during non-duty hours. It also refers to a contract guard on-site during non-duty hours at the AA&E facility. These response forces are the responsibility of the AA&E contractor, rather than being controlled by a commercial central station or local law enforcement.

(b) Response Force Dispatched By a Commercial Central Station. Such force remains on the premises until a designated representative of the AA&E contractor arrives to assess the nature of the alarm and takes appropriate measures to ensure the security of the AA&E or for a period of not less than 1 hour. If the AA&E contractor representative fails to arrive within 1 hour, the central station (by contractual agreement) shall provide an incident report to the AA&E contractor within 24 hours of the incident. The report shall include the name of the subscriber, date and time of the alarm, and name of the contractor representative(s) notified to respond.

(c) Local Law Enforcement Agency. The AA&E contractor shall arrange for the law enforcement agency monitoring station to contact his or her designated representative within 15 minutes of alarm activation. If off site, the contractor's representative shall arrive at the premises within 1 hour of the alarm notification to assess the nature of the alarm and take appropriate measures to ensure the security of the AA&E. Arrangements shall also be made for the law enforcement authority to notify the contractor when the contractor's representative fails to arrive within 1 hour as required.

(8) The AA&E contractor shall arrange for constant manning/surveillance of AA&E storage areas by security personnel during duty and non-duty hours when the IDS is inoperative due to equipment failure/repair, and/or during emergency conditions. When classified AA&E is involved, security personnel shall be cleared to the level of classified access.

6. AA&E PRODUCTION LINE SECURITY. The contractor shall assess the security vulnerabilities involving AA&E manufacturing/production operations in order to prevent the theft or pilferage of munitions during manufacturing. The contractor shall develop appropriate production line security countermeasures. Such protective measures shall be in writing and provided to the DSS for review. Procedures shall be included outlining protective measures to be employed when the production line(s) is left unattended. CCTV, metal detectors at exit points, additional barriers, and changes in production line processes are examples of protective measures that may be employed.

7. IN-TRANSIT SECURITY. The procuring command/activity shall advise the contractor of requisite transportation security requirements for shipments of AA&E to Government activities, other contractors, or subcontractors according to Enclosure 10 of this Manual and applicable provisions of Chapter 205 of Reference (j) that the contractor shall follow. Contractors shall ensure that internal movement (transportation on a contractor's facility) of SRC I and II AA&E includes the contractor's ability to communicate with security and safety personnel.

8. CLASSIFIED AA&E. Contractors manufacturing, storing, transporting, or in possession of classified AA&E shall be cleared in accordance with Reference (n). Classified AA&E, if also categorized according to Enclosure 7 of this Manual, shall be stored and transported according to the provisions of this Manual. All other classified AA&E not categorized according to Enclosure 7 shall be protected in accordance with Reference (o).

9. ACCOUNTABILITY. The procuring command/activity shall require the contractor to be accountable for AA&E produced/manufactured or under their control. The contractor is accountable for AA&E items with which they are furnished in support of a DoD contract as well. The contractor shall provide the procuring command/activity with a written procedure of how accountability shall be established and retained, including inventories at specified frequencies. A copy of these procedures shall be furnished to DSS upon approval by the procuring command/activity.

10. DISPOSAL AND DEMIL OF AA&E. The procuring command/activity shall provide instructions to the contractor concerning the disposal and DEMIL of residual AA&E. AA&E awaiting such disposal may be stored outside in an “open” manner (excluding SRC I and II AA&E) provided the conditions in subparagraphs 10.a. through 10.e. of this enclosure are met.

a. The items remain under constant surveillance (e.g., CCTV, physical presence of contract employees, or contract employees who are able to maintain constant visual observation of the AA&E).

b. The items are enclosed in a fenced area with 24-hour access control. The fence must be constructed according to the guidelines in Reference (aq).

c. The items are banded and crated, with proper accountability and inventory procedures in place as prescribed by the procuring command/activity.

d. The open storage area is lighted during the hours of darkness or times of reduced visibility to enhance surveillance.

e. The surveillance system in place provides for the immediate detection of illegal activity, notification to monitoring locations, and 15-minute response as described in subparagraph 5.f.(7) of this enclosure.

11. ARMS PARTS. Major parts for arms (such as barrels and major subassemblies) shall be afforded at least the same protection as SRC IV arms. An arms frame or receiver constitutes a weapon and such parts shall be stored according to the applicable category (e.g., the receiver of a .50 caliber machine gun shall be stored as a SRC II arm).

12. INCIDENT REPORTS

a. Contractors shall report the incidents listed in subparagraphs 12.a.(1) through 12.a.(6) of this enclosure, no later than 72 hours after discovery, to the office of the appropriate DSS Regional Director for Industrial Security and the Government procuring command/activity (these points of contact can be found at <http://www.dss.mil>):

(1) All AA&E thefts and losses.

(2) Significant damage (e.g., explosion, fire, flood, other natural disasters) to AA&E and/or AA&E structures.

(3) Any attempted or actual armed robbery of AA&E items.

(4) Forced entry or attempted forced entry into AA&E areas.

(5) Evidence of illegal trafficking of AA&E.

(6) Evidence of terrorist activity directed against AA&E areas as determined by local, State, or Federal law enforcement, or responsible DoD Component.

b. The contractor shall also notify local law enforcement and the local FBI office of any of the incidents described in this section immediately upon discovery. After the initial notifications, the contractor shall send a written report of the incident to the appropriate DSS office.

13. PHYSICAL SECURITY DEVIATIONS

a. Deviations from this Manual.

(1) Waivers may be approved for temporary relief from a specific requirement in this Manual pending action to conform to such requirement. Waivers shall be granted for a period not to exceed 12 months and may be extended only after a review of circumstances confirms the necessity of the extension. Waiver requests shall include a statement as to why the contractor is unable to meet the requirements in this Manual and shall outline compensatory measures proposed by the contractor that shall provide equivalent protection of AA&E at contractor facilities.

(2) Exceptions may be approved for permanent relief from a requirement specified in this Manual. Exceptions shall be granted only when compliance with a requirement from this Manual would unduly impede mission performance as described and documented in the extension request. As with waivers, approved exceptions shall specify the rationale for granting the exception. In addition, approved exceptions shall specify the alternative or compensatory measure(s) that shall provide equivalent protection of the exception security requirement(s).

Exceptions shall be reviewed every 3 years or at contract renewal by the Government procuring command/activity and DSS.

b. The procuring command/activity shall coordinate waiver requests with the office of the appropriate DSS Regional Director for Industrial Security. The procuring command/activity shall forward the waiver request, with recommendations, to its major command for decision. Copies of approved waivers and exceptions shall be provided to the office of the appropriate DSS Regional Director for Industrial Security.

c. Blanket deviations or exceptions shall not be authorized.

14. STANDING PRACTICE PROCEDURES (SPP)

a. Contractors shall prepare and maintain written procedures to implement the requirements in this Manual. These SPP shall be sufficient in scope to provide employees with the procedures necessary to ensure the safeguarding of AA&E. The office of the DSS Regional Director for Industrial Security shall review SPP to determine their adequacy. Contractors shall modify SPP that DSS judges inadequate. A copy of the SPP shall be provided to the office of the DSS Regional Director for Industrial Security, as appropriate, upon request.

b. Contractors shall develop training programs on SPP for those responsible for safeguarding AA&E on an annual basis. SPP training records can be incorporated into other training records and shall be retained for 1 year.

Appendix

Authority and Contract Clauses Relating to DoD AA&E

APPENDIX TO ENCLOSURE 9

AUTHORITY AND CONTRACT CLAUSES RELATING TO DoD AA&E

1. AUTHORITY. The AA&E program falls under parts 223 and 252 of title 48, CFR (Reference (av)).

2. CONTRACT CLAUSES. Some clauses of Reference (av) that are relevant to the Industrial Security Representative and/or contracting activity include:
 - a. Clause 223.7200 – Definition of AA&E. This clause means those items within the scope of Enclosure 7 of this Manual.

 - b. Clause 223.7201 – Policy. This clause establishes the conditions in which the requirements of this Manual shall or shall not apply to contracts:
 - (1) The requirements of this Manual shall apply to contracts when:
 - (a) AA&E is provided to the prime contractor or subcontractor as Government-furnished property; or

 - (b) The contractor’s principal development, production, manufacture, or purchase of AA&E is for DoD use.

 - (2) The requirements need not apply to contracts when:
 - (a) The AA&E acquired under the contract is a commercial item within the meaning of subpart 2.101 of the Federal Acquisition Regulation (Reference (aw)); or

 - (b) The contract shall be performed in a Government Owned Contractor Operated ammunition production facility. However, if subcontracts issued under such a contract shall meet the criteria of subparagraph 2.b.(1) of this appendix, the requirements in this Manual shall apply.

 - c. Clause 223.7202 – Pre-award Responsibilities. This clause specifies that when an acquisition includes AA&E, technical or requirements personnel must state in the purchase request that AA&E is involved and which physical security measures in this Manual apply.

 - d. Clause 223.7203 – Contract Clause. This clause instructs the procuring activity to include clause 252.223-7007, “Safeguarding Sensitive Conventional Arms, Ammunition, and Explosives,” in all solicitations and contracts in which this Manual applies. This clause also instructs the procuring activity to complete paragraph (b) of clause 252.223-7007 of Reference (av).

e. Clause 252.223-7007 – Safeguarding AA&E. This clause:

(1) Requires the identification of the AA&E that is subject to this Manual by name, national stock number, and sensitivity risk category.

(2) Obligates the contractor to comply with the requirements in this Manual as specified in the Statement of Work.

(3) Obligates the contractor to allow DSS, and other appropriate Government representatives, access to its facilities and those of its subcontractors at all reasonable times to conduct surveys, inspections, and investigations necessary to review compliance with the physical security standards of the contract.

(4) Requires the contractor to notify DSS within 10 workdays when it issues a subcontract and to ensure the clause is included in every contract, including all sub-tier contracts.

3. ADDITIONAL REQUIREMENTS. The contractor is also advised that it must comply with applicable Federal, State, and local laws, ordinances, codes, and regulations, including obtaining all required licenses and permits in connection with the performance of the contract.

ENCLOSURE 10

AA&E TRANSPORTATION SECURITY

1. GENERAL. This enclosure prescribes transportation security standards and procedures for security of conventional AA&E as described in Enclosure 7 of this Manual.

a. Classified AA&E in transit shall be protected according to this enclosure and Reference (d).

b. AA&E in transit via the Defense Transportation System (DTS), or its approved carrier, shall be provided security according to the transportation security requirements described in Chapter 205 of Reference (j). Additional security requirements shall be specified in times of increased threat (e.g., an increased FPCON level declared by the Head of the DoD Component). The security requirements may be modified during military contingency operations/deployments by the affected Component Heads with advice and assistance from the U.S. Transportation Command (USTRANSCOM) and its subordinate commands.

c. To the extent possible, organic/unit movement of AA&E shall be provided the same degree of protection as commercial shipments in accordance with Chapter 205 of Reference (j).

d. The DoD Component's headquarters may authorize alternative security procedures for small quantities of arms and associated ammunition as determined by the DoD Component for marksmanship training and/or competition on a case-by-case basis. Such items must be in the custody of a designated individual.

e. Transportation security requirements for AA&E by Explosive Ordnance Detail or explosive or munitions emergency response specialists conducting explosive destruction or recovery and return to DoD inventory of munitions or explosives items found on or off of the installation, shall be determined in accordance with DoD Component policy and established guidelines. During emergency response, the explosives or munitions emergency response specialist(s) shall maintain accountability and control of all AA&E materials in their possession until such items are consumed or returned to the installation-approved AA&E storage locations.

f. The DoD Components shall establish personnel security policy and implementing instructions for driver personnel engaged in transportation of SRC I-IV AA&E and Uncategorized Hazard Class 1.1, 1.2, and 1.3 A&E.

g. AA&E awaiting shipment in military terminals shall be protected as specified in the appendix to this enclosure.

h. DoD activities involved with AA&E shipments shall implement a seal control program to ensure accountability/control of seals. A seal custodian shall be appointed to manage the program. Additional guidance on obtaining and using authorized seals may be obtained by calling the DoD Lock Program Technical Support Hotline (800) 290-7607, (805) 982-1212, or

DSN (312) 551-1212 or via the Internet at <https://portal.navfac.navy.mil/go/locks>. Seal control shall include:

- (1) Procurement.
- (2) Storage.
- (3) Accountability.
- (4) Installation.
- (5) Inspection.
- (6) Response to seal anomalies.
- (7) Removal and inspection.
- (8) Disposal.
- (9) Accounting.

i. Escort services for AA&E shipments moving on an installation shall include:

(1) SRC I. Commercial/Organic/Unit Move: Escort service between all points on the installation during and after normal duty hours.

(2) SRC II-IV. Escort service, except as noted in paragraph 1.e. of this enclosure, is subject to the installation commander's discretion based on the threat, FPCON levels, local on-station AA&E routing procedures, distances between origin and destination points, road conditions, weather, case-by-case on station routing instructions, etc.

(3) UNCATEGORIZED Hazard Class 1.1, 1.2, and 1.3. Same as for SRC II-IV.

j. Shipments including inbound/outbound SRC I and II AA&E-laden Government motor vehicles transiting between facilities such as depots, weapons stations, research and development facilities, posts/camps, bases, stations, and COCO facilities shall be provided escorts. To the maximum extent possible SRC I and SRC II shall be provided the same degree of protection as commercial shipments in accordance with Chapter 205 of Reference (j) and DoD Component policy.

k. Additional methods of transportation of AA&E require joint coordination among OUSD(I&S); Office of the Under Secretary of Defense for Acquisitions, Technology, and Logistics; and USTRANSCOM. See Chapter 205 of Reference (j) for approved methods.

1. The shipper shall verify the SRC and corresponding controlled inventory item code (CIIC) through appropriate Military Service logistics systems to ensure accurate designation of SRC and CIIC and incorporation of security measures prior to shipment.

2. TASKS

a. Within their respective areas of responsibility, the Combatant Commanders shall:

(1) Include the security requirements in this enclosure in applicable tariffs, tenders, agreements, or contracts for the transportation of conventional AA&E.

(2) Promulgate rules and requirements for in-transit security of DoD shipments within their area of operations according to the requirements in this enclosure.

(3) Establish oversight programs to ensure the adequacy of in-transit security provided to DoD shipments by commercial carriers.

b. USTRANSCOM, in addition to the tasks in paragraph 2.a. of this enclosure of this Manual shall:

(1) In coordination with the USD(I&S) and the DoD Components, develop, administer, and maintain joint transportation security requirements for the commercial movement of AA&E via all modes.

(2) In coordination with the USD(I&S) and the DoD Components, develop, administer, and maintain policy and procedures for the protection of DoD AA&E awaiting transportation in commercial terminals.

(3) Serve as the DoD focal point for the execution of AA&E in transit security by commercial carriers; monitor the performance of such carriers in providing specified security services to AA&E shipments.

(4) Prescribe, in accordance with Chapter 205 of Reference (j), security clearance and/or background check requirements for personnel engaged in the transportation of SRC I-IV AA&E and Uncategorized Hazard Class 1.1, 1.2, and 1.3 A&E. The personnel include:

(a) Commercial carrier drivers.

(b) Military escort personnel.

(c) DoD civilian, contractor, and commercial carrier escort personnel.

(d) For foreign personnel see requirements outlined in paragraph 8 of Enclosure 4 of this Manual.

3. STANDARDS

a. When used for transporting AA&E, the doors of approved intermodal containers (Military vans (MILVAN), sea vans (SEAVAN), or container express) shall be securely closed and sealed. End-opening containers shall be placed door-to-door during rail shipments. Barriers on the rail cars shall be used to protect side-opening containers and deter the opening of such cars. AA&E shall be placed in the rear of containers behind non-AA&E items, where compatible, to reduce the opportunity for theft.

(1) In the event of contingencies, exercises, or rotational unit movements where it is not practical to use approved intermodal containers, only armored vehicles that are locked and sealed shall be used to ship AA&E. The AA&E shall be provided double barrier protection by placing it in separate and locked and sealed containers, affixed to the interior of the locked and sealed armored vehicles in a manner that precludes easy removal.

(2) If contingency operations dictate that armored vehicles are to be shipped fully uploaded, double-barrier protection shall be provided to the extent possible, and the vehicles shall be locked and sealed.

b. AA&E shipments shall normally be processed through military-operated and managed air and ocean terminals or through DoD-approved commercial air and ocean terminals. A listing of such terminals is available from SDDC. Any other method of shipment must be approved by the USD(I&S).

c. The in-transit protection of AA&E at commercial and military terminals shall be conducted in accordance with chapter 205 of Reference (j) and applicable SDDC Freight Traffic Rules. Instances of noncompliance within the United States shall be reported to the SDDC Operations Center AA&E hotline at (800) 524-0331. Instances of noncompliance outside the United States shall be reported to the theater combatant command or to the designated theater service support command.

d. Shipments of AA&E (as categorized in Enclosure 7 of this Manual) and uncategorized ammunition or explosives that are Division Hazard Class 1.1, 1.2, and 1.3 A&E shall be prepared, inspected, sealed, released, and provided in-transit surveillance according to chapters 204 and 205 of Reference (j). Shipments shall be checked upon receipt by the receiving activity (consignee) to ensure that seals are intact and for any signs of theft, tampering, or damage. If there are such signs, an immediate inventory shall be performed to determine the extent of theft/loss, tampering, or damage.

(1) If the seals are intact, and there are no signs of damage or tampering, inventory quantity verification of SRC I and II shipments shall be conducted within 24 hours upon receipt.

(2) SRC III and IV shipments shall be subjected to inventory quantity verification within 48 hours of receipt.

e. Instructions shall be provided to rail carriers transporting SRC I and II items requiring them to notify consignees of shipment arrivals at the specified rail yards and/or of the arrivals at the consignees' activities immediately.

4. SPECIAL CONSIDERATIONS FOR SRC I ITEMS

a. Missile rounds shall be packaged separately from launch and control equipment. Missiles shall not be shipped in the same conveyance with launch and control equipment when shipment is by commercial motor carrier. Missiles and launch and control equipment may not be loaded into the same freight container (e.g., MILVAN). SRC I items onboard pre-positioned ships are exempt from this restriction.

b. Separately packaged launch and control equipment may be transported in the same aircraft or on the same ocean vessel. Missile and launch and control equipment in the possession of military units may be transported together at the discretion of the unit's higher headquarters. Where satellite monitoring is not available, missile shipments shall include Security Escort Vehicle Service.

c. UII accountability shall be retained at all times from shipper to consignee. Each container shall be checked, sealed, and locked by two agents of the shipper (in each other's presence) before delivery to the carrier. This two-person integrity is required at each transshipment point and terminal whenever the shipment loses its original identity (e.g., when two or more shipments are consolidated into another container for further movement or if repacking is required).

d. Items moved by unit or organization transportation shall be placed in the custody of a commissioned officer, warrant officer, noncommissioned officer (E-5 or above), or DoD civilian of equivalent grade.

e. Overseas commands may use local nationals for security surveillance to accompany U.S. personnel when status of forces agreements prohibit the arming of U.S. personnel.

5. SPECIAL CONSIDERATIONS FOR WATER SHIPMENTS

a. AA&E shall be transported via the DTS using Military Sealift Command (MSC)-controlled vessels or U.S. flag vessels, with at least two ship's officers who are U.S. citizens accepting security responsibility for the AA&E. When the requirements of this enclosure cannot be met, MSC may approve use of foreign flag chartered vessels provided:

(1) Full responsibilities placed upon the carrier for the shipment must be delineated in applicable tariffs, tenders, agreements, or contracts between the carrier and USTRANSCOM and/or the DoD Component utilizing the carrier's services.

(2) The carrier and ship's personnel are reasonably vetted according to MSC-established guidelines and MSC-specific security and accountability measures that shall compensate for lack of direct U.S. control.

(3) SRC I-III AA&E shipments shall be direct-voyage to destination. There shall be no port calls between departure port and port of destination.

(4) AA&E shall not be left unattended after being offloaded. AA&E shall be taken into custody by U.S. personnel who shall check the seals and the condition of the shipment.

b. Commanders at all levels shall assess the threat and vulnerability of AA&E shipments that transit through their area of responsibility. A risk assessment shall be conducted and include:

(1) The type of sealift assigned to the mission (U.S. Government, contractor, foreign flag carriers, etc.).

(2) The SRC of the AA&E.

(3) The Hazard Classification of the A&E.

(4) The threat assessment and FPCON. Commanders at all levels shall employ appropriate threat mitigation actions, including: crew screening; use of electronic seals, transponders, or other technologies; assignment of embarked security forces (Mobile Security Force) and/or Fleet Antiterrorist Support Teams; embarked security detachments; and combat escorts.

c. Before the voyage, the shipping activity shall provide a written stow plan detailing the location of the AA&E aboard ship and its protection requirements to the ship's captain.

(1) Stow plans must consider security concerns such as cargo compatibility segregation, securing of ordnance cargo in locked and sealed containers, and the stowage of SEAVANS and MILVANS so that doors are not accessible to stevedores or ship's crew.

(2) Break-bulk cargo should be stowed in this priority:

(a) Lockers, refrigerated boxes, or deep tanks that can be locked and sealed.

(b) Bins that can be boxed solidly with plywood or other appropriate materials, and stowed in the upper decks of hatches immediately fore and aft of the ship's house.

d. AA&E shall be stowed in separate, locked containers, inaccessible to unauthorized personnel during ocean transit. The containers shall be subject to periodic surveillance by the vessel's captain and/or the ship's officers as prescribed in Chapter 205 of Reference (j).

e. AA&E shipments shall be direct-voyage to destination. If the cargo must be offloaded en-route, it shall be provided constant surveillance by DoD personnel, if available, or by U.S. citizen crew-members pending reloading.

6. SPECIAL CONSIDERATIONS FOR SMALL QUANTITY SHIPMENTS

a. Small quantities of arms (15 or fewer) may be shipped through the United States Postal Service (USPS) Registered Mail and approved DoD carriers in accordance with Chapter 205 of Reference (j) within CONUS. Small quantity shipments through the USPS shall not include machine guns.

b. Small quantity shipments of 150 pounds or less of CIIC 4, 7, P, U, and Division (Div) 1.4, 1.5, 1.6 A&E may be shipped via the approved carriers as outlined in Reference (j) that includes.

(1) Ammunition is UNCLASSIFIED Hazard Class/ Div 1.4 or less.

(2) Individual requisitions are limited to 4,000 rounds or less.

(3) Ammunition will be packed in unit packages of 4,000 rounds or less.

(4) Each completed package does not exceed 150 pounds.

(5) No more than five packages or 20,000 rounds will be shipped per each conveyance and each package must be destined for a separate consignee.

c. DoD Components may further limit the type and quantity maximums for small shipments of AA&E.

d. Small arms and missile components, excluding components containing live ammunition and explosive sub-assembling, may be sent by registered mail (return receipt requested) when the package size and weight meet USPS requirements and meets the requirements of Chapter 205 of Reference (j).

7. SECURITY OF COMMERCIAL SHIPMENTS TEMPORARILY AT DoD INSTALLATIONS AND ACTIVITIES

a. Shipments of DoD AA&E arriving at DoD installations and activities after normal working hours and/or during non-delivery hours shall be accepted by consignees and provided appropriate secure holding protection commensurate with the sensitivity category of the delivered items. Additional information regarding security-related carrier assistance obligations is available in chapter 205 of Reference (j).

b. DoD installations and activities shall provide a secure holding area for AA&E shipments during emergency conditions (e.g., vehicle breakdowns, criminal/terrorist threats) according to this Manual and Chapter 205 of Reference (j). These holding areas shall be sited according to the explosives safety requirements of Reference (i).

8. OVERSEAS IN-THEATER MOVEMENTS

a. Combatant Commanders, based on mission requirements, host nation rules, FPCON level, and the local threat assessment are responsible for providing adequate security in theater.

b. AA&E in transit shall be provided commensurable protection as closely as possible to the requirements for movements established in chapter 205 of Reference (j)

c. When the transportation protective service(s) required by the DTR is not available, an equivalent service(s) shall be specified for commercial in-theater shipments. When such service cannot be reasonably obtained, compensatory measures shall be taken to reduce risk and achieve equivalent security standards.

9. AA&E SHIPMENTS FROM DEFENSE CONTRACTORS

a. AA&E procurement contracts (including subcontracts) shall include/specify applicable DTR transportation security requirements for AA&E destined to DoD activities, DoD contractors, and DoD subcontractors. AA&E destined to foreign co-production contractors from DoD contractors shall also, by contract provision, be provided necessary transportation security according to the DTR.

b. AA&E shipments to DoD activities or DoD contractors by foreign contractors shall, by contract provision, be provided equivalent DTR-specified transportation security to the nearest U.S.-controlled port facility, and full DTR-specified protection from that point to destination.

10. FMS

a. FMS shipments of AA&E shall be made in accordance with paragraph C7.17. of DoD Directive 5105.65 (Reference (ax)).

b. FMS sensitive conventional AA&E shipments shall be shipped through the DTS to military-controlled ports of embarkation. While within the United States such shipments destined to foreign governments shall be moved via SDDC-cleared commercial munitions carriers. Non-sensitive AA&E may be shipped through carriers compliant with Department of Transportation regulations.

(1) Shipments returning for maintenance, testing, or co-production agreements shall contractually be provided equivalent security to that required by the DTR (Reference (j)) while in transit overseas and within the United States.

(2) Transportation plans for AA&E FMS shipments are required as part of the FMS negotiation process. A sample transportation plan format is provided in this enclosure (see Figure).

(a) Such plans shall be coordinated in advance with the applicable Military Department Security Assistance Command or the Defense Security Cooperation Agency.

(b) SDDC shall be contacted for assistance in developing the in-transit security portion of the transportation plan.

11. TABULAR DISPLAY OF IN-TRANSIT SECURITY REQUIREMENTS. Transit security requirements are outlined in tabular format in Figures 205-4 through 205-8 of Reference (j).

Figure. Sample Generic Transportation Plan for the Transfer of AA&E

1. AUTHORIZATION: [List the FMS Case Designator, Export License Number, Authorization Letter, or International Traffic In Arms Regulations (ITAR) Exemption.]

2. PURPOSE. This transportation plan describes procedures for the transfer by commercial carrier of the [Insert name and nomenclature (if applicable) of the article or technical data] between the United States and [Insert recipient country] as authorized by [Insert the FMS Case designator, License Number, Authorization Letter, or Exemption, as applicable. If an International Traffic in Arms Regulation Exemption is cited, identify the underlying FMS Case, License, etc.]

[Guidance: If there is to be a single shipment under the FMS case or license, the format and requirements of this basic plan should be used. If there are to be recurring shipments, this format should be used as a generic plan to describe the requirements and terms of reference that shall be standard to all the recurring shipments (such as packaging and procedures for responding to searches by port security and customs officials); the details for each shipment shall appear in an annex to the basic plan using a Notice of Consignment. For generic plans, state the contents of annexes if used. A transportation plan shall be used for consignments up to the SECRET classification. Consignments classified at the TOP SECRET level shall be transferred via U.S. Government courier.]

3. DESCRIPTION OF CONSIGNMENT. [Provide a specific, detailed description of the material to be transferred. List end items, parts, sub-assemblies, software, test equipment, technical documents, etc., along with nomenclature and UIC as applicable. No classified information should appear in the description. The description may be appended to the plan as an attachment when the plan is used for a single shipment or included in a Notice of Consignment for recurring classified shipments.]

4. IDENTIFICATION OF RESPONSIBLE GOVERNMENT AND/OR COMPANY REPRESENTATIVES. [Identify the names and/or titles, organizations, the appropriate licensing officials, and each individual's responsibility in the transfer activities (e.g., actions to verify shipment licenses, verify security arrangements, coordinate with security and/or Customs officials). Include depot or company security, licensing officials, and the designated government representatives (DGRs) of the dispatching country who shall verify arrangements and approve the consignment releases. Include the mailing addresses, telephone, fax, and cell phone numbers (business and non-business hours), and e-mail addresses for each country representative of the receiving country who shall sign receipts and assume final security responsibility for classified consignments. Freight forwarders and other commercial agents shall not be designated to act as a government representative as they are transfer agents. This information may be placed in an attachment or in the Notice of Consignment for recurring classified shipments when the information is different for each.]

Figure. Sample Generic Transportation Plan for the Transfer of AA&E, Continued

5. IDENTIFICATION OF COMMERCIAL ENTITIES TO BE INVOLVED IN EACH SHIPMENT. [Identify all commercial entities such as freight forwarders, customers, brokers, commercial carriers (trucking companies, airlines, surface ships, etc.), and DTS-contracted carriers. Include the security clearance levels and storage capability for facilities used. Include the names and/or positions of points of contact (and their alternates) with their addresses; telephone, fax, and cell phone numbers (business and non-business hours); e-mail addresses; and their specific functions/responsibilities. Include the captain's name or other on-board responsible representative briefed on the shipment. For recurring shipments with the information varying for each shipment, place the details in the Notice of Consignment for recurring classified shipments.]

6. PACKAGING THE CONSIGNMENT. [Fully describe how the material shall be packaged, ensuring conformity with the national security rules of the dispatching organization. Explain the requirements for dispatch documentation, inventories, seals, receipts, storage, and security containers. State any unique requirements of the sending and receiving governments. List the specific requirements in the Notice of Consignment for recurring shipments with differing details.]

7. ROUTING OF THE CONSIGNMENT. [Briefly identify the routing, including point of origin (military depot, contractor facility, etc.), any stops or layovers, the locations of transfer of custody (if applicable), and the final destination. Include names and addresses of freight forwarder facilities, ports, railheads, airports, airline terminals, etc. Describe the specific activities at each individual location for which handling and/or security oversight arrangements must be undertaken (e.g., the transfer from service trucks to aircraft holds), as indicated in subparagraphs 7.a. through 7.e. of this figure. These arrangements require advance coordination between the shipper and transport officials and with the security and Customs officials at the point of origin, at stops and layovers, and at transfer points. Similar coordination is also necessary with the officials of the receiving government. Provide the courier and/or escort with a written description of the arrangements including points of contact and alternates. Include the courier/escort's responsibilities and describe any special security arrangements required due to unique transfers, stops, layovers, or processing points. For example, for a required layover, arrangements must be made for security storage of the consignment including arrangements with local government officials. Contingency stopovers must be considered and appropriately addressed in plans. Provide the following information regarding specific activities at each listed location:

a. Procedures and responsibilities for notification of DGR, the carrier and port security officials, and Customs in each country. Include the schedule for the shipment (e.g., date, time, carrier, flight number, port).

b. Procedures and responsibilities for verifying and oversight of loading and sealing/locking the consignments on the carrier. Describe procedures at loading points, and any transfer points, including verifying tally records, surveillance responsibilities, and witnessing of the inventory and loading.

Figure. Sample Generic Transportation Plan for the Transfer of AA&E, Continued

c. Procedures for accessibility by the courier to the consignment while en-route such as priority disembarking from an aircraft at a stop. These procedures shall be arranged in coordination with the freight forwarder/transfer agent, and port and carrier security authorities.

d. Procedures for unloading at destinations, change of custody, and receipt arrangements, including pre-arranged representatives of the dispatching government (if applicable) and the recipient government's DGR. If there are recurring shipments to varying locations and/or the arrangements are different for each shipment, use a Notice of Classified Consignment for further details.

e. For emergency contacts of dispatching and recipient points of contact requiring notification, list phone, fax, and cell phone numbers (business and non-business hours). Include the e-mail addresses. For recurring shipments, place the information in a Notice of Classified Consignment annex.]

8. COURIERS/ESCORTS. [When couriers and/or escorts are used, identify them by name and title, organization, passport number and expiration date, and/or secondary identification. Include the identity of the dispatching company or government official who shall verify the courier/escort's identity. Describe the documentation required by or to be provided to the courier or escort. Include the procedures for ensuring the courier or escort is knowledgeable of customs and security rules and requirements. Provide the procedures for customs searches and contact information for points of contact and alternates. Include the identity of customs and security officials with whom prior arrangements have been made.

A courier or escort must accompany a consignment unless the commercial carrier possesses an appropriate facility security clearance and is under contract to provide a courier and/or escort with a proper personnel security clearance. Couriers and escorts shall not be third party persons (e.g., contract couriers) and must be cleared at the classification level of the material shipped. They shall be briefed on their security responsibilities and shall acknowledge acceptance of those responsibilities by signature. Briefings shall be tailored to the mode of transfer (e.g., commercial air, ships, trucks). Couriers must be provided the specific names of the receiving government's DGR, as well as the person's identification credentials. Each courier or escort shall be issued a "Courier Authorization" and shall be provided a list of planned and emergency secure storage locations, including the points of contact and their contact information. Include as an enclosure to the Transportation Plan, the Courier Certificate and security responsibility briefings from Multinational Industrial Security Working Group Document No.1, "Arrangements for the International Hand Carriage of Classified Documents, Equipment and/or Components." Both are contained in the International Programs Security Requirements Handbook available on the DSS Website at <http://www.dss.mil/> and the Defense Institute of Security Assistance Management Website at <http://disam.osd.mil/>. For recurring shipments, describe the requirements for the courier and/or escorts and the details for each shipment, including the identity of the couriers and/or escorts in the Notice of Classified Consignment.]

Figure. Sample Generic Transportation Plan for the Transfer of AA&E, Continued

9. RECIPIENT RESPONSIBILITIES. [Describe the specific responsibilities of the recipient government for making arrangements with its port security and customs officials to facilitate the shipment's entry. Include the identification and contact information for points of contact and alternates at debarkation locations. Indicate locations for government-to-government transfer. Explain the procedures for moving consignments when the port of entry is different than the final destination. State that it is the responsibility of the recipient government's DGR to inventory the material and receive the consignments at the specified location, including specifically how:

a. The recipient organization shall notify its government security authority and the DGR of the dispatching organization of any deviations in the routes or procedures in the Transportation Plan.

b. The recipient organization shall notify its security authority and the DGR of the dispatching organization of any discrepancies in documentation, any damage and/or tampering with the shipment, or any shortages/missing items.

c. The recipient organization or government shall advise the DGR of the dispatching organization of any known or suspected compromise of classified material or any other exigencies that may have placed the consignment in jeopardy.

d. The recipient DGR shall sign for the contents of the package and return a copy of the receipt to the dispatching organization.]

10. DOCUMENTATION. [Identify the documentation that is related to the shipment, including the packing list, receipts, inventories, letters of offer and acceptance, export licenses, bills of lading, airway bills, signature and tally records, and other items, such as declarations, that are required by law and/or regulation.]

11. RETURN OF MATERIAL. [Identify any requirements for the return of classified material to the manufacturer or government entity in the dispatching country (e.g., for warranty, repair, test, calibration). The information shall usually be general in nature. However, a return Transportation Plan and method shall be documented in the original Transportation Plan. The specific information required for an individual return shipment shall be subsequently described in a Notice of Classified Consignment.]

12. TRANSFER DOCUMENTATION. [Identify the documentation that is related to the shipment, including the packing list, receipts, inventories, letters of offer and acceptance, export licenses, bills of lading, airway bills, signature and tally records, and other items such as declarations that are required by law and/or regulation.]

Appendix

Physical Security of AA&E at Military Terminals

APPENDIX TO ENCLOSURE 10

PHYSICAL SECURITY OF AA&E AT MILITARY TERMINALS

1. GENERAL. This appendix prescribes standards for the protection of conventional AA&E at military transportation terminals. When terminals provide separate, long-term (over 30 days) storage capabilities, the criteria of Enclosures 5 and 6 of this Manual, as applicable, pertain to the structures storing the AA&E.

2. PROTECTION PRIORITIES. The DoD Components responsible for military terminals shall include the protection of AA&E in overall security plans and allocate and prioritize resources according to the AA&E order of priority:

- a. SRC I cargo.
- b. SRC II cargo.
- c. SRC III, IV, and uncategorized cargo.

3. SRC IDENTIFICATION. The DoD Components responsible for military terminals shall establish procedures to ensure prompt identification of SRC cargo in order to provide the protection required by this Manual. When cargo cannot be immediately identified upon arrival, it shall be protected as SRC I pending resolution.

4. TEMPORARY STORAGE (LESS THAN 30 DAYS)

a. Fencing and Lighting. SRC I-IV cargo may be temporarily stored outside in dedicated storage areas that are fenced and lighted. The fence shall meet the requirements of Reference (aq). The lighting shall be sufficient to allow detection of unauthorized activity.

b. Supplemental Controls. Temporary storage areas, or individual conveyances containing SRC I-II items, shall be provided with IDS and CCTV as specified in Enclosure 4 or be under constant surveillance (continually monitored CCTV or human surveillance). Additionally, when IDS or CCTV is used, a supervised armed guard patrol of the areas or conveyances shall be made at least once during non-duty hours.

5. CARGO MOVEMENT

a. SRC I and II. Each SRC I conveyance, or integrated grouping of five or fewer conveyances moved within a terminal, shall be under the constant surveillance of at least one terminal or contractor employee (under contract to the terminal to handle cargo).

b. SRC III and IV. Constant surveillance of the cargo in movement within the terminal shall be maintained by either terminal or contractor employee (under contract to the terminal to handle cargo). Where the terminal area is physically separated from a long-term storage area, movement between these areas shall be under the constant surveillance of at least one terminal or contractor employee (under contract to the terminal to handle cargo) for each conveyance.

c. Terminal Movements. Where the terminal areas are physically separated from a long-term storage area, movement between these areas shall be under constant employee surveillance, with at least two drivers meeting applicable requirements of Enclosure 3 for each conveyance.

6. TERMINAL AREA SECURITY

a. Waterfront and Ships at Berth. When AA&E is on board ships at berth, or present at piers, the area shall be patrolled by a security patrol as prescribed for the highest category of cargo or patrolled at irregular intervals not to exceed 30 minutes, whichever is more stringent. If an integrated CCTV and IDS system is employed, security patrols of the area shall be conducted once every 4 hours during non-duty hours. Waterborne patrols shall be used to augment land-based patrols where feasible.

b. Terminal Gates and Perimeter Areas. Unless continuously guarded, gates shall be secured with locking devices approved by the DoD Components. Hinge pins shall be welded, peened, or otherwise secured. Secured gates and perimeter areas require IDS protection or security patrol checks at least once every 4 hours. When IDS is used, patrol intervals may extend to 24 hours.

7. SEALS

a. Only seals meeting standards identified in Reference (ad) shall be installed on AA&E conveyances that have had the original shipping seals removed. Seal checks and inspections for evidence of breakage or tampering shall be a part of regular patrol or surveillance procedures and of pier loading procedures. Seals applied to SRC I and II shipments shall be verified by seal number once every 8 hours during non-duty hours.

b. Lead seals are no longer authorized.

8. GUARD COMMUNICATIONS. Guards shall be provided primary and backup communications (external and internal) to permit notification of emergency conditions. The backup system shall be a different mode from the primary. Guards shall use radio as one of the communication modes. Communication systems shall be tested daily.

9. TERMINAL ENTRY CONTROLS

a. Terminals shall require strict pedestrian and vehicle control systems. Entry records shall be retained for a minimum of 90 days. Pedestrians and vehicles shall be subject to random inspection and a visitor control system shall be implemented. Where feasible, entry to the AA&E storage and processing areas shall be separately controlled from the terminal administrative areas. Unless allowed by the terminal commander, privately owned vehicles shall not be permitted into AA&E storage and processing areas.

b. Piers, waterfronts, and AA&E storage and processing areas shall be appropriately designated and posted as “RESTRICTED OR CONTROLLED AREAS.”

ENCLOSURE 11

REPORTS, INVESTIGATIVE AIDS, AND DISPOSITION OF RECORDS

1. GENERAL. This enclosure does not take the place of the submission of internal DoD Component reporting requirements concerning transportation, item/packaging discrepancies, and discrepancies involving FMS. This enclosure does not apply to privately owned weapons.

2. INCIDENT REPORTS TO THE DoD COMPONENTS

a. Each DoD Component shall establish procedures and requirements for stolen, lost, or recovered AA&E to be reported to their supporting DCIO and a centralized office responsible for Component-wide physical security, and theft and loss prevention.

b. AA&E gains or losses due to inventory adjustments shall also be reported to Component central offices. Notification shall be furnished in a manner commensurate with the seriousness or nature of the incident.

c. Specifically, the confirmed theft, loss, recovery, or inventory adjustment of items listed in subparagraphs 2.c.(1) through 2.c.(6) of this enclosure shall be reported:

(1) Missiles, rockets, and arms as described in this Manual.

(2) Five thousand rounds or more of ammunition smaller than 40 millimeters (mm) (20,000 rounds or more of .38 caliber/9 mm).

(3) Five rounds or more of ammunition 40 mm and larger.

(4) Individual mortar, grenade, and missile rounds.

(5) Items with 10 or more pounds of net explosive weight.

(6) DoD Component will determine additional item reporting requirements based on the sensitivity and potential threat posed by items. These items may include but are not limited to silencers, mufflers, noise suppression devices, and/or sniper rifle systems.

3. INCIDENT REPORTS TO OFFICE OF THE SECRETARY OF DEFENSE. All significant incidents of confirmed theft or loss of AA&E as listed in this section (including inventory adjustment losses) shall be reported as soon as possible, but not later than 72 hours after occurrence or discovery, to the Office of the Under Secretary of Defense for Intelligence, Director of Security. Incidents to be reported include those listed in Section 2 of this Enclosure and the incidents listed in subparagraphs 3.a. through 3.e of this enclosure.

- a. Attempted or armed robberies of AA&E facilities.
- b. Forced entries or attempted forced entries into AA&E facilities.
- c. Evidence of theft of AA&E.
- d. Incidents involving AA&E that cause significant news coverage, or appear to have the potential to cause such coverage.
- e. Evidence of trafficking/bartering involving AA&E, illegal drugs, etc., regardless of the quantity of AA&E involved.

4. DoD COMPONENT RECORDS. Each DoD Component shall maintain records of reports received and dispatched in accordance with this enclosure for 3 years except for Man Portable Air Defense Systems, which are to be retained permanently. These records shall include:

- a. A summary of the circumstances in each incident.
- b. Dates, locations, and units involved (Active Duty, Reserve, National Guard, or Civilian Marksmanship).
- c. Explanation for the loss or recovery (e.g., inventory adjustment, theft, in-transit, training, operational).

5. OTHER REQUIRED REPORTING

- a. The DoD Components shall establish procedures to report confirmed thefts, losses, and recoveries of DoD arms to the National Crime Information Center and local law enforcement promptly through their servicing DCIO. Additionally, the confirmed theft, loss, or recovery of DoD small arms shall be reported to the DoD Small Arms Central Registry in accordance with Reference (m).
- b. The DoD Components shall report all confirmed thefts and losses of AA&E as described in this enclosure within 72 hours to the ATF Stolen Firearms Program at (888) 930-9275. ATF shall also be advised of the recovery of previously reported AA&E thefts and losses.
- c. Loss, compromise, or suspected compromise of classified information or AA&E material at contractor facilities shall also be reported to the appropriate DSS Regional Director.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AA&E	arms, ammunition, and explosives
A&E	ammunition and explosives
ACO	administrative contracting officer
ATF	Bureau of Alcohol, Tobacco, Firearms, and Explosives
CAT-U	Uncategorized
CCTV	closed circuit television
CFR	Code of Federal Regulations
CIIC	controlled item inventory code
COCO	contractor-owned contractor-operated
DCIO	defense criminal investigative organization
DEMIL	demilitarization
DGR	designated government representative
Div.	Division
DSS	Defense Security Service
DTR	Defense Transportation Regulation
DTS	Defense Transportation System
FBI	Federal Bureau of Investigation
FMS	foreign military sales
FPCON	force protection condition
GSA	General Services Administration
IDS	intrusion detection system
IG DoD	Inspector General of the Department of Defense
ILD	internal locking device
MILVAN	military van (container)
MSC	Military Sealift Command
MIL-DTL	Military Detail Specification
NACLC	National Agency Check with Local Agency Check and Credit Check
OUSD(I&S)	Office of the Under Secretary of Defense for Intelligence and Security
ROTC	Reserve Officer Training Corps
SC	Security Cooperation

SDDC	Surface Deployment and Distribution Command
SEAVANS	sea van (container)
SEV	security escort vehicle
SPP	standard practice procedures
SRC	security risk category
TNT	trinitrotoluene
TOW	tube launched optically tracked weapon
UFC	unified facilities criteria
UII	unique item identifier
UL	Underwriters Laboratory, Inc.
U.S.C.	United States Code
USD(I&S)	Under Secretary of Defense for Intelligence and Security
USPS	United States Postal Service
USTRANSCOM	United States Transportation Command
USNS	United States Naval Ship
USS	United States Ship

PART II. DEFINITIONS

These terms and their definitions are for the purpose of this Manual.

ammunition. Defined in Reference (c).

arms. A weapon that will be or is designed to expel a projectile or flame by the action of an explosive, and the frames or receivers of any such weapon.

cable seal. A one-piece or two-piece seal in which the cable is placed through the locking hardware of the truck trailer or railcar door, and the bullet nose is inserted into the barrel end of the cable until securely anchored. Once locked, any force exerted to separate the lockpoint from the lockbody shall strengthen the connection. Removal requires destruction of the seal.

container. A box or other device in which cargo is stored, protected, and handled as a unit in transit (e.g., container express, MILVAN, SEAVAN, and other approved commercial containers). This term also is used interchangeably with the term “containerization” to mean shipping that uses containers that can easily be transferred between trucks, trains, or ships without handling of contents.

container express. A reusable container used for shipment of troop support cargo, quasi-military cargo, household goods, or personal baggage.

containerization. A box or other device in which cargo is stored, protected, and handled as a unit in transit (e.g., container express, MILVAN, SEAVAN, or other approved commercial

containers). This term also refers to shipping that uses containers that can be easily interchanged between trucks, trains, and ships, without handling of contents.

CONUS. Defined in Joint Publication 1-02 (Reference (ay)).

DCIOs. Includes, Defense Criminal Investigative Service, the U.S. Army Criminal Investigative Command, the Naval Criminal Investigative Service, and the Air Force Office of Special Investigations.

Defense Contract Management Agency. As defined in DoD Directive 5105.64 (Reference (az)).

exception. An approved deviation from this Manual's required standards when those standards cannot be met. When standards cannot be met, compensatory measures are required to provide security equivalent to the standards mandated herein.

explosives. Any chemical compound, mixture, or device, the primary or common purpose of which is to function by explosion. The term includes, but is not limited to, individual landmines, demolition charges, blocks of explosives (dynamite, TNT, C-4, and other high explosives), and other explosives consisting of 10 pounds or more (e.g., gunpowder or nitroguanidine).

high-security hasp. A high-security hasp is a shrouded hasp that meets the military specification of Reference (am).

high-security padlock. A key-operated padlock that meets military specification of Reference (al), national stock number: 5340-01-510-2351 (Navy, United States Marine Corps, and Coast Guard), or national stock number: 5340-01-217-5068 (for all other Services), designed to resist forced entry. It is used in conjunction with a high-security hasp.

IDS. An electronic security system that provides alarm protection of facilities and consists of various types of sensors and a central monitoring station that detect unauthorized intrusion into a room, structure, facility, or area.

ILD. A key-operated high-security locking system approved to SRC I and II AA&E and structures protecting chemical and nuclear weapons. Provides 10 minutes' forced entry protection against unlimited hand and battery-operated tools and 15 minutes surreptitious entry protection.

independent power supply. A self-contained power source; normally a battery or redundant power provided by auxiliary generator.

MILVAN. Defined in Reference (ay).

OCONUS. Defined in Reference (ay).

prohibited (restricted) person. A person prohibited (restricted) from access to AA&E for one or more of the following reasons:

Is under indictment or has chapter 47 of title 10, U.S.C. (Reference (ba)) charges pending against them and is referred to a special or general court-martial that involves a crime punishable by imprisonment for a term exceeding 1 year;

Is a fugitive from justice;

Is determined to be an unlawful user of any controlled substance or misuse/abuse of alcohol;

Is a foreign national illegally in the United States;

Has been adjudicated as having a mental illness or has been committed to any mental institution within the 7 years preceding the person's access to AA&E (other than for combat-related mental illness);

Is an alien (other than lawfully admitted for permanent residence) who is a national of a country that the Department of State has determined (and the determination remains in effect) repeatedly provides support for acts of international terrorism;

Has by court martial received a dishonorable discharge, bad conduct discharge, or has been administratively separated with an other than honorable conditions discharge; or

Has been found guilty of a qualifying conviction as outlined in section 922(g) of Reference (p).

restricted area. An area (land, sea, or air) in which there are special restrictive measures employed to prevent or minimize incursions and/or interface, where special security measures are employed to prevent unauthorized entry. Restricted areas may be of different types, depending on the nature and varying degree of importance of the security interest, or other matter contained therein. Restricted areas must be authorized by the installation/activity commander/director, properly posted, and shall employ physical security measures. Additionally, controlled areas may be established adjacent to restricted areas for verification and authentication of personnel.

safety-lock device. A device that, when installed on a firearm and secured by a key or a mechanically, electronically, or an electro-magnetically operated combination lock, prevents the firearm from being discharged without first deactivating or removing the device from the lock. A mechanical, an electrical, or an electro-magnetic locking mechanism incorporated into the design of the firearm that prevents its discharge by those who do not have access to the key or other unlocking devices.

seal. A device or material that indicates tampering or entry. Seals are used to secure conveyance doors, intermodal container doors, and item shipping and storage container covers and lids (e.g., wire, strap, bolt and cable, and padlock seals). A number-5 American wire gauge steel wire twist or wire cable of larger or equivalent thickness when used with an approved steel trap seal, can be used to secure conveyance doors when bolt and cable seals are not available or when a door closure mechanism does not accommodate use of bolt or cable seals.

SEAVAN. A commercial- or Government-owned (or leased) shipping container that is moved via ocean transportation without bogey wheels attached.

Security Escort Vehicle Service (SEV). Provides enhanced in-transit highway safety and security surveillance for DoD shipments of AA&E, and other items and hazardous material originating and terminating at secure DoD/DoD contractor locations. SEV is a transportation protective service consisting of either two trained and certified DoD contractors or trained DoD-approved commercial munitions carrier employees with a SECRET clearance or two trained and certified DoD civilian, National Nuclear Security Administration personnel, or military personnel with National Agency Check. DoD civilian employees or military personnel may be required to comply with additional clearance, reliability, and trustworthiness criteria in accordance with Service security regulations. SDDC, in conjunction with USTRANSCOM, shall dictate the SEV service provider to be used as stipulated in Table 205-1 of Reference (j). Contingency requirements may result in DoD-approved commercial munitions carrier employees with one SECRET-cleared and one in the process of obtaining a SECRET clearance. SEV personnel who require a clearance cannot be used if their applications have not been submitted, been rejected, or denied a personal security clearance. A driver's SECRET clearance application shall expire 90 days following submission of the initial request when one or more of the following circumstances exist: The initial background check has not been completed; an interim SECRET clearance has not been granted; or a driver whose SECRET clearance application has expired cannot be employed in the transport of DoD AA&E or classified shipments. SEV personnel may be armed during periods of enhanced risk, as directed by the Commander, USTRANSCOM.

security forces. Includes armed personnel that can include DoD military and civilian security guards; police (including contract security personnel); and State, local, and campus security officers.

sensitive items. Defined in Reference (at).

small quantity shipments. Defined as: (a) 15 or fewer SRC II-IV small arms (including M4/M16 rifles) per shipment; (b) non-explosive SRC III missile components weighing 200 pounds or less; or (c) SRC III and IV ammunition shipments weighing 200 pounds or less.

Type II magazines. Mobile and portable indoor and outdoor magazines for the storage of high explosives, subject to the limitations prescribed by paragraph 208 of section 555 of Reference (ap). Other types of explosive materials may also be stored in Type II magazines.

uncleared dual driver. An accessorial service that provides two, un-cleared drivers (no security clearance) for DoD shipments of 150 miles or more where no protective services are needed.

United States. Defined in Reference (ay).

waiver. A temporary relief pending corrective action, not to exceed 1 year, from specific compliance requirements outlined in this Manual. Waivers must include compensatory measures that reduce risk during the waiver period.