

Assistant Secretary of Defense for
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DOD 5100.76-M

AD-A268 030



DEPARTMENT OF DEFENSE

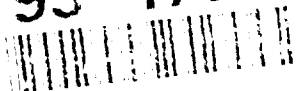


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**PHYSICAL SECURITY OF
SENSITIVE CONVENTIONAL
ARMS, AMMUNITION, AND
EXPLOSIVES**

93-17831



SEPTEMBER

1992

THE ASSISTANT SECRETARY OF DEFENSE FOR
COMMAND, CONTROL, COMMUNICATIONS AND
INTELLIGENCE

REPORT DOCUMENTATION PAGE	1. REPORT NO. DoD 5100.76-M	2.	3. Recipient's Accession No.
4. Title and Subtitle Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives			5. Report Date September 16, 1992
			6.
7. Author(s) D. Campbell			8. Performing Organization Rept. No.
9. Performing Organization Name and Address Assistant Secretary of Defense for Command, Control, Communications and Intelligence Washington, DC 20301			10. Project/Task/Work Unit No.
			11. Contract(C) or Grant(G) No. (C) (G)
12. Sponsoring Organization Name and Address			13. Type of Report & Period Covered Manual
			14.
15. Supplementary Notes			
16. Abstract (Limit: 200 words) This Manual prescribes standards and procedures regarding the physical security of sensitive conventional arms, ammunition, and explosives in the custody of the Department of Defense.			
17. Document Analysis a. Descriptors b. Identifiers/Open-Ended Terms c. COSATI Field/Group			
18. Availability Statement Release unlimited for sale by the National Technical Information Service (NTIS)		19. Security Class (This Report) UNCLASSIFIED	21. No. of Pages
		20. Security Class (This Page) UNCLASSIFIED	22. Price



WASHINGTON, D.C. 20301-3040

September 16, 1992

FOREWORD

This Manual is reissued under the authority of DoD Directive 5100.76, Physical Security Review Board," February 10, 1981. The security standards described in this Manual are required to prevent criminal diversion of lethal assets of the Department. The security of these assets remains an inherent responsibility of the command. DoD 5100.76-M, "Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives," February 1983 is hereby canceled.

This Manual applies to the Office of the Secretary of Defense (OSD) the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Commands, the Inspector General of the Department of Defense (IG, DoD), the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components"). The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and Marine Corps.

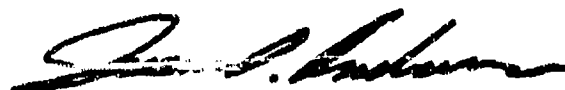
This Manual is effective immediately and is mandatory for use by the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Commands, the Inspector General of the Department of Defense (IG, DoD), the Defense Agencies, and for incorporation into those DoD contracts where it is relevant. No supplementation of the requirements of this Manual is required. For facilities that do not meet the requirements of this Manual by October 25, 1993, an approved security waiver or exception shall be required.

Send recommended changes to the Manual through channels to:

Director, Defense Security Programs
Office of the Deputy Assistant Secretary of
Defense (Counterintelligence & Security
Countermeasures) OASD(C3I)
The Pentagon, Room 3C285
Washington, D.C. 20301-3040

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Unannounced	☐
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A handwritten signature in dark ink, appearing to read "Duane P. Andrews", written in a cursive style.

Duane P. Andrews

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REFERENCES

- (a) JCS Pub. 1, "Department of Defense Dictionary of Military and Associated Terms," December 1, 1989
- (b) Part 177 of Title 49 of the Code of Federal Regulations
- (c) DoD 5220.22-R, "Industrial Security Regulation," December 1985, authorized by DoD Directive 5220.22, December 8, 1980
- (d) AR 55-355/NAVSUPINST 4600.70/AFR 75-2/MCO P4600.14B/DLAR 4500.3, "Defense Traffic Management Regulation," July 31, 1986
- (e) DoD 4500.32-R, "Military Standard Transportation and Movement Procedures (MILSTAMP), March 1987, authorized by DoD Directive 4000.25, November 18, 1983
- (f) DoD Directive 5100.76, "Physical Security Review Board," February 10, 1981
- (g) DoD 6055.9-STD, "DoD Ammunition and Explosives Safety Standards," July 1984, authorized by DoD Directive 6055.9, November 25, 1983
- (h) DoD 5200.8-R, "Physical Security Program," May 1991, authorized by DoD Directive 5200.8, April 25, 1991
- (i) MIL-HDBK-1013/1, "Military Handbook, Design Guidelines For Physical Security of Fixed Land-Based Facilities," October 9, 1987
- (j) DoD 4000.25-2-M, "Military Standard Transaction Reporting and Accounting Procedures," May 1987 authorized by DoD Directive 4000.25, "Administration of Defense Logistics Standard Systems," November 18, 1983
- (k) DoD 7200.10-M, "Accounting and Reporting for Government Property Lost, Damaged or Destroyed," March 1991, authorized by DoD Instruction 7200.10, May 16, 1977
- (l) DoD 5200.2-R, "DoD Personnel Security Program," January 1987 authorized by DoD Directive 5200.2, December 20, 1979
- (m) DoD Directive 3224.3, "Physical Security Equipment (PSE): Assignment of Responsibility for Research, Development, Testing, Evaluation, Production, Procurement, Deployment, and Support," February 17, 1989
- (n) Section 1386 of Title 18 of the Federal Code of Regulations
- (o) DoD 5200.1-R, "Information Security Program Regulation," June 1986, authorized by DoD Directive 5200.1, June 7, 1982
- (p) DoD Instruction 4140.35, "Physical Inventory Control for DoD Supply System Materiel," June 30, 1987
- (q) DoD Instruction 4140.52, "DoD Small Arms Serialization Program," July 31, 1984
- (r) DoD 7220.9-M, "Department of Defense Accounting Manual," October 1983, authorized by DoD Instruction 7220.9
- (s) DoD 4160.21-M, "Defense Utilization and Marketing Manual," March 23, 1990, authorized by DoD Directive 4160.21, December 5, 1980
- (t) DoD 4160.21-M-1, "Defense Demilitarization Manual," October 21, 1991, authorized by DoD Directive 4160.21, December 5, 1980
- (u) DoD 4000.25-8-M, "Military Assistance Program Address Directory System (MAPAD)," August 1990, authorized by DoD Directive 4000.25, November 28, 1983
- (v) AR 55-38/NAVSUPINST 4610.33B/AFR 75-18/MCO 4610.19/DLAR 4500.15, "Reporting of Transportation Discrepancies in Shipments," April 15, 1985
- (w) DLAR 4155.55/AR 735-11-2/SECNAVINST 4355.18/AFR 400-54/MCO 4430.3J, "Reporting of Item and Packaging Discrepancies," October 1, 1986, authorized by DoD Directive 4000.25

- (x) DLAR 4140.60/AR 12-12/SECNAVINST 4355.17/AFR 76-7/mco 4140.1E,
"Processing Discrepancies Reports Against Foreign Military Sales Shipments,"
October 1, 1986, authorized by DoD Directive 4000.25
- (y) DoD Directive 5210.65, "Chemical Agent Security Program, "October 15,
1986
- (z) DoD 5220.22-M, "Industrial Security Manual for Safeguarding Classified
Information," January 1991, authorized by DoD Directive 5220.22, December 8,
1980
- (aa) DoD 4145.26-M, "Department of Defense Contractors Safety Manual for
Ammunition and Explosives," March 1986, authorized by DoD Instruction
4145.26, July 19, 1985
- (ab) DoD 5160.65-M, "Single Manager for Conventional Ammunition Implementing
Joint Conventional Ammunition Policies and Procedures, " April 1989,
authorized by DoD Directive 5160.65, November 17, 1981

DEFINITIONS

1. Ammunition. A device charged with explosives, propellants, pyrotechnics, initiating composition, riot control agents, chemical herbicides, smoke and/or flame for use in connection with defense or offense, including demolition. Ammunition includes cartridges, projectiles, bombs, missiles, grenades, mines, pyrotechnics, bullets, shot, primers, propellants, fuses, and detonators.
2. Arms. Weapons that will, or are designed to, expel projectiles or flame by the action of an explosive, and the frames or receivers of any such weapon.
3. Binary Chemical Munitions. Munitions designed to use relatively nontoxic chemicals that combine during functioning of the weapon system to produce a chemical agent for release on target.
4. Binary Intermediates. The component chemicals that combine to produce binary chemical agents.
5. 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 will strengthen the connection. Removal requires destruction of the seal.
6. Carrier Custodian. An employee who has been assigned responsibility for controlled shipments containing SECRET material by the carrier and who has been issued a personnel security clearance by the Government.
7. Chemical Agent. A chemical substance intended for use in military operations to kill, seriously injure, or incapacitate a person through its physiological effects. Excluded from the official DoD definition in JCS Pub. 1 (reference (a)) are riot control agents, chemical herbicides, and smoke and flame; however, some of these latter are included in Appendix A.
8. Closed Vehicle or Equipment. A conveyance fully enclosed with permanent sides and permanent top, with installed doors that can be locked and sealed.
9. Constant Surveillance. A control system where access to a facility, structure, or Risk Category AA&E is under the continuous visibility of a guard or custodial unit personnel capable of detecting theft or unauthorized entry.
10. Container Express (CONEX). A reusable container for shipment of troop support cargo, quasi-military cargo, household goods, and personal baggage.
11. Containerization. A box or other device in which cargo is stored, protected, and handled as a unit in transit; for example: CONEX, MILVAN, SEAVAN and 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.
12. Container on a Flat Car (COFC). A large box-like container without undercarriage used to hold cargo being transported. It may be mounted or demounted from railroad flat cars.
13. Defense Transportation System (DTS). Consists of military-controlled terminal facilities, Military Traffic Management Command (MTMC), Air Mobility Command (AMC)--

controlled airlift, Military Sealift Command (MSC)- controlled or arranged sealift, and Government-controlled air or land transportation.

14. DoD Constant Surveillance Service (CS). A transportation protective service that requires a commercial carrier to use a qualified driver to maintain constant surveillance of a shipment at all times during transportation, including stops enroute. The driver or other qualified carrier representative must be awake and not in a sleeper berth and must remain within 10 feet of the shipment or vehicle transporting the shipment and have it within full unobstructed view at all times. For shipment of sensitive AA&E, drivers will be trained in the use of communications equipment and capable of contacting law enforcement or other emergency agencies for assistance.

15. Dromedary. A freight box carried on and securely fastened to the chassis of the tractor or on a flatbed trailer. The dromedary is demountable by the use of a forklift truck, protected by a plymetal shield, and equipped with doors on each side that may be locked with seals or padlocks. (Explosive items carried in the dromedary must be compatible and in compliance with 49 CFR 177 (reference (b)) or host-nation regulations).

16. Dual Driver Protective Service (DD). A transportation protective service for Categories III and IV AA&E that requires a commercial carrier to use two qualified drivers riding in the cab of the same vehicle to maintain constant surveillance of shipment during transportation, including stops enroute. At least one driver must be awake and not in a sleeper berth, and must remain within 10 feet of the shipment or transporting vehicle having it within full, unobstructed view at all times.

Drivers will have communications equipment capable of contacting law enforcement or other emergency agencies for assistance. For terminal physical security standards, see Appendix B.

17. Dual Driver Protective Service with National Agency Check (DN). A transportation protective service for Categories I and II AA&E that requires a commercial carrier to use two drivers who have received favorable National Agency Checks. Both drivers shall ride in the cab of the same vehicle to maintain constant surveillance of shipment during transportation, including stops enroute. At least one driver must be awake and not in a sleeper berth, and must remain within 10 feet of the shipment or transporting vehicle having it within full, unobstructed view at all times.

18. Duress Alarm System. A method by which authorized personnel can covertly communicate a situation of duress to a security control center or to other personnel in a position to notify a security control center.

19. Exception. An approved deviation from this Manual in which the required standards are not being met and the DoD Component determines it inappropriate to meet Manual requirements. Compensatory measures are required to provide security equivalent to the regulation standard.

20. Exclusive Use. A vehicle or other conveyance used only for one shipment from origin to destination without transfer of lading, and permits locking of the unit and use of seals. The carrier is denied access to the material while in transit for security reasons.

21. 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 land mines, demolition charges, blocks of explosives (dynamite, TNT, C-4, and other high explosives).

22. High Security Padlock. A key-operated padlock, conforming to military specification MIL-P-43607, designed to resist forced entry and surreptitious entry. Used with a high security hasp meeting military specification MIL-H-29181 or MIL-H-24653.

23. Independent Power Source. A self-contained power source, normally a battery.

24. Intrusion Detection System (IDS). A security alarm system consisting of various types of alarms to detect the unauthorized intrusion into a room, structure, or facility.

25. Laboratory. A building, room, or area used for scientific experiments, tests, or demonstrations associated with research, development, testing, and evaluation of AA&E.

26. LOGAIR. Long-term contract airlift service within the continental United States (CONUS) for the movement of cargo in support of the logistics system of the Military Services (primarily the Army and Air Force) and Defense Agencies.

27. Military Traffic Expediting (MTX) Service. The Association of American Railroads (AAR) provides this service through its automated communications service network with member railroads. This expediting service is available for single and joint line movements and is required for sensitive shipments from origin to destination.

28. Military Van (MILVAN). Military owned demountable container,

conforming to U.S. and international standards, operated in a centrally controlled fleet for movement of military cargo.

29. Motor Surveillance Service (MS). A service performed by a commercial carrier that requires a driver of a vehicle transporting a shipment to provide telephonic notification to the consignor, or other designated point of contact, of vehicle location and status at time intervals specified on the CBL.

30. Pier Service. Carrier booking restricts over ocean movements from port of embarkation (POE) to port of debarkation (POD) to prevent prearranged through-booking employing surface transportation to inland destinations.

31. Primary Electrical Power Source. Source of power, either external (commercial) or internal, that provides power to site facilities on a daily basis.

32. Protection in Depth. A system of providing several supplementary security barriers. An example is a perimeter fence, a secure building, a vault, and a locked container together providing four layers of protection.

33. Protective Security Service (PSS). A transportation protective service that requires a commercial carrier cleared under the Defense Industrial Security Program (DoD 5220.22-R, reference (c)) to maintain constant surveillance of a shipment during transportation, including stops enroute. Motor carriers will use two qualified drivers riding in the cab of the same vehicle. At least one of the drivers must be awake and not in a sleeper berth and must remain within 10 feet of the shipment or vehicle, with it in full, unobstructed view at all times. Drivers will have communications

equipment capable of contacting law enforcement or other emergency agencies for assistance. Air carriers will use two qualified pilots in the aircraft.

34. Qualified Carrier Driver/Pilot or Representative. A commercial carrier or terminal employee involved in the handling of DoD shipments under a transportation protective service who has the following qualifications:

a. Designated by carrier or terminal management to attend a transportation conveyance.

b. Aware of the sensitivity of DoD material moving under a transportation protective service. (Carrier employees or representatives will not be informed of a shipment's level of classification.)

c. Knowledge of the safety, security, and emergency procedures that must be followed.

d. Authorized to move a transportation conveyance and has the means and ability to do so.

e. When providing Protective Security Service, employees shall be cleared under the Defense Industrial Security Program to handle SECRET shipments and have carrier-issued identification.

35. QUICKTRANS. Long-term contract airlift service with in the continental United States (CONUS) for the movement of cargo in support of the logistic system for the Military Services (primarily the Navy and Marine Corps) and Defense Agencies.

36. Rail Surveillance Service (RS). RS consists of an inspection within 1 hour after each stop and each hour thereafter if the railcar containing the shipment remains stopped.

37. Report of Shipment (REPSHIP).

An advance report by message or telephone immediately upon dispatch of a shipment within CONUS for domestic shipments, to both Water Terminal Clearance Authority (WTCA) and the water port transshipping facility for surface export shipments, or the Military Air Traffic Coordinating Office (MATCO) for air export shipments. This report shall include applicable data:

a. For domestic shipments, see paragraph 32-27, AR 55-355/NAVSUPINST 4600.70/AFR 75-2/MCO P4600.14B/DLAR 4500.3, Routing Instruction Note (RIN) 146, Appendix D (reference (d)).

b. For export shipments, see Chapter 4, DoD 4500.32-R (reference (e)).

38. Restricted Area. An area under military jurisdiction in which special security measures are employed to prevent unauthorized entry or to safeguard property or material.

39. Satellite Motor Surveillance Service (SM). A transportation protective service that provides the Defense Transportation Tracking System (DTTS) with timely, accurate truck location reports, two-way communication for notification of in-transit truck status changes, and emergency situation notification. Security Escort Vehicle Service (SV) may be requested instead of Satellite Motor Surveillance Service. (See definition 40.)

40. Seal. A device to show whether a shipment has been opened. Seals are numbered serially, are tamper proof, and must be safeguarded while in storage. The serial numbers of seals shall be shown on Government Bills of Lading (GBL). Included is the 5-gauge twist wire.

41. Security Escort Vehicle Service (SV). A commercial transportation protective service that provides a separate trail vehicle to maintain discreet surveillance of the vehicle transporting the shipment and provide emergency assistance by contacting appropriate law enforcement agencies when required. Trail vehicle will be capable of maintaining two-way communications with the cargo vehicle and of contacting law enforcement or other emergency agencies for assistance.

42. Storage Magazine. A securable structure or space used for the storage of ammunition and explosives.

43. Service Magazine. A securable structure used for short term storage of A&E in support of production and manufacturing operations and Research, Development, Testing, and Engineering (RDT&E).

44. Small Arms. For the purposes of small arms reporting, small arms are defined as handguns; shoulder-fired weapons; light automatic weapons up to and including .50 caliber machine guns; recoilless rifles up to and including 106mm; mortars up to and including 81mm; rocket launchers, manportable; grenade launchers, rifle and shoulder fired; and individually operated weapons which are portable and/or can be fired without special mounts or firing devices and which have potential use in civil disturbances and are vulnerable to theft.

45. Storage Site. Static placement (temporary or long term) of AA&E. Storage does not include items in process of manufacture, in use, in RDT&E, or being transported to a place of storage or use.

46. Trailer on a Flat Car (TOFC). A large box-like demountable container with a chassis and wheels attached

that is placed on a railroad flat car and used for transporting cargo.

47. Supervised Security Patrol. Required security patrols of specific areas, at random intervals within a defined time frame, including verification by guard tour reporting systems, and supervisory spotchecks.

48. Transportation Protective Service (TPS). A commercial carrier service performed to DoD standards that provides physical security for shipments of AA&E during transportation.

49. Type 2 Portable Magazine. A box, trailer, semitrailer, or other mobile facility that is bullet resistant, fire resistant, weather resistant, theft resistant, and ventilated.

50. Upper Rail Loc. A set screw operated variation of a "C" clamp designed for gripping the upper sliding rail that supports or guides the weight of some styles of railroad boxcar doors. The "loc" blocks and prevents the door's roller hangers or carriers from sliding past, thereby preventing the door from being moved.

51. Waiver. A 1 year approval for the temporary relief from specific standards imposed by this Manual, pending actions to conform to the standards. Compensatory measures are required.

CHAPTER 1GENERAL INFORMATIONA. PURPOSE

1. In accordance with DoD Directive 5100.76 (reference (f)), this Manual prescribes standards and criteria for the physical security of DoD sensitive conventional arms, ammunition, and explosives (AA&E), including nonnuclear missiles and rockets in the custody of any DoD Component or DoD contractor, as set forth below and in Appendix A. Specific guidance issued by the DoD Components shall be furnished to the ASD (C3I) within one (1) year.

2. The standards and criteria in this Manual are intended to protect against loss or theft of AA&E at most DoD activities and DoD contractors; however, the threat or characteristics of a particular location may warrant additional security measures subject to approval by the DoD Component concerned. The DoD Components shall establish procedures to review all military construction projects to ensure they meet prescribed construction criteria. This Manual does not authorize methods or operations inconsistent with DoD 6055.9-STD (reference (g)).

B. SCOPE

1. This Manual applies to sensitive conventional AA&E considered vulnerable to criminal theft under the criteria of Appendix A and as defined as follows:

a. Arms, weapons that will, or are designed to, expel projectiles or flame by the action of an explosive, and the frames or receivers of any such weapon.

b. Ammunition, as defined in the definitions section and in general having a unit issue or package weight of 100 pounds or less (specified in Appendix A). Ammunition excluded from the requirements of this Manual are:

- (1) Nuclear Weapons;
- (2) Devices charged with chemical agents, except for those specified in Appendix A;
- (3) Blank, .22 caliber and inert training ammunition; and,
- (4) Artillery, tank, mortar ammunition 90mm and larger, and naval gun ammunition 3 inches, 76mm, and larger.

c. Explosives are defined in the definitions section. The scope of this Manual is limited to categorized explosives specified in Appendix A.

3. AA&E items covered by this Manual shall be stored and transported in accordance with this Manual.

4. The DoD Components shall prescribe physical security requirements for AA&E items outside the scope of this Manual as described in DoD 5200.8-R (reference (h)).

5. The criteria in this Manual are intended for sites where AA&E is maintained during peacetime conditions, and not for military operations, force generations, exercises, or operational readiness inspections. For sites and operations not specifically covered in this Manual, the DoD Components shall establish requirements and procedures to provide protection for AA&E consistent with the philosophy in this Manual.

C. RESPONSIBILITIES

1. The, Secretaries of the Military Departments and the Director, Defense Logistics Agency, shall:

a. Ensure that AA&E in their custody are protected in accordance with the requirements of this Manual.

b. Ensure that contracts involving Categories I through IV AA&E (as defined in Appendix A) at contractor facilities describe the standards of protection to be provided to these assets in accordance with Appendix D of this Manual and ensure by contractual clause access to prime and subcontractor facilities to enable the Government to conduct security surveys, inspections and investigations.

c. Provide cognizant Defense Investigative Service (DIS) industrial security offices copies of each new AA&E contract or pertinent extracts (contract physical security standards) that involve the categories of AA&E listed in Appendix A, at the time of the contract award. Provide copies of existing contracts or pertinent extracts at the time of contract renewal. A listing of Government-Furnished Equipment (GFE) shall be included as part of the pertinent extracts from AA&E contracts.

d. Notify the cognizant DIS industrial security office when preaward surveys are required to allow for their participation in the survey, as necessary. A list of DIS cognizant security offices and their addresses is provided in Appendix D.

e. Ensure that shipment of all categories of AA&E to a DoD facility from a contractor or

subcontractor facility meets the provisions of this Manual.

f. Ensure that all Categories of AA&E are shipped to contractors or subcontractors in accordance with this Manual.

g. Ensure that AA&E risk categories (I, II, III, IV) are reflected in all applicable AA&E prime and subcontracts in accordance with the criteria outlined in Appendix A to guarantee correct identification and complete understanding by DIS industrial security inspectors, administrative contracting officers (ACOs), and prime and subcontractors concerned.

h. Advise cognizant DIS industrial security offices of actions taken by contractors, subcontractors, Government procuring officers or Government contract administration officers in response to DIS AA&E inspection deficiencies and recommendations.

2. The Director, Defense Investigative Service (DIS), shall:

a. Assess contract compliance by conducting security surveys and inspections of contractors within the United States, prescribed in Appendix D.

b. Provide to the appropriate Government contract administration office, Government procurement contracting office, and DoD Component Major Command the results of such surveys and inspections.

c. Undertake assessment of contract compliance only when DIS or Federal entry authority is contractually present as required by paragraphs C.1.b and c., above, and the physical security requirements of Appendix D are established contractually.

d. Not enter contractor facilities unless the actions required in paragraphs C.1 b., c., d., and h., above, have been accomplished.

3. Inspector General, DoD shall: Monitor compliance by Defense Criminal Investigative Organizations for reporting and investigative requests of this Manual.

4. Heads of DoD Components shall: Implement the requirements of this Manual.

D. INFORMATION REQUIREMENTS

All incidents about the confirmed loss, theft, and discovery of AA&E shall be reported in accordance with Chapter 8. This reporting requirement has been assigned Report Control Symbol DD-C3I(SA&AR)1358.

CHAPTER 2POLICYA. GENERAL

1. The DoD Components shall apply appropriate resources to AA&E physical security programs at all levels to provide cost-effective protection, accountability, and inventory control.

2. To minimize the cost of physical security and inventory control, and to reduce vulnerability, the quantities of AA&E and the number and size of storage facilities should be brought to a minimum, or consolidated to the maximum extent possible consistent with operational safety standards and mission requirements.

a. AA&E should be removed from designated storage areas as briefly as possible and in the smallest quantity.

b. Further reduction of costs for protection and inventory control can be effected by segregating AA&E into smaller storage areas by assigned risk category, and providing the degree of physical security protection appropriate for that category. Attention shall be given to demilitarization or disposal of obsolete and unserviceable AA&E to avoid unnecessary storage, security, and inventory-related costs.

c. This Manual is intended to provide adequate storage security for AA&E at most DoD activities. There may be unusual or unique activities, such as large depots or remote storage areas without existing electrical service, where not all criteria in this Manual can be applied cost-effectively. At these facilities, local conditions must be

carefully evaluated, and the security system tailored to the local conditions, based on practicability and cost, rather than the specific security requirements prescribed herein. In these instances, waivers or exceptions must be obtained and conform to the requirements in section D, of this Chapter.

B. CONSTRUCTION OF FACILITIES

1. This Manual is mandatory for new construction of permanent land-based installations for the storage of sensitive AA&E. Modification to existing facilities shall also be in accordance with this Manual.

2. The tearing down and rebuilding of facilities shall not be undertaken unless the DoD Component determines that the required degree of protection cannot be provided. Exceptions to this policy shall be granted under section D., below.

3. The design goal for structural barrier requirements for secure facilities should meet or exceed 10 minute resistance to forced entry. Use MIL-HBK-1013/1 (reference (i)) or other approved security engineering guidance for information.

C. PRIORITY LISTS

1. The DoD Components shall establish a priority list for meeting the security requirements as follows:

a. Facilities storing Category I items.

b. Facilities storing Category II items.

c. Facilities storing Category III items.

d. Facilities storing Category IV items.

D. WAIVERS AND EXCEPTIONS

The DoD Components may deviate from the physical security construction standards established by this Manual for new and existing facilities provided they provide equivalent or greater levels of protection and are cost effective. Otherwise waivers and exceptions to the physical security requirements of this Manual shall be granted by major commands or their equivalent in accordance with procedures established by the DoD Components under the following provisions:

1. Waivers and exceptions shall be considered individually; blanket waivers and exceptions shall not be authorized. Waivers or exceptions involving commercial transportation of AA&E will be coordinated in advance with MTMC. Copies of approved waivers or exceptions applying to commercial carrier's transportation minimum security standards (Chapter 7) together with compensatory measures taken shall be forwarded to the Commander, Military Traffic Management Command, ATTN: MT-IN, 5611 Columbia Pike, Falls Church, Va. 22041-5050.

2. Waivers may only be granted for a period of up to 1 year and may only be extended after a review of the circumstances necessitating the extension. Compensatory security measures and viable upgrade projects are required.

3. Exceptions shall be granted only when the correction of a deficiency would not be feasible and when the security afforded by alternative or compensatory measures is equivalent to or better than that afforded under the standard criteria. Exceptions shall be reviewed and revalidated by the granting authority at intervals not to exceed 3 years.

4. Requests for waivers and exceptions shall describe established alternatives or compensatory measures in effect and upgrade projects designed to correct the waived deficiencies. Approvals shall specify required alternatives or compensatory measures.

5. Deficiencies that will be corrected within 90 days shall not require a waiver or exception; however, compensatory measures shall be taken during the interval.

E. SECURITY OF AA&E DURING TRAINING, IN MUSEUMS, AND ABOARD PLATFORMS

Specific criteria and standards for the protection of AA&E during training, in museums, onboard military vehicles, in shipboard armories or otherwise on board ships, and aircraft shall be developed by the DoD Component concerned, based on the security philosophy in this Manual.

F. INSPECTIONS AND AUDITS

Security inspections shall review records of lost or stolen AA&E and the procedures used for the inventory and accountability of AA&E. Existing waivers and exceptions shall be examined for compliance with compensatory measures and continuing necessity.

G. PROHIBITION

Reserve Officers Training Corps or Junior Reserve Officers Training Corps (ROTC/JROTC) units, gun clubs, and other activities under the responsibility of the Director of Civilian Marksmanship are not authorized possession of Category I or Category II AA&E. ROTC units may use Category II AA&E during authorized training with active DoD Components. National Guard and Reserve units shall not be permitted

to store Category I AA&E. However, these units may be given temporary custody of Category I AA&E for training on military installations in accordance with specific security instructions provided by the commander of the installation.

H. REQUISITION

Each DoD Component shall establish procedures for item managers to ensure the adequacy of requisition verification of AA&E items. The procedures shall include positive steps for rejecting excess and unauthorized requisitions.

I. INVESTIGATIONS

A thorough investigation shall be made of lost, stolen, recovered, or missing AA&E to determine the circumstances surrounding the loss or theft and to fix responsibility as appropriate. Physical inventory adjustments (gains and losses) of AA&E shall be subject to causative research and investigation as required by DoD 4000.25-2-M (reference (j)) and DoD 7200.10-M (reference (k)). BEFORE ANY LOSS CAN BE ATTRIBUTED TO ANY INVENTORY OR ACCOUNTABILITY DISCREPANCY, IT MUST BE DETERMINED THROUGH INVESTIGATION THAT THE LOSS WAS NOT THE RESULT OF THEFT OR MISAPPROPRIATION, IN ACCORDANCE WITH DoD 7200.10-M (reference (k)).

J. TRAINING

1. DoD Components possessing AA&E shall establish a continuing training program for those personnel responsible for the accountability of these items. The training program shall be designed to provide instruction for the preparation of written reports surrounding the discovery of a loss, suspected theft, or theft and inventory and accountability procedures; fit the requirements of different groups of

personnel responsible for accountability; and indoctrinate personnel in the principles, criteria, and procedures for accountability and inventory, including disciplinary actions against individuals responsible for violating security requirements as prescribed in this Manual.

2. The DoD Components shall ensure that at a minimum yearly refresher briefings are given to all personnel who are responsible for the control and safeguarding of AA&E.

K. DISCIPLINARY ACTION

Under the requirements of applicable laws and regulations, appropriate action shall be taken on to the responsible individuals for violation of the procedures and requirements imposed under this Manual.

L. PERSONNEL

The 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 to duties that involve the responsibility for the control, accountability, and shipment of AA&E. The DoD Components having selection procedures for positions identified above need not establish separate procedures to specifically implement this section, except as may be necessary to meet the following additional requirements:

1. Any person, whether government employee (civilian and military) or contractor (including commercial carrier) employee, operating a vehicle or providing security to a vehicle transporting Category I, II or CONFIDENTIAL AA&E shall as a minimum have been the

subject of a favorable National Agency Check (NAC) or Entrance National Agency Check, as set forth in DoD 5200.2-R (reference (1)), except as provided in subsection L.2., below.

2. Officers of U.S. flag carriers shall be licensed in accordance with U.S. Coast Guard requirements.

3. Designated carrier employees providing Protective Security Service for the transportation of items classified SECRET must possess a government-issued SECRET clearance, as provided for in DoD 5220.22-R (reference (c)), and carrier-issued identification.

M. SHIPBOARD SECURITY

DoD Components shall establish requirements to ensure security and accountability of AA&E on ships.

CHAPTER 3PHYSICAL SECURITY PLANNINGA. 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 local needs. In assessing local requirements for physical protection, the following factors shall be considered:

1. Periodic threat assessment furnished by local intelligence and law enforcement agencies.
2. Types of AA&E maintained.
3. Location, size, and vulnerability of storage and production facilities.
4. Vulnerability of AA&E to theft or loss.
5. Geographic locations.
6. Availability and responsiveness of security forces.
7. Availability of security systems, including:
 - a. Perimeter barriers.
 - b. Security lighting.
 - c. Communication systems.
 - d. Key and lock controls.
 - e. Construction criteria for storage areas and armories.
 - f. Personnel and vehicular entry and exit control, and automated entry control systems.

g. Inspection program at entry and exit points, and contraband detection systems.

h. Security training programs.

i. Intrusion detection systems.

j. Closed Circuit television.

B. COORDINATION

1. In developing a security plan, coordination and close liaison should be effected between the military commander and adjacent installations or units; Federal, state, and local agencies; and similar host-country agencies. To the extent permissible, such interaction should allow for an exchange of intelligence, information on security measures being employed, contingency plans, and other information to enhance local security.

2. On an installation, the host activity shall assume responsibility for coordinating physical security efforts of all tenants, regardless of the DoD Components represented, as outlined in the support agreements and the host-activity security plan. Applicable provisions shall be included in, or be an appendix to, the support agreement.

3. The purpose of such coordination is protection in depth. Authority, jurisdiction, and responsibility must be set forth in a manner that ensures protection and avoids duplication of effort.

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

C. CONTINGENCY PLANS

In most instances it will be necessary to augment security for AA&E during periods of pronounced vulnerability; that is, natural disasters, national emergencies, or periods of increased threat from terrorist or criminal elements. During higher terrorist threat conditions (THREATCONS), security for AA&E must be enhanced. Contingency plans shall include provisions for increasing the physical security measures for storage areas commensurate with the local commander's assessment of the situation. Transportation security plans for AA&E shall be modified under increased threat conditions to include enhanced security measures applied on a regional basis.

D. SECURITY THREATS

1. The security plan shall provide for the identification of local threats and should make full use of the investigative resources available in the geographic area to anticipate criminal activities that threaten the physical security of AA&E assets. Liaison should be established with the following agencies.

a. Supporting Defense Criminal Investigative Organizations (DCJO's), which are: Naval Investigative Service Command, the Air Force Office of Special Investigations, USA Criminal Investigations Command, and the Defense Criminal Investigative Service.

b. Local law enforcement agencies.

c. Federal Bureau of Investigation field office.

d. Bureau of Alcohol, Tobacco, and Firearms field office.

e. Host-country agencies where applicable.

2. The DoD Component plans shall address actions to counter theft or pilferage by military members and civilian employees authorized access. These actions may include:

a. Trustworthiness determination.

b. Internal surveillance.

c. Inspection programs or use of metal detectors at exit control points.

d. The monitoring of inventory, accountability, and disposal of AA&E to minimize opportunities for internal theft and to detect concealed shortages.

E. IMPLEMENTATION OF SECURITY PLANS

1. Physical security measures, including barriers, controlled entry points, hardened structures, and intrusion detection systems, shall be designed to provide maximum deterrence to unauthorized entry.

a. AA&E should be stored in inner zones or areas of an installation. This may require inventory, and segregation, where practical, by risk categories. Security protection requirements shall be based on the highest category of AA&E stored in the magazine or other structures.

b. The responsiveness of the security force, the reliability and capability of the intrusion detection equipment, and the penetration resistance of the physical barrier contribute to the effectiveness of the security system.

2. The commander responsible for the security of AA&E shall issue

instructions regarding all phases of security operations. These instructions shall be reviewed at least annually for relevance and currency.

F. INTRUSION DETECTION SYSTEMS

1. The intrusion detection system (IDS) is an essential part of physical security systems. The IDS shall be an approved DoD standardized system or commercial equipment which meets UL Grade AA standards or equivalent, approved by the DoD Component. See DoD Directive 3224.3 (reference (m)).

2. Every effort shall be made to select IDS equipment for optimum performance and standardization in the interest of ease of maintenance, cost-effectiveness, and absolute minimum of false alarms and nuisance alarms. Approval of IDS shall be sought from the appropriate Component headquarters listed below:

a. For Army sites:

Headquarters, Department of the Army
ATTN: DAMO-ODL
Washington, D.C. 20310-0440

b. For Navy sites:

Chief of Naval Operations
ATTN: CNO(OP-09N)
Washington, D.C. 20388-5024

c. For Air Force sites:

Headquarters, Air Force Security Police
ATTN: HQ AF/SP
Room 5D285, Pentagon
Washington, D.C. 20301-3040

d. For Marine Corps sites:

Commandant of the Marine Corps
ATTN: POS-43A
Washington, D.C. 20830-0001

3. Components of the DoD standardized system or commercial equipment determined by the DoD Component to meet standards shall be used as replacements for installed commercial systems as they become obsolete. IDS is normally designed for a 10 year operational life. Systems shall be replaced at 10 years or when no longer cost effective to maintain. IDS shall include a central control station where alarms annunciate and from which a response force can be dispatched. The response force shall respond to an activated alarm as soon as possible; but in no case may arrival at a scene exceed 15 minutes.

4. Where an IDS is used in civilian communities, arrangements shall be made to connect alarms to civil police headquarters, private security companies, or a monitoring service from which immediate response can be directed in case of unauthorized entry. Response requirements shall be documented in support agreements. See Appendix D, Section 5, for further information.

5. A daily log shall be maintained of all alarms received, including the nature of the alarm; for example, intrusion detection system failure or nuisance alarm, and at a minimum, the date and time the alarm was received, location, and action taken in response to the alarm. Logs shall be maintained for a minimum of 90 days and shall be reviewed to identify and correct IDS reliability problems.

6. Transmission lines for all installed IDS shall have line supervision (connecting lines shall be electronically supervised to detect evidence of tampering or malfunction and any visible lines must be inspected weekly). If line supervision is unavailable then two independent means of alarm signal transmission from the alarm area to

the monitoring station must be provided. Additionally, a protected backup independent power source of 8 hours minimum duration shall be provided. Provisions of telephone 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. Systems shall be tested quarterly and a log maintained at least 1 year for recording all tests.

7. Maintenance of IDS shall be provided by personnel qualified in repairing IDS. Maintenance shall be performed consistent with operational requirements to ensure continuous operation and reliability of each system in use.

G. SECURITY FORCES

1. A patrol shall periodically check facilities and areas used to store AA&E. When an IDS is used, patrols shall check storage areas at least once during each 24-hour period. Where the use of IDS is optional, patrols shall be made more frequently during each 24 hour period.

a. Checks shall be conducted during nonduty hours on an irregular basis to avoid the establishment of a pattern. Patrols and inspection of facilities should be increased during nights, weekends, holidays and when local threat conditions warrant.

b. These checks shall be recorded and consist of an inspection of the building or facility including doors and windows. Additionally, a system of guard tour reporting, and supervisory spotchecks of security patrols and related certifications shall be required. Records of these checks shall be maintained in the unit active file for a minimum of 90 days.

2. Guard procedures shall be reviewed at least annually and revised if necessary to provide greater application of security measures at AA&E storage areas, and include special emphasis on guard post locations and guard orientation concerning duties performed.

3. Law enforcement patrol plans shall be coordinated and integrated with the guard plan and other security plans and programs to the extent possible. When facilities are located in civilian communities, liaison shall be established with local civil police agencies to ensure that periodic surveillance is conducted and that a coordinated plan for security exists.

4. Security patrols may be conducted by military personnel; civilian security personnel, including contract personnel; other Federal security forces; or State, local, or campus police.

5. Security forces shall be provided with two way radio communication.

H. KEY AND LOCK CONTROLS

1. Keys to AA&E storage buildings, rooms, racks, containers, and IDS shall be maintained separately from other keys, and accessible only to those individuals whose official duties require access to them. A current roster of these individuals shall be kept within the unit, agency, or organization. The roster shall be protected from public view.

a. When arms and ammunition are stored in the same areas, keys to those storage areas may be maintained together, but separately from other keys that do not pertain to AA&E storage. The number of keys shall be held to the

absolute minimum essential. Keys may not be left unattended or unsecured at any time.

b. When not attended or used, keys providing access to Category III and IV AA&E shall be secured in containers of at least 20-gauge steel, or material of equivalent strength, and equipped with a General Services Administration (GSA)-approved built-in changeable combination lock or an GSA-approved key operated security padlock. Keys providing access to Category I and II AA&E shall be secured in a class 5 GSA-approved security container. Keys to arms storage buildings, rooms, racks, or containers may not be removed from the installation except to provide for protected storage elsewhere.

c. In the event of lost, misplaced, or stolen keys, the affected locks or cores to locks shall be replaced immediately. Replacement or reserve locks, cores, and keys shall be secured to prevent accessibility to unauthorized individuals. Master keying of locks and the use of a master key system is prohibited.

2. Installation Commanders or their designee shall appoint in writing the lock and key custodian. A key control register shall be maintained to ensure continuous administrative accountability for keys. Accountability records shall contain the signature of the individual receiving the key, date and hour of issuance, serial number or other identifying information of the key, signature of the individual issuing the key, date and hour key was returned, and the signature of the individual receiving the returned key. Completed key control registers shall be retained in unit files for a minimum of 90 days and then disposed of in accordance with established procedures of the DoD Component.

3. Padlocks shall be locked to the staple or hasp when the area or container is open to prevent theft, loss, or substitution of the lock.

4. Inventories of keys and locks shall be conducted semiannually. Inventory records shall be retained in unit files for 1 year and then disposed of in accordance with established procedures of the DoD Component.

5. When individuals, such as duty officers, are charged with the responsibility for safeguarding or otherwise having keys immediately available, they shall sign for a sealed container of keys. When the sealed container of keys is transferred from one individual to another, the unbroken seal is evidence that keys have not been disturbed.

6. Section 1386 of Title 10, United States Code, (reference (n)) makes unauthorized possession of keys, key-blanks, keyways or locks adopted by any part of the Department of Defense for use in the protection of conventional arms, ammunition or explosives, special weapons, and classified equipment, a criminal offense punishable by fine or imprisonment of up to 10 years, or both.

CHAPTER 4PROTECTION OF ARMSA. GENERAL

This chapter prescribes the criteria and standards for the protection of arms in the custody of the DoD Components. Arms, including firearms in rod and gun club facilities, shall be stored in an arms room, modular vault, or an existing arms storage facility.

1. When storage in an arms room, modular vault, or existing arms storage facility will impede operational or training requirements, arms may be stored or installed as follows:

a. On aircraft, vehicle, or other platform to which assigned.

b. Class 5 GSA- approved security container, or a Type 2 portable magazine (small quantities of Category II, Category III and IV Arms) or;

c. In other configurations, provided an appropriate level of security is maintained and as specified by the DoD Component concerned.

2. Individuals issued, or in possession of, arms are responsible for security of this property while it is entrusted to their care.

3. An arms room shall be built in accordance with the construction requirements described in MIL-HBK-1013/1 to meet Class A Vault specifications. Modular vaults meeting Federal Specification AA-V-2737 may be used to meet this requirement.

4. Existing arms storage facilities may continue to be used if structural barriers provide a minimum of 10 minutes of forced entry delay. Structural upgrades of existing arms storage facilities to achieve this design goal should use MIL-HBK 1013/1 (reference (i)) or other Component-approved security engineering guidance.

B. STORAGE AND SUPPLEMENTAL CONTROLS

The storage of Category II, III and IV arms (see Appendix A) and the supplemental controls required for their protection are described below and outlined in Table 1 on page 4-3.

1. Category II through IV

a. Facility Criteria. Arms shall be stored in either an arms room, modular vault, or an existing arms storage facility provided they meet construction requirements or the current construction provides equivalent protection.

(1) Walls, Floors, and Ceilings. The construction of an arms room, modular vault, or an existing arms storage facility perimeter shall be built as described in subsections A. 3. and 4., above.

(2) Doors.

(a) Class 5 or 8 vault doors are required for arms rooms built to class A vault standards and GSA-approved modular vaults. Arms room doors shall meet the requirements of MIL-HBK-1013/1 and doors on existing facilities shall use a solid hardwood or laminated wood door of at least 1 3/4 inch thickness with a 12-gauge steel plate on the outside face or shall be of standard 1 3/4-inch thick, hollow metal, industrial-type construction

ARMS		
RISK CATEGORY II THROUGH IV		
STRUCTURAL NEEDS	STORAGE	DOORS
ARMS ROOM OR MODULAR VAULTS OR EXISTING FACILITIES OR CLASS 5 CONTAINERS (1) OR TYPE 2 PORTABLE MAGAZINE (2)	CLASS 5 CONTAINER, BANDED CRATES, ARMS RACK	CLASS 5 OR 8 VAULT DOOR WITH BUILT-IN COMBINATION LOCK OR KEY OPERATED HIGH SECURITY PADLOCK AND HASP ON A SOLID HARDWOOD DOOR OR A METAL DOOR
IDS	GUARD PATROLS	ARMS PARTS
REQUIRED	ONE 24 HOUR PATROL WITH IDS FIELD CONDITIONS: CONSTANT SURVEILLANCE	MAJOR SUBPARTS WHICH INCLUDE FRAME AND RECEIVER WILL BE PROTECTED AT THE CATEGORY OF THE ARM BARRELS AND MAJOR SUBASSEMBLIES WILL BE PROTECTED AS CATEGORY IV ARMS
1. Facilities located on a Military Installation may store small quantities of Category II, Category III and IV arms in a Class 5 GSA-approved container having a combination lock, and the container is under constant surveillance or is protected by IDS within a locked room with a 24 hour supervised guard patrol. 2. Authorized for Risk Category II, III, and IV AA&E and shall be built of theft resistant material of not less than 1/4 inch steel and lined with at least 3 inches of hardwood.		

Table 1

with minimum 14 gauge skin plate thickness, internally reinforced with continuous vertical steel stiffeners spaced 6 inches on center. The doors shall be equipped with a high security padlock meeting Military Specification MIL-L-43607 and hasp meeting Military Specification MIL-H-29181. Installation of hollow metal doors and production facilities with roll-up doors and hinged doors for vehicle access to large bay areas shall be hardened in accordance with technical guidance provided in MIL-HBK-1013/1 reference (i)).

1 Door
bucks, frames, and keepers shall be rigidly anchored and provided with antispread space filler reinforcement to prevent disengagement of the lock bolt by prying or jacking of the door frame. The frames for both interior, and exterior doors shall be so designed and installed as to prevent sufficient removal of the frame facing or the built-in locking mechanism to allow disengagement of the lock bolt from outside a secured room.

2 Door
Construction requirements for frames and thresholds shall be as exacting as those for the doors themselves. For example, where metal doors are used, the frame and thresholds shall be of metal. A class V or VIII steel vault door and frame with a changeable combination lock may be used instead of other doors or locks.

(b) Door hinges on all arms storage structures shall be of sufficient strength to withstand constant use and the usual weight of the door. Hinges should be located on the inside and be of the fixed pin security hinge type or equivalent.

(3) Safes, Arms Racks, and Storage Containers.
Within the areas described above,

arms shall be secured in either a Class V GSA-approved container, banded crates, standard issue arms racks or locally fabricated arms racks. Arms stored in arms racks shall be secured by a padlock meeting commercial item description (CID) A-A-1927. Rifle racks and containers weighing less than 500 pounds, with weapons, shall be fastened to the structure (or fastened together in groups which have a total weight exceeding 500 pounds) with bolts or chains equipped with a padlock meeting commercial item description (CID) A-A-1927. Bolts used to secure racks must be spot welded, peened, or otherwise secured to prevent easy removal. Chains used to secure racks shall be heavy duty hardened steel or welded, straight link, galvanized steel, of at least 5/16-inch thickness, or equivalent. An example of an equivalent chain is Type 1, Grade C, Class 4, NSN 4010-00-149-5583, NSN 4010-00-149-5575, or NSN 4010-00-171-4427.

(a) Hinged locking bars for racks shall have the hinges welded, peened, or otherwise secured to prevent easy removal. All racks must be constructed to prevent the removal of the weapon by disassembly.

(b) When weapons are in transit, stored in depots or warehouses, or held for contingencies, crates and containers shall be fastened together to achieve a total weight of 500 pounds or more and shall be banded or locked and sealed.

b. Supplemental Controls.
Arms rooms, modular vaults, and existing arms storage facilities shall be protected by IDS. including both point sensors on doors and other man passable openings and motion or vibration sensors in the interior and patrolled at least once every 24 hours by a supervised guard patrol.

Under field conditions, constant surveillance is required.

(3) Windows and Other Openings.

(a) Windows and other openings shall be sealed with material comparable to that forming the adjacent walls and otherwise limited to the minimum essential. Windows, ducts, vents, or similar openings of 96 square inches or more with the least dimension greater than 6 inches shall be equipped with 3/4" steel bar mesh, riveted steel bar grating, or other hardening options, providing similar delay times described in MIL-HBK 1013/1 (reference (i)) or other Component approved security engineering guidance.

(b) Bars or steel mesh shall be securely embedded in the structure of the building or welded to a steel frame that shall be securely attached to the wall with fastenings inaccessible from the exterior of the arms storage facility.

(4) Security Lighting. Exterior lighting shall be provided for all arms storage buildings, buildings in which arms rooms are located, and doors to arms rooms.

(a) Exterior lighting should be sufficient to allow guards (or individuals responsible for maintaining surveillance) to detect unauthorized activity or signs of forced entry from all sides of the building or the unauthorized removal of arms during hours of reduced visibility.

(b) Interior lighting should be considered for entrances to buildings, corridors, and arms rooms.

(c) Switches for exterior lights shall be installed so they are not accessible to unauthorized individuals.

(5) Locks and Keys.

(a) Doors used for access to arms storage rooms shall be locked with a high security locking device. Such as a GSA-approved built-in combination lock or high security padlock (MIL-P-43607) and hasp (MIL-H-29181), or other high security locking hardware approved by the DoD Component concerned. Panic hardware, when required, shall be so installed as to prevent opening the door from the outside. Panic hardware must meet safety and building codes and be approved by the Underwriters Laboratory or host country as applicable. When panic hardware is used, a balanced magnetic switch shall be installed and monitored at an alarm control center or a serially numbered seal will be placed on the door to facilitate detection if the door is opened.

(b) Key and lock controls shall be established in accordance with Chapter 3.

C. FACILITIES LOCATED OUTSIDE A MILITARY INSTALLATION.

Unless continuously manned, or under constant surveillance, facilities located outside a military installation will be protected as described in paragraph B.1.b., above. Additionally, Risk Category II Arms shall have the bolts removed and secured in a separate Class V container under the following conditions:

1. Facility does not meet structural criteria;
2. Increased threat conditions;
3. Inoperative IDS;

4. During periods of annual field training if arms are left in the facility; or

5. At the decision of the commander having direct security responsibility for the facility. Bolts so removed shall be tagged with the weapon's serial number to ensure return to the same weapon. Etching of the weapon's serial number on the removed parts is prohibited.

D. RESTRICTED AREA POSTING

Areas where arms are stored shall be designated and posted as restricted areas.

E. ARMS PARTS

Major parts for arms, such as barrels and major subassemblies, shall be afforded at least the same protection as Category IV arms. The frame or receiver of an arm constitutes a weapon and such parts, therefore, must be stored according to the correct category: for example, the receiver of a .30 caliber machine gun shall be stored as a Category II arm. The DoD Components shall review theft and loss reports from production and maintenance facilities for evidence of weapons parts diversions.

CHAPTER 5PROTECTION OF NONNUCLEAR MISSILES,
ROCKETS, AMMUNITION, AND EXPLOSIVESA. GENERAL

Nonnuclear missiles, rockets, ammunition, and explosives listed in Appendix A shall be stored as outlined below and described in Table 2 on page 5-2. Individuals issued or in possession of missiles, rockets, ammunition, or explosives are responsible for security of such property while it is entrusted to their care. Missiles, rockets, ammunition, and explosive items installed in or on platforms are considered in use and shall be protected with the weapon system in which they are installed as described in DoD 5200.8-R (reference (h)). The requirements of this Manual shall be considered in the development of security concepts or standards for weapon systems.

B. BULK STORAGE AREAS1. All Categories

a. Bulk storage areas are considered to be depot activities, prestock points, and ammunition supply points at which bulk quantities of missiles, rockets, ammunition, and explosives are stored. The fixed structure magazines considered acceptable for storage are listed in DoD 6055.9-STD (reference (g)). If operational requirements make it necessary Category III and IV A&E may be stored in type 2 portable magazines. In addition, existing facilities may continue to be used if structural barriers provide 10 minutes of forced entry delay. Structural upgrades to existing facilities to meet this

requirement should use MIL-HBK 1013/1 (reference (i)).

b. Supplemental Controls.

(1) IDS. Unless continuously manned or under constant surveillance, Category I and II storage facilities shall be protected by IDS. In addition to the IDS, a supervised guard patrol shall be made with at least one patrol during a 24-hour period.

C. FENCES

Fencing the entire perimeter of an enclave area for Category I and II missile, rocket, ammunition, and explosives storage areas shall be required and be constructed and configured as set forth in this Manual. If, however, the Installation outer perimeter has adequate fencing, fencing the inner zone may not be required provided the entrances to the storage facility are monitored by a CCTV system. For Installations that have barbed wire perimeter fencing, are partially fenced, or have no fencing, the fencing of the enclave containing sensitive munitions may be more practical and cost-effective.

1. New chain link fencing may be programmed for Category III and IV storage facilities if determined necessary by an assessment of local criminal threats, vulnerabilities, and cost effectiveness.

a. The minimum height of the fence fabric (excluding top guard) shall be 6 feet.

b. In Europe, fencing may be North Atlantic Treaty Organization (NATO) Standard Designed Fencing (2.5-3mm gauge, 76mm grid opening, 2 meter height, and 3.76 meter post separation).

AMMUNITION & EXPLOSIVES				
RISK CATEGORY	STRUCTURAL NEEDS	IDS	GUARD PATROLS	FIELD CONDITIONS
CATEGORY I & II	MAGAZINE WITH A HIGH SECURITY LOCKING SYSTEM (1)	REQUIRED	ONE 24 HOUR PATROL WITH IDS	CONSTANT SURVEILLANCE REQUIRED WHEN NO IDS IS PRESENT
CATEGORY III & IV	MAGAZINE WITH A HIGH SECURITY LOCKING SYSTEM (1), TYPE 2 PORTABLE MAGAZINE(2) OR EXISTING FACILITIES (3)	OPTIONAL	ONE 24 HOUR PATROL WITH IDS	FREQUENT PATROLS REQUIRED
1. BUILT IN ACCORDANCE WITH DoD 6055.9-STD (reference (g)) 2. SHALL BE SECURED WITH AN APPROVED DoD LOCKING SYSTEM 3. MEETS THE CONSTRUCTION REQUIREMENTS OF MIL-HBK-1013/1 FOR 10 MINUTES FORCED ENTRY DELAY				
Table 2				

(1) Fence fabric and hardening options; i.e. barbed wire and methods used to delay penetrations under the fence, shall be in accordance with MIL-HBK 1013/1 (reference (i)) or other Component-approved security engineering guidance.

(2) The barrier shall have a minimum number of vehicular and pedestrian gates, consistent with operational requirements. These gates shall be structurally comparable, shall provide the equivalent penetration resistance to the adjacent fence, and shall be designed so that the traffic through them will be under positive control of the security force. Unless continuously manned, gates shall be provided with a lock approved by the DoD Component. Hinge pins and hardware shall be welded or otherwise secured to prevent removal.

(3) Drainage structures and water passages penetrating the barrier having a cross-sectional area greater than 96 squares inches, and a dimension greater than 6 inches shall be barred to provide protection equivalent to the fence itself.

(4) Building walls may be incorporated into the perimeter barrier system when they are windowless or their windows are barricaded and where they are subject to observation and the resistance to entry they provide is equivalent to the perimeter barrier.

(5) Clear zones shall extend 20 feet on the outside and 30 feet on the inside of the enclave perimeter fence (available real estate permitting). Clear zones shall be free of all obstacles, topographical features, and vegetation that reduce the effectiveness of the physical barrier, impede observation, or

provide cover and concealment for an intruder.

(a) Vegetation or topographical features that must be retained in clear zones for erosion control, passive defense, or for legal reasons shall be trimmed or pruned to eliminate concealment or checked by security patrols at irregular intervals.

(b) Perimeter light poles, fire hydrants, steam pipes, or other similar objects; barricades for explosives safety purposes; and entry control buildings within the clear zone that would not aid in the circumvention of the perimeter barrier or do not provide concealment to an intruder do not violate the requirements of the clear zone.

(c) If natural barriers, such as mountains, cliffs, rivers, seas, or other difficult-to-traverse terrain, form portions of the perimeter and provide equivalent or more security than fencing, the security fencing of inner zone storage areas may not be required.

D. SECURITY LIGHTING

Exterior door security lighting shall be provided for all Category I and II storage facilities. The DoD Component concerned shall determine if lighting should be provided along the storage site perimeter. Emergency lighting and standby power are not required, but should be considered when the threat and vulnerability warrant.

E. GUARD PROTECTION AND SURVEILLANCE

Protection and surveillance by security forces or other designated personnel shall be established for facilities as set forth in this Manual and otherwise as needed to ensure protection in conjunction with other physical security measures at the facilities. At a minimum, unsecured entrance and exit points into magazine areas and holding areas where vehicles, railcars, or aircraft with missiles, rockets, ammunition, or explosives aboard are parked, shall be controlled by security forces or other personnel. When duty personnel are not present or IDS or CCTV are not used, security patrols shall be provided to allow physical inspection of each aircraft, railcar, or vehicle at a frequency determined by the DoD Component concerned, but not to be less than one patrol every hour.

F. LOCKS AND KEYS

1. Locks. Magazines constructed in accordance with DoD 6055.9-STD (reference (g)) shall be secured with high security locking systems with padlocks (such as Military specification P-43607) and hasps (such as MIL-H-29181) approved by the DoD Component concerned. A class V or VIII steel vault door with a built-in, combination lock or a key operated high security padlock and hasp shall be used on doors to structures housing classified materiel as set forth in DoD 5200.i-R (reference (o)).

2. Key and Lock Control. Key and lock control shall be established in accordance with section H. of Chapter 3.

G. COMMUNICATIONS

Reliable and efficient primary and backup means of external and

internal communications, at least one of which is radio, shall be established at magazine areas to permit notification of emergency conditions. The communication system shall be easily accessible to security forces at their posts and shall be tested monthly by supervisory personnel. The backup system shall be of a different mode than the primary communication system. Communication systems shall be tested at least once every shift.

H. PROTECTION OF MISSILES, ROCKETS, AMMUNITION, AND EXPLOSIVES AT UNIT LEVEL

1. Unit level stocks are those stored in basic load quantities (quantities stored in tactical configuration for readiness requirements) or which are on hand for operational and training purposes. A typical storage facility for operational or ready service quantities of ammunition would be a building used to store ammunition on a rifle range or a military police or security force operations room. Such facilities shall comply with the requirements of Chapter 4 for unit arms rooms or section B. of this Chapter, for bulk ammunition storage magazines.

2. The following are minimum requirements for safeguarding and maintaining unit level stocks:

a. Depending upon tactical and contingency considerations, unit level stocks should be stored in ammunition storage rooms, magazines, or existing facilities that are equivalent to the structural standards prescribed in section B., above.

b. When operational and training requirements prevent the storage of unit level stocks or explosives in ammunition storage magazines, these stocks may be stored

in combat vehicles, aircraft, ships, trailers, or in other configurations required by the operational environment provided constant surveillance is maintained. When stored in this manner, unit level stock storage areas shall comply with the criteria specified by the DoD Component concerned. When more than one unit uses the same area, stocks shall be separated and identified by unit. One unit shall be designated as responsible for the security of the entire area.

I. ENTRY CONTROL

Access control points for vehicles and personnel entering A&E storage areas shall be secured and strict key accountability is required. Additionally, a system of random inspections of vehicles and personnel entering or exiting the facility or area is mandatory. A pass, badge, or access roster for admission to magazine areas shall be controlled by operational or security personnel. Entry records shall be maintained for a minimum of 90 days. Privately owned vehicles shall be prohibited in magazine or storage areas.

J. RESTRICTED AREAS

Structures containing sensitive missiles, rockets, explosives, or ammunition (see Appendix A) should be designated and posted as restricted areas.

CHAPTER 6

ACCOUNTABILITY, DISPOSAL, AND
DEMILITARIZATIONA. NONNUCLEAR MISSILES AND ROCKETS
(CATEGORY I)

1. General. Each DoD Component having custody of nonnuclear missiles and rockets as defined herein shall establish and maintain records that will provide for continuous accountability. This shall include those issued for training and shall require the return of unexpended missiles and expended residue. When applicable, such records shall be maintained by serial number. Incoming shipments shall be inventoried promptly after receipt to ensure that all items have been received. Contracts for procurement of nonnuclear missiles and rockets shall provide for individual item serialization.

2. Inventories. In addition to the requirements in DoD Instruction 4140.35 (reference (p)), the following apply:

a. Unit Level. A 100-percent physical count shall be taken monthly. A 100-percent physical inventory by serial number shall be taken quarterly.

b. Depot, Post, or Base Level. A 100-percent physical count shall be taken semiannually.

B. SMALL ARMS

1. Small Arms serial number registration and reporting. Small arms, as defined in the definitions section shall be reported in accordance with DoD 4000.25-2-M (reference (j)) and DoD 4140.52 (reference (q)).

b. Delineation of
Responsibilities

(1) The Department of the Army is the assigned agency responsible for operating and maintaining the DoD central registry which maintains control over serial numbers of arms as defined herein and a file of those arms that have been lost, stolen, demilitarized, or shipped outside the Department of Defense. The DoD central registry shall be updated by tapes, forwarded to it monthly from the DoD Component registries, containing in serial sequence the most recent list of serial numbers of arms for which the DoD Component maintains accountability, and a history file of arms reported lost, stolen, demilitarized, or shipped outside the control of the Department of Defense.

(2) The Department of the Army shall consider adding a separate category to the DoD registry for serial numbers of missiles, rockets, munitions, and other military items requiring DoD-wide tracking, because of the sensitivity or value.

(3) Each DoD Component is responsible for maintaining an automated registry for serial numbers of arms in their inventory. The registry shall be updated based on transaction reporting; for example, receipts, issues, and turn-ins.

(4) When the DoD central registry receives an inquiry concerning a lost, stolen, or recovered weapon that is listed with the registry as DoD property, or as missing from a DoD activity, the central registry shall inform the affected DoD Component. The DoD Component shall establish procedures to ensure that:

(a) Such losses, thefts, or recoveries are, or have been, appropriately investigated as required in section I of Chapter 2 and reported as outlined in Chapter 8 of this Manual.

(b) DoD Component AA&E recovered by police or investigative agencies are returned to DoD control for disposition upon completion of investigative and prosecutive action.

c. Exclusions. Privately owned arms and arms purchased with non-appropriated funds are exempt from being reported to the DoD central registry. However, each post, camp, station, or base having nonappropriated fund arms shall establish procedures to identify such weapons by type and serial number.

d. General Procedures

(1) The arms serial number registration and reporting procedures shall ensure control over all arms serial numbers from manufacturers to depot, in storage, in transit to requisitioners, in installation or unit custody, in the hands of users during turn-ins, in renovation, and during disposal or demilitarization. The DoD central registry shall maintain records of serial number adjustments and shipments to flag rank officers, foreign military sales (FMS) and grant aid, activities outside the control of the Department of Defense, and transfers between DoD Components. Incoming shipments shall be inventoried promptly after receipt to ensure that all items have been received and entered into the DoD central registry or the DoD Component registry, as appropriate.

(2) National or DoD Component assigned stock numbers shall be used by the DoD Components for the initial load and all later

transactions to the DoD central registry.

(3) All arms, regardless of origin, that are accounted for in unclassified property records, shall be reported. Automatic weapons shall be reported on a priority basis.

(4) Arms with NSN or serial number missing, obliterated, mutilated, or illegible shall be reported, when discovered, to the DoD central registry by message or letter for assignment of NSN and management control serial number. The following format will be used:

NSN (NSN or "None")
Serial Number (SN or "None")
Description (Make, model, caliber or any other nomenclature data)

(5) When the DoD central registry identifies duplicate serial numbers by weapon type in the DoD Components, appropriate instructions shall be provided by the U.S. Army Armament, Munitions and Material Command Material (AMCCOM) for the modification of the serial numbers. Movement and shipment of weapons shall be held in abeyance pending correction of serial numbers.

(6) To ensure the DoD central registry is properly maintained, the following is required for small arms shipments:

(a) Two weapon serial number (WSN) control transaction cards for each weapon in the shipment shall be attached to the supply documentation.

(b) When operational procedures prevent compliance with subparagraph B.1.d.(6)(a), above, a listing of WSNs shall be attached to the supply documentation.

(c) Incoming shipments shall be opened by a

designated receiver and the receipt of each item verified by check of the serial number. However, incoming shipments from procurement received at depots that are preservation packaged need not be individually checked if the contract provides for 100-percent serial certification by the contractor that is checked by the Government contract representatives based upon acceptable sampling techniques. In this latter case, however, the receiving activity randomly shall sample to verify the accuracy of serial numbers in each shipment from new procurement.

(7) The DoD Component registries shall reconcile inter-Service transfers of weapons on a transaction-by-transaction basis. Follow-up procedures shall be established to ensure that the loop is closed on inter-Service transfers.

(8) Questions concerning the daily operations shall refer to the DoD Central Registry. The DoD central registry address is

Commander, U.S. Army Armament,
Munitions,
and Chemical Command
ATTN: AMSMC-MMD-LW
Rock Island, Illinois 61299-6000

2. PHYSICAL INVENTORY CONTROL

a. General. All items included in the definition of the term "arms" shall be subjected to physical inventory control procedures contained in DoD 4000.25-2-M (reference (j)) and DoD Instruction 4140.35 (reference (p)). The provisions of reference (j) and (n), require a high degree of protection and inventory control specified for sensitive items, apply.

b. Policy And Procedures. Policy and procedures for physical inventory control are contained in DoD 4000.25-2-M (reference (j)) and DoD Instruction 4140.35 (reference

(p)).

(1) The nature and sensitivity of arms control dictates strict adherence to the provisions of reference (p) about physical inventories, research, location and audit, retention of accountable documentation, quality control, and inventory effectiveness reporting.

(2) The special provisions for controlled inventory items are important to the control of arms. In addition to the provisions in reference (p), the following minimum requirements shall be met:

(a) Unit Level.

A 100-percent physical count shall be taken monthly and an inventory by serial number shall be taken quarterly, except for boxed and banded arms. In this latter case, the count and inventory shall consist of a 100-percent count as reflected by the number of items listed on the boxes. Any evidence of tampering shall be cause for a box to be opened and a 100-percent count taken of the weapons inside. Inventory records shall be maintained for a minimum of 2 years for inventories that do not reflect discrepancies and 4 years for records that do reflect discrepancies.

(b) Depot.

Post, or Base Level

1 Those small arms not already entered into the Component and DoD registries shall be completely inventoried and reported in accordance with DoD 4000.25-2-M (reference (j)) and DoD 4140.52 (reference (q)).

2

Thereafter, the inventory shall be taken once each fiscal year at depot and semiannually at post or base level. These inventories shall

consist of a 100-percent count as reflected by the number of items listed on the boxes. A complete count shall be made of the contents of every box that is opened, damaged, or shows signs of tampering. The inventory records shall be maintained as required in subparagraph B.2.b.(2)(a), above.

C. AMMUNITION AND EXPLOSIVES

1. General. All items included in the definition of the terms "Ammunition" and "Explosives" shall be subject to physical inventory control policy and procedures contained in DoD 4000.25-2-M (reference (j)) and DoD Instruction 4140.35 (reference (p)). The provisions of the references (j) and (p), require a high degree of protection and inventory control specified for sensitive items, apply. Upon receipt a check shall be made to verify that all items shipped have been received.

2. Policy and Procedures. Detailed policy and procedures for physical inventory control of ammunition and explosives are contained in references (j) and (p). The nature and sensitivity of ammunition control dictates strict adherence to the provisions of reference (j) and (p) on physical inventories, research of potential inventory adjustments, reversal of inventory adjustments, retention of accountable documentation, quality control, and inventory control effectiveness reporting. The special provisions for controlled inventory items are important in the control of ammunition and explosives.

D. INVENTORY LOSSES

Accounting and inventory losses of AA&E shall be handled in accordance with the provisions of DoD 7200.10-M (reference (k)) and DoD 7220.9-M (reference (r)).

E. INVENTORY CONTROL EFFECTIVENESS REVIEW

Inventory control effectiveness reviews shall be conducted by the DoD Component concerned.

F. DISPOSAL AND DEMILITARIZATION

Disposal of all excess and surplus arms, arms parts, ammunition, and explosives is governed by DoD 4160.21-M (reference (s)). The demilitarization of AA&E shall be accomplished in accordance with DoD 4160.21-M-1 (reference (t)). AA&E undergoing demilitarization must be transported and stored in accordance with this Manual until demilitarization is completed. AA&E being disposed of without demilitarization (FMS, transfer to law enforcement agencies, and the like) shall be transported and stored in accordance with this Manual until accountability is transferred. The following also apply:

1. General

a. Small Arms.

Demilitarized small arms shall be reported in accordance with DoD 4000.25-2-M (reference (j)) and DoD 4140.52 (reference (q)).

(1) A

demilitarization certificate shall be furnished to the DoD central registry in the case of each arm released from U.S. control.

(2) A

demilitarization certificate shall be completed by a technically qualified U.S. Government representative before residue from the demilitarization process is released from U.S. control.

b. Ammunition. Defense

Reutilization and Marketing Offices (DRMO) are not permitted to receive

live ammunition items. DRMO may receive inert ammunition components. In the United States, ammunition shall be demilitarized by a DoD Component activity having such capability. Overseas, where U.S. forces do not have the capability to demilitarize ammunition items, demilitarization may be performed by approved contractors who are licensed or controlled by the government of the country in which the contractor operates. The Military Departments are responsible for the economical and effective demilitarization of ammunition under their accountability. A certificate as prescribed by DoD 4160.21-M-1 (reference (t)) shall be executed by a technically qualified U.S. Government representative for all items demilitarized.

c. Explosives. In addition to the requirements above, sales of surplus explosives in the United States are limited to individuals and companies holding a valid users or dealers license issued by the Bureau of Alcohol, Tobacco and Firearms, U.S. Department of the Treasury. Overseas sales are limited to companies controlled or licensed by the respective government. Purchasers of explosives must provide a "Certificate Regarding End Use of Explosive Materials" as prescribed in DoD 4160.21-M (reference (s)).

2. Procedures

Detailed procedures for disposal are included in reference (s). Detailed procedures for demilitarization are included in reference (t). Each DoD Component shall establish procedures to ensure that items shipped to DRMOs are not dropped from accountability supply records until they are in receipt of turn-in documents from the DRMO and transaction records are reconciled.

CHAPTER 7TRANSPORTATIONA. GENERAL

This Chapter prescribes transportation security standards and policy, and delineates procedures to be used in safeguarding categorized AA&E as described in Appendix A.

1. AA&E that are classified shall be stored and transported in accordance with this Manual.

2. The DoD Components shall establish security criteria for the intra-installation and unit movement of AA&E consistent with the philosophy in this chapter.

3. Explosive ordnance disposal teams responding to off-station accidents or incidents shall transport necessary explosive ingredients in accordance with requirements established by the DoD Component concerned, based on the philosophy contained herein.

4. The DoD Components shall ensure that AA&E items transported from contractor facilities to DoD facilities are shipped in accordance with this Chapter.

B. RESPONSIBILITIES

1. Within their respective areas of responsibilities, combatant commanders; Commander, U.S. Transportation Command; and the Commander, Military Traffic Management Command (MTMC), are responsible for:

a. Ensuring that the transportation protective measures used for AA&E items are established

in applicable tariffs, government tenders, agreements or contracts.

b. Negotiating with commercial carriers for establishment of transportation protective measures to meet shipper requirements.

c. Determining the adequacy of the services provided by commercial carriers for movement of AA&E items.

d. Routing when requested by shipper.

2. In addition, the Commander, MTMC, shall:

a. Develop, administer, and maintain joint transportation security procedures for the commercial movement of AA&E.

b. Serve as the DoD focal point for security and performance monitoring and oversight relative to the security of AA&E in transit in the custody of commercial carriers.

3. The Air Mobility Command (AMC) is responsible for ensuring the adequacy of the services provided for the movement of AA&E items by military airlift, worldwide, and by commercial airlift procured by MAC.

4. The Military Sealift Command (MSC) is responsible for ensuring the adequacy of the services provided by military and commercial ocean carriage for the movement of AA&E.

5. This Chapter does not relieve accountable officers of their responsibility to safeguard and account for property.

C. STANDARDS

Transportation security policy and standards for AA&E by category, as described in Appendix A, are required to adequately protect such

items during shipment. On the basis of threat determination and evaluation of the movement itself, AA&E may be given additional protection, but not less than that required by the category assigned to the item. Users of commercial transportation services outside of the CONUS shall adhere as closely as practicable to requirements contained in sections D. through M of this Chapter, below. When such services cannot be obtained, compensatory measures shall be taken to achieve equivalent security standards.

1. Every effort should be made to consolidate shipments into truckload (TL) or carload (CL) quantities. Less than truckload (LTL) shipments are considered more vulnerable to theft.

2. Small arms repair technicians should travel to support facilities and effect on-site repairs instead of shipping small arms for repair whenever feasible.

3. When practical, arms and ammunition of the same caliber shall not be shipped in the same container or conveyance.

4. Where available, export and import shipments shall be processed through military-managed and operated air and ocean terminals or through DoD-approved commercial air and ocean terminals. The approved list of commercial air and ocean terminals is maintained by MTMC.

5. Shipments of arms and ammunition scheduled for demilitarization and retrograde shipments shall receive the same protection as other shipments of AA&E.

6. Missile rounds shall be packaged separately from launch and control equipment. Missiles may 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). 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 Component commander.

7. Security provided for AA&E at military and commercial terminals shall conform to the standards set forth in Appendices B and C. The standards will be provided to the commercial carrier by the Commander, MTMC.

8. Shipments must be checked immediately upon receipt to ensure that the seals are intact and for any signs of damage or tampering. If there are any such signs, there must be an immediate inventory to verify quantities received and to determine the extent of any damage or tampering on all Category I and II AA&E, and classified AA&E shipments. If the seals are intact, quantity verification must take place on the next working day. The requirement to check seals and verify quantities received includes shipments of all categories of sensitive or classified AA&E.

9. For rail shipments of Category I and II items, the carrier must advise the consignee immediately upon arrival of the shipment at the yard serving the consignee and/or immediately upon arrival at the consignee's activity.

10. Uncategorized Class 1 Divisions 1 through 3 ammunition and explosives will be transported in accordance with the Defense

Transportation Management Regulation (DTMR) (reference (d)).

11. Enhanced regional transportation security measures for use during terrorist threat conditions shall be addressed in detail in Component implementing instructions and contingency plans.

12. Shipments in CONUS of .30-06 and .30 caliber ammunition up to 12,000 rounds for Director of Civilian Marksmanship affiliated clubs are exempt from the DDPS requirement.

D. SPECIAL CONSIDERATIONS FOR CATEGORY I ITEMS

1. Shipments of Category I material by all modes shall provide a continuous audit trail from shipper to consignee with advance certification of serial numbers of individual items or certified items. Two man certification is required; that is, each container must be checked by two responsible agents of the shipper, and sealed and locked in their presence before delivery to the carrier. This rule applies at transshipment points and terminals whenever the shipment loses its original identity; for example, when two or more shipments are consolidated into another container for further movement or if repacking is required.

2. When moved by unit or organization transportation, Category I material shall be placed in the custody of a commissioned officer, warrant officer, senior noncommissioned officer, or DoD civilian of equivalent grade.

3. Overseas commands may use local national personnel for security surveillance to accompany U.S. personnel with AA&E when status of forces agreements prohibit arming of U.S. personnel.

E. SECURITY STANDARDS FOR SENSITIVE AA&E SHIPMENTS

Similar tables for transportation security procedures in the Defense Traffic Management Regulations (DTMR) and DoD Components physical security instructions should conform to Table 7-1 of this Manual.

F. SPECIAL CONSIDERATIONS FOR WATER SHIPMENTS

1. Security of shipments must be an integral part of prestowage planning. Considerations are:

- a. Segregation of cargo.
- b. Cargo in locked and sealed containers.
- c. SEAVANS and MILVANS stowed so doors are not accessible to stevedores or ship's crew.
- d. Break bulk cargo stowed in the following order or priority: lockers, reefer boxes or deep tanks that can be locked and sealed; bins that can be boxed solidly with plywood or other appropriate materials and stowed in the upper between decks of the hatches immediately fore and aft of the ship's house.

2. Specific locations of classified and protected sensitive shipments, with any special considerations, shall be indicated on the final stow plan and given to the responsible ship's officer.

3. Vessel movements of U.S.-owned AA&E to and from overseas locations and intra-Theater movements are limited to U.S. Naval vessels; MSC-controlled vessels; or when the above are not available, U.S. flag vessels or MSC approved local national chartered vessels.

G. SPECIAL CONSIDERATIONS FOR SMALL QUANTITY SHIPMENTS

Small quantity shipments for the these provisions shall be shipments of 200 pounds or less, or in the case of small arms, 15 or fewer individual weapons per shipment.

1. Registered Mail. Arms (including Category II or III) and missile components (excluding ammunition and explosives) may be sent by registered mail (return receipt requested) when the size and weight meet U.S. Postal Service requirements.

2. DoD CONSTANT SURVEILLANCE SERVICE (CS) Small quantities of unclassified Category III and IV AA&E may be transported using only DoD CSS when loaded in an authorized container and size, weight, and safety factors otherwise meet commercial carrier requirements.

H. ORGANIC AND UNIT MOVEMENTS

Organic movements will adhere as closely as practicable to the commercial standards in Table 7-1.

1. Security or police surveillance is required for organic or unit moves of Risk Category I & II AA&E between military reservations. Commanders shall consider security or police surveillance for installation moves of Risk Category I & II AA&E outside of protected enclaves on military reservations.

2. The DoD Components may authorize alternative transportation security procedures for small quantities of arms and associated ammunition for marksmanship training, competition, or other requirements on a case-by-case basis. The weapons and ammunition must be in custody of a designated individual. Use of privately owned vehicles to transport

such weapons and or ammunition may be authorized by the DoD Component.

I. COMMERCIAL MOVEMENTS

1. Shipments to be transported by commercial carriers shall conform to the requirements of chapter 34, DTMR (reference (d)), as summarized in Table 7-1. Carrier employees shall also meet the requirements of Section L, Chapter 2.

2. Where satellite monitoring is not available or in increased threat conditions, Risk Category 1 shipments shall use Security Escort Vehicle Service.

J. OVERSEAS IN-THEATER MOVEMENTS

OCONUS Commanders, based on host-nation requirements, and the local threat situation, shall use discretion in providing adequate security in theater when transporting AA&E cargo. To the extent feasible, transportation service outside of CONUS shall meet or exceed the established requirements for CONUS movements. When such service cannot be obtained, compensatory measures shall be taken to achieve equivalent security standards.

K. FOREIGN MILITARY SALES (FMS) SHIPMENTS

1. DoD officials authorized to approve FMS transactions that involve delivery of any sensitive U.S. AA&E to foreign purchasers shall, at the outset of negotiation or consideration of proposals, shall consult with the appropriate DoD transportation organization (TRANSCOM, MTMC, MSC, AMC) to determine whether secure shipment from CONUS points of origin to ultimate foreign destinations is feasible.

2. AA&E will be delivered to foreign customers at a CONUS DoD-

controlled water or aerial port of exit through the Defense Transportation System (DTS). The DTS usually means MTMC-arranged ships or MAC-controlled aircraft. If the foreign purchaser proposes to take delivery and custody of the AA&E in the United States, arrangements must be made for pick-up of the material at a DoD-controlled ocean or aerial port by ship or aircraft arranged for by the customer country or its designated freight forwarder (Delivery Term Code (DTC) 8 purchases must be followed). Shipping activities will not move AA&E until they receive an Export Traffic Release (ETR) from MTMC or confirmation that the customer country has cleared a pick-up at a U.S. military airfield with HQ USAF or the Naval Material Transportation Office (NAVMTO), as appropriate. In cases of pick-ups by aircraft, shipping activities must obtain inland routing from MTMC for movement of the material to designated military airfields. The DoD personnel at the airfield or ocean port will not relinquish custody of the material until a representative of the customer country signs for the material in the aircraft or ship. The only exception to this policy is the German Military Representative (GMR) at Dulles International Airport in the Washington, DC metropolitan area. Even in this case, Notices of Availability (NOVs) must be sent and responded to and inland routing must be obtained from MTMC.

3. Category I AA&E purchased under the FMS program will be moved to overseas Water and Aerial Ports of Discharge (WPODs and APODs) under U.S. security control (in accordance with DTC code 9), unless a waiver is granted by the Defense Security Assistance Agency (DSAA) in coordination with the Director, Defense Security Programs, ODASD(CI&SCM), OASD(C3I). A waiver if granted, must be written into the

appropriate FMS sales agreement(s). If a waiver applies to a shipment, all rules and regulations discussed in paragraph 2, above, apply to the movement of material. Return of Category I material from overseas shall be placed under U.S. security control upon arrival at the Customs Territory of the U.S. (CTUS). Customer countries will coordinate movement of this return material with the appropriate U.S. Security Assistance Office, MTMC, and USAF representatives before moving it to a CTUS.

4. As indicated in section A of this Chapter, above, shipments of classified AA&E to foreign governments shall be made in accordance and this Manual. Customers who plan to receive and hold AA&E (classified and unclassified) in CONUS and then ship it to their respective countries under their own control must file a transportation plan. This plan, as a minimum, shall specify the storage facilities, delivery and transfer points, carriers, couriers or escorts, and methods of handling to be used from the CONUS point of origin to the final destination and return shipment when applicable. Either security officials of the DoD Component that initiates the FMS transaction approves the transportation plan submitted, or it is modified to meet U.S. security standards, or shipments by other than DTS shall not be permitted. Transmission instructions or the requirement for an approved transportation plan shall be incorporated into the security requirements of DD Form 1513, "DoD Offer and Acceptance".

5. Shipment shall be made according to this Chapter, until released to an authorized representative (as delineated in DoD 4000.25-8-M, reference (u)) of the purchasing government at the POE or

the port of debarkation (POD) as appropriate.

6. During the FMS negotiations, the purchasing government's representative shall be advised of the applicability of this Manual to the security of the sensitive AA&E being procured. Shipments shall be closely coordinated with representative of the purchasing government to ensure that secure storage facilities which essentially meet requirements of this Manual are available. Shipments shall not be made available for delivery to the purchasing government's representative until confirmation is received by the seller that storage facilities are available and shall be used to store the sensitive materials.

7. For overseas movement, Category I AA&E shall be under U.S. security control to POD (i.e., upon delivery to the territory of the purchasing government) unless waived by the Defense Security Assistance Agency in coordination with the Director, Defense Security Programs, ODASD(C3I&SUM), OASD(C3I) and Foreign Military Sales agreements shall be so written. Return of Category I shipments from overseas shall be placed under U.S. security control upon arrival at the customs territory of the U.S. (CTUS).

L. CONTRACT MOVEMENTS

1. DoD contracts that procure arms, ammunition, and explosives requiring transportation protective service shall normally be written to require freight on board (FOB) origin only. For contractor-to-contractor shipments, contracts shall be written to require transportation security equivalent to DoD standards in Chapter 34, Defense Traffic Management Regulation (reference (d)). Contracts shall also specify contractor involvement in emergency

response procedures and provide for compliance with the Defense Traffic Management Regulations concerning carrier employee identification requirements.

2. For deliveries of AA&E to the Department of Defense or DoD contractors from foreign contractors, the contract monitor shall coordinate with applicable theater commands to arrange equivalent in-country security for delivery only to the nearest U.S.-controlled port facility.

M. SECURITY OF COMMERCIAL SHIPMENTS AT DOD INSTALLATIONS AND ACTIVITIES

1. For AA&E shipments arriving at a destination during other than normal delivery hours, consignees shall accept the vehicle on their facility and secure the vehicle according to the level of transportation protection required for the applicable category.

2. For emergency situations including breakdowns or other circumstances beyond the carrier's control, installations shall offer safe haven in accordance with the DTMR (reference(d)).

MINIMUM SECURITY STANDARDS FOR SENSITIVE MATERIAL AND CLASSES A AND B AMMUNITION AND EXPLOSIVE (SEE NOTE 1)

MOTOR		
CATEGORY I	CATEGORY II	CATEGORY III and IV
TL: - SM and DN (WINAC) (See Note 11). - Exclusive use of vehicle (See Note 3). - Locked and sealed by shipper (See Note 4). - Single line-haul required. - Trip lease not authorized. - When two or more vehicles are in convoy, drivers must be in sight of other vehicles at all times. Convoy will only require a single escort vehicle. LTL: - SM and DN (WINAC) (See Note 11). - CONEX, intermediary, or similar container authorized (See Note 10). - Locked and sealed by shipper (See Note 4). - Single line-haul required. - Trip lease not authorized. - Exclusive use of vehicle or authorized container.	TL: - SM and DN (WINAC) (See Note 11). - Exclusive use of vehicle (See Note 3). - Locked and sealed by shipper (See Note 4). - Single line-haul required. - Trip lease not authorized. LTL: - SM and DN (WINAC) (See Note 11). - CONEX, intermediary, or similar container authorized (See Note 10). - Cargo packaged to a weight of at least 200 lbs. and banded (sealed if practicable) or container locked and sealed by shipper (See Notes 4 and 5). - Single line-haul required. - Trip lease not authorized. - Exclusive use of vehicle or authorized container.	TL: - SM and DN (WINAC) (See Note 11). - Locked and sealed by shipper (See Note 4). - Trip lease not authorized. - Single line-haul required. LTL: (See Notes 6 and 7) - SM and DN (WINAC) (See Note 11). - CONEX, intermediary, or similar container authorized (See Note 10). - Cargo packaged to a weight of at least 200 lbs. and banded (sealed if practicable) or placed in an authorized container locked and sealed by shipper (See Notes 4 and 5). - Trip lease not authorized. - Single line-haul preferred.
RAIL		
- RSS (See Note 8). - MTX (See Note 8). - Locked and sealed by shipper (See Notes 4 and 9). - Immediate notification of consignee of delivery. - Use appropriate Category I motor security for any associated motor movement. - Use load divider doors when available.	- RSS (See Note 8). - MTX (See Note 8). - Locked and sealed by shipper (See Notes 4 and 9). - Immediate notification of consignee of delivery. - Use appropriate Category II motor security for any associated motor movement. - Use load divider doors when available.	- RSS (See Note 8). - MTX (See Note 8). - Locked and sealed by shipper (See Notes 4 and 9). - Immediate notification of consignee of delivery. - Use appropriate Category III or IV motor security for any associated motor movement. - Use load divider doors when available.
COFC		
- In rail phase, same as category I rail; in motor phase, same as Category motor. - Use only approved shipping containers and place on railcar door-to-door to prevent unauthorized access; e.g., MILVAN, SEAVAN.	- In rail phase, same as category II rail; in motor phase, same as Category II motor. - Use only approved shipping containers and place on railcar door-to-door to prevent unauthorized access; e.g., MILVAN, SEAVAN.	- In rail phase, same as category III and IV; in motor, phase same as motor Category III and IV. - Use only approved shipping containers and place on railcar door-to-door to prevent unauthorized access; e.g., MILVAN, SEAVAN.
AIR		
- SM and DOPS (WINAC) during ground transport. - Shipments by Air Freight, Air Taxi, LOGAIR, QUICKTRANS, or MAC. - DoD CSS while aircraft on ground at commercial airports. - For air freight, banded or locked and sealed and required. For all other methods, banded or locked and sealed required. - Seals applied by shipper (See Note 2).	- DoD CSS - Shipments by Air Freight, Air Taxi, LOGAIR, QUICKTRANS, or MAC. - Shipper escort to carrier and immediate pickup destination. - For air freight, banded or locked and sealed and required. For all other methods, banded or locked and sealed required. - Seals applied by shipper (See Note 2).	- DoD CSS - Shipments by Air Freight, Air Taxi, LOGAIR, QUICKTRANS, or MAC. - Shipper escort to carrier and immediate pickup destination. - For air freight, banded or locked and sealed and required. For all other methods, banded or locked and sealed required. - Seals applied by shipper (See Note 2).
WATER		
- SM and DOPS to POE and from POE. - Pier service only. - Written receipt from ship's officer at POE and written release to carrier at POE.	- Pier service only. - Written receipt from ship's officer at POE and written release to carrier at POE.	- Pier service only. - Written receipt from ship's officer at POE and written release to carrier at POE.

NOTES

- Refer to Section 1 for additional transportation requirements.
- For all motor shipping, vehicles and containers must comply with all applicable motor security requirements for the motor phase. These protective measures must be specified in appropriate Uniform Tariffers Service.
- For all rail shipping, containers must comply with all applicable rail motor security requirements for the rail phase. These protective measures must be specified in appropriate Uniform Tariffers Service.
- Shipper will not be released until container is sealed and signed (See Chapter 24, 25, 26).
- See Note 1 for details.
- When production containers are used, the weight of the container must be indicated on the container label (See Chapter 24, 25, 26).
- When production containers are used, the weight of the container must be indicated on the container label (See Chapter 24, 25, 26).
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CHAPTER 8REPORTS, INVESTIGATIVE AIDS, AND
DISPOSITION OF RECORDSA. GENERAL

This Chapter does not prevent the submission of other reports, such as the requirements in AR 55-38/NAVSUPINST 4610.33B./AFR 75-18/MCOP 4610.19C/DLAR 4500.15 (reference (v)), DLAR 4155.55 et al (reference (w)), DLAR 4140.60 et al (reference (x)). This Chapter does not apply to privately owned weapons.

B. INCIDENT REPORTS TO COMPONENTS

1. Each DoD Component shall establish procedures to ensure receipt of a report of sensitive arms, ammunition, and explosives stolen, lost, unaccounted for, or recovered, including gains or losses due to inventory adjustments in accordance with DoD 4000.25-2-M (reference (j)), DoD 7220.9-M (reference (r)). Notification shall be furnished in a manner commensurate with the seriousness or nature of the incident. The confirmed loss, theft, recovery, or inventory adjustment of the following shall be reported:

a. Missiles, rockets, and arms as set forth in Appendix A.

b. Five-thousand rounds (or 20,000 rounds of .38 caliber) or more of ammunition smaller than 40mm; five rounds or more of 40mm ammunition and larger.

c. Individual mortar, grenade, and missile rounds.

d. Individual land mines, demolition charges, and blocks of bulk explosives.

e. Other items with 10 or more pounds of net explosive weight.

f. Any Category I or Category II item not otherwise included above.

2. The Director, Defense Security Programs, ODASD(CI&SCM), ODASD(C3I), shall be provided information by telephone, facsimile, or electronic message from the DoD Components concerned of all significant incidents of confirmed theft, loss, or unaccounted for, AA&E as soon as possible, but not later than 72 hours after occurrence or discovery. Generally, theft of the following AA&E shall be considered significant:

a. One or more missile or rocket rounds.

b. One or more machine guns.

c. One or more automatic fire weapons.

d. Twenty-five or more manually operated or semi-automatic weapons (includes revolvers and semi-automatic pistols).

e. Ammunition.

(1) Over 5,000 rounds (or 20,000 rounds of .38 caliber) or more of ammunition smaller than 40mm; five rounds or more of 40mm and larger.

(2) Any fragmentation, concussion, or high explosive grenade including artillery or ground burst simulators, or other type of simulator or device containing explosive materials.

f. One or more mines (antipersonnel and antitank).

g. Demolition explosives including detonation cord, blocks of

explosives (C-4), and other explosives.

h. Also reportable are:

(1) Armed robberies and attempted armed robberies.

(2) Forced entries or attempted forced entries in which there is physical evidence of the attempt.

(3) Any evidence of terrorist involvement.

(4) Incidents that cause significant news coverage, or appear to have the potential to cause such coverage.

(5) Any evidence of trafficking, such as bartering for narcotics or any other thing of value, to include taking AA&E across international borders, regardless of the quantity of AA&E involved.

3. Each DoD Component shall maintain records including all instances of thefts, losses, and recoveries of AA&E, including any reported under subsection B.2., above. These records shall include:

a. A summary of the circumstances in each instance.

b. Dates, locations, and units such as Regular, Reserve, National Guard, or Director of Civilian Marksmanship.

c. A statement on the loss or recovery based on the investigation, such as inventory, theft, in-transit, training, operational, or other.

4. The DoD Components shall provide the Director, Defense Security Programs, ODASD(CI&SCM), OASD(C3I), trend analysis and threat assessment studies to identify

necessary remedial actions to reduce theft. The Military Departments shall present their findings annually at the DoD Physical Security Review Board (PSRB).

C. OTHER REQUIRED REPORTING

1. The DoD Components shall establish procedures to ensure that the appropriate information is submitted to the National Crime Information Center (NCIC) promptly upon discovery of a confirmed loss, recovery, or theft of DoD arms. A Small arms confirmed loss, recovery, or theft shall be reported to the DoD registry in accordance with DoD 4000.25-2-M (reference (j)) and DoD 4140.52 (reference (q)).

2. A report shall be submitted by the DoD criminal investigative organization responsible, to the Bureau of Alcohol, Tobacco and Fire Arms (BATF) Intelligence Division BATF Headquarters, Department of the Treasury, Washington, D.C. 20226 within 72 hours of the confirmed theft or loss of AA&E as described in paragraph B.2 above. Liaison should also be maintained with the ATF office in that area.

a. The information requested by ATF is outlined in BATF Form 3270.19, which is provided as Appendix F of this Manual.

b. Occurrences outside the United States also shall be reported to the BATF, Intelligence Division.

3. Appropriate information on the theft of AA&E shall also be provided to local Federal Bureau of Investigation (FBI) offices and local police, as appropriate.

4. Information relative to the actual or suspected compromise of classified AA&E shipments shall be transmitted by the DoD Component concerned to their intelligence

support channels in accordance with DoD 5200.1-R (reference (o)).

D. DISPOSITION OF RECORDS

1. The DoD Components shall establish procedures to ensure that records reflect the final disposition of investigative action, including recoveries and disciplinary action, as appropriate.

2. Information on the final disposition of investigative action shall be made to the Director, Defense Security Programs, ODASD(CI&SCM), OASD(C3I), in accordance with subsections B.2. and 3., above.

APPENDIX ASENSITIVE ARMS, AMMUNITION, AND
EXPLOSIVES
SECURITY RISK CATEGORIESA. GENERAL

The broad scope and applicability of the requirements of this Manual are stated in section B., Chapter 1, above. This Appendix lists specific arms, ammunition, and explosives determined to be sensitive in security risk categories I through IV for this Manual and provides a Decision Logic Table for uniform identification and codification of ammunition and explosive items. As provided in subsection B.4., Chapter 1, DoD Components are responsible for prescribing security requirements for AA&E items outside the scope of this Manual.

1. On the basis of their relative utility, attractiveness, and availability to criminal elements, AA&E shall be categorized according to the risks involved. As a general rule, only arms, missiles, rockets, explosive rounds, mines, and projectiles that have a unpacked unit weight of 100 pounds or less shall be categorized as sensitive for purposes of this Manual. Any single container that contains a sufficient amount of spare parts that, when assembled, will perform the basic function of the end item shall be categorized the same as the end item.

2. The categories of missiles and rockets shall be as stated in section B., below. Conventional missiles and rockets which meet the definition of category I shall be included automatically in that category as they come into the inventory.

3. Sensitive conventional arms, ammunition, explosives, rocket and missile identifications, codings, corollary plans, and actions for physical security accountability and transportation shall be uniform throughout the Department of Defense. These items shall be integrated into standard catalog data by all services 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 Decision Logic Table (section E., below) for uniform identification and codification of ammunition and explosive items. Examples are in section D., below.

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

5. The DoD Components shall review periodically ammunition and explosives coding by means of routine catalog data changes. The exception to applying the methodology in subsection A.3., above, shall be when joint-Service agreement is reached on a case-by-case basis to place an item in a higher or lower security risk category than that indicated by the total numerical value, or when evidence of theft, diversion, or misuse requires higher coding.

B. MISSILES AND ROCKETS

1. Category I. Manportable missiles and rockets when in a ready to fire configuration. Included in this group are the Redeye, Stinger, Dragon, Javelin, light antitank weapon (LAW)(66mm), shoulder-launched multi-purpose assault weapon (SMAW)

rocket (83mm), M136 (AT4) antiarmor launcher and cartridge (84mm), and tube launch optically guided weapon (TOW). These same weapons when jointly stored or transported with the launcher tube and/or gripstock and the explosive round, though not in ready to fire configuration, shall be considered a Category I item.

2. Category II. Missiles and rockets that are crew-served or require platform-mounted launchers and other equipment to function. Included in this group are the tube-launched optically guided weapon (TOW) and Hydra-70.

3. Category III. Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function. Included in this group is the Hellfire missile.

C. ARMS

1. Category II. Light automatic weapons up to and including .50 caliber and 40mm MK 19 machine guns. (1)

2. Category III

a. Launch tube and gripstock for the Stinger missile.

b. Launch tube, sight assembly, and gripstock for Redeye missiles.

c. Tracker for the Dragon missile

d. Mortar tubes up to and including 81mm.

e. Grenade launchers.

f. Rocket and missile launchers, unpacked weight of 100 pounds or less.

g. Flame throwers.

h. The launcher or missile guidance set, or the optical sight for the TOW.

3. Category IV

a. Shoulder-fired weapons, other than grenade launchers, not fully automatic.

b. Handguns.

c. Recoilless rifles up to and including 106mm.

D. AMMUNITION AND EXPLOSIVES

1. CATEGORY I. Complete explosive rounds for Category I missiles and rockets (section B., above).

2. CATEGORY II

a. Hand or rifle grenades, high explosive, and white phosphorous.

b. Mines, antitank, or antipersonnel (unpacked weight of 50 pounds or less each).

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

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

e. The binary intermediates "DF" and "QL" when stored separately from each other and from the binary chemical munition bodies in which they are intended to be employed (see DoD Directive

(1) Weapon components such as silencers, mufflers, and noise suppression devices will be treated as Category II items.

5210.65 (reference (y)), for security requirements for other chemical agents).

3. Category III

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

b. Grenades (incendiary) and fuses for high explosive grenades.

c. Blasting caps.

d. Supplementary charges

e. Bulk explosives

d. Detonating cord.

f. Warheads for sensitive missiles and rockets weighing more than 50 pounds but less than 100 pounds each.

4. Category IV

a. Ammunition with nonexplosive projectile (unpacked weight of 100 pounds or less each)

b. Fuses, except for paragraph D.3.b., above.

c. Grenades (illumination, smoke, and CS).

d. Incendiary destroyers.

e. Riot control agents, 100 pound package or less.

f. Ammunition for weapons in section C., above, not otherwise categorized.

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

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

5. Computation of Risk Factor Numerical Values. The DoD Components shall use the logic table, beginning on page A-6, to determine the numerical values and the physical security risk category codes as listed in that order below. (Use only one factor value for each column and total the numbers for each column to obtain the security risk category.)

Evaluation

High Sensitivity	(4-5)	II
Moderate Sensitivity	(6-8)	III
Low Sensitivity	(9-12)	IV
Nonsensitive	(13-16)	--

DECISION LOGIC TABLE

The Decision Logic Table uses four risk factors: utility, casualty and or damage effect, adaptability, and portability as described below to evaluate the sensitivity of the AA&E item.

1. Risk Factorsa. Utility

<u>Risk Factor</u>	<u>Utility</u>	<u>Description</u>
1	High	High explosive, concussion, and fragmentation devices.
2	Moderate	Small arms ammunition.
3	Low	Ammunition items not described above--NONLETHAL, civil disturbance chemicals, incendiary devices.
4	Impractical	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.

b. Casualty and or Damage Effect

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

c. Adaptability

<u>Risk Factor</u>	<u>Adaptability</u>	<u>Description</u>
1	High	Without Modification: Usable as is, simple to function without use of other system components.
2	Moderate	Slight Modification: Other system components required; or can be used with slight modification.
3	Low	Major Modification: Other Components that are not available on the commercial market are required; or can be used with modification that changes that configuration.
4	Impracticable	Requires specified functions or environmental sequences that are not readily reproducible, or construction makes it incapable of producing high order detonation; for example, gas generator grains and impulse cartridges.

d. Portability

<u>Risk Factor</u>	<u>Portability</u>	<u>Description</u>
1	High	Items that easily can be carried by one person and easily concealed.
2	Moderate	Items whose shape, size, and weight allows them to be carried by one person for short distance.
3	Low	An item whose shape, size, and weight requires at least two persons to carry.
4	Materials Handling Equipment (MHE) Required	The weight, size, and shape of these items preclude the movement without MHE.

APPENDIX BPHYSICAL SECURITY STANDARDS FOR COMMERCIAL TERMINALS

If the carrier service
requested on the GBL is:

Equivalent Terminal Standards Are:

Satellite Motor
Surveillance (SM)

Stop must be at a carrier terminal, a State or local safe haven under 49 CFR or, during emergencies, at a DoD safe haven or refuge. The vehicle or shipment must be under constant surveillance by qualified carrier employees using SM technology or lighted area that is surrounded by a chain link fence, minimum height 6-feet. Category I and II will be protected by a qualified carrier or terminal representative who checks the shipment at least once every 30 minutes. Other categories will be protected under the standard for Dual Driver Protective Service.

Protective Security
Service (PSS)

If shipment is unloaded from a conveyance, it must be at a facility cleared under the Defense Industrial Security Program or at DoD safe haven and be placed under constant surveillance by qualified carrier representative. As an alternative, the shipment may be placed in a closed area, vault, or secure area approved by the Defense Investigative Service. Construction standards for closed areas, vaults, and secure areas are contained in Chapter 5, Section 8, of DoD 5220.22-M (reference (z)).

Dual Driver Protective
Service (DDPS)

Stop must be at a carrier terminal, a state or local safe haven under 49 CFR, or during emergencies, at a DoD safe haven or refuge location. The vehicle or shipment must be under constant

surveillance by a qualified carrier or terminal representative who must keep the shipment in unobstructed view at all times and stay within 10 feet of the vehicle or the shipment must be secured in a fenced and lighted area under the general observation of a qualified carrier or terminal representative at all times. As an alternative, the shipment may be placed in a security cage.

DoD Constant Surveillance Service (CSS)

Stop must be at a carrier terminal, a State or local safe haven under 49 CFR, or during emergencies, at a DoD safe haven or refuge. The vehicle or shipment must be under constant surveillance by a carrier employee providing DDPS or secured in a fenced, lighted area under the general observation of a carrier or terminal representative at all times. As an alternative, the shipment may be placed in a security cage.

Rail Surveillance Service (RSS)

Within rail yards, RSS applies. Within other terminals, shipment must be secured in a fenced and lighted area under the general observation of a qualified carrier or terminal representative at all times.

Signature and Tally Record (STR)

Each person accepting custody for shipment moving under STR, including personnel at terminal stops, must sign the signature and tally record or indicate custody by electronic scan. The shipment must be signed or scanned immediately upon entering and leaving the terminal.

Security Cage Requirements

Will be in accordance with the standards published in Chapter 5, Section 8, DoD 5220.22-M (reference (z)) for classified SECRET shipments and in Table 34-1, Defense Traffic Management Regulation (reference (d)) for other shipments of AA&E.

APPENDIX CPHYSICAL SECURITY STANDARDS FOR
MILITARY TERMINALSA. GENERAL

This Appendix prescribes standards for the protection of sensitive conventional AA&E military transportation terminals. It also applies to sensitive classified AA&E. When a terminal has a separate, long term storage mission, storage criteria or chapters 4 and 5 of this Manual apply to the long-term storage areas of the terminal. Criteria for commercially operated, in-transit transportation terminals are at Appendix B.

B. SECURITY PRIORITIES

This Appendix are based on the following priorities for cargo and area security protection. Responsible DoD Components shall ensure that the security resources are allocated to meet the highest priority requirements first. The priorities, in descending order, are:

1. Category I cargo protection.
2. Pier and waterfront security.
3. Category II cargo protection.
4. Gates and perimeter security.
5. Category III and IV cargo protection.
6. Support activity security.

C. RISK CATEGORY IDENTIFICATION

Terminals shall establish procedures to ensure prompt

identification of risk categories of arriving cargo to provide security protection required by this Manual. When cargo cannot be immediately identified upon arrival, it shall be secured as Category I pending identification.

D. TEMPORARY STORAGE1. Category I Through IV Cargo

a. Category I through II cargo shall be stored only in fenced and lighted areas dedicated to cargo storage. Fencing and lighting may be used for Category III and IV cargo storage areas if determined necessary based on an assessment of local threats, vulnerabilities, and cost effectiveness. Standards for lighting and fencing shall be in accordance with Chapter 5, section C, of this Manual.

b. Supplemental Controls.

Category I through IV temporary storage areas or individual conveyances shall be equipped with IDS, CCTV, or provided constant surveillance. When IDS or CCTV is used at least one supervised guard patrol shall be made during each 24 hour period.

E. CARGO MOVEMENT1. Category I and II

a. Each Category I conveyance or integrated grouping of five or fewer conveyances moved within the terminal shall be under continuous surveillance of at least one terminal employee or selected 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 constant armed guard surveillance, with two drivers for each conveyance.

b. Each Category II conveyance or integrated grouping of five or fewer conveyances moved within the terminal shall be under constant surveillance of at least one terminal employee or selected 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 constant employee surveillance, with two drivers for each conveyance.

2. Category III and IV Cargo

a. Procedures for the movement of Category III and IV cargo within the terminal shall ensure that constant surveillance of the cargo is maintained by either terminal or contractor employees.

b. Where the terminal area is physically separated from a long-term storage area, movement between these areas shall be under constant surveillance of at least one terminal employee or selected contractor employee for each conveyance.

F. TERMINAL AREA SECURITY

1. Waterfront and Ships at Berth. When ships are at berth, piers shall be patrolled by an security patrol at irregular intervals not to exceed 30 minutes. However, IDS or CCTV may be used at the terminal commander's discretion for waterfront surveillance. When AA&E is present at the pier or on board, the armed guard patrols shall be made at irregular intervals not to exceed 30 minutes. If IDS or CCTV is present, security patrols may be extended to one per 8-hour shift based upon local threat and vulnerability assessments.

2. Terminal Gates and Perimeter Areas. Shall be protected in

accordance with Chapter 5, section E., of this Manual.

G. SEALS AND TWISTS. An approved seal shall be installed on all AA&E conveyances on which the original shipping seal is removed. Additionally, all conveyances shall have a No. 5 steel wire twist installed on door openings if the seal does not provide equivalent protection. Seal and twist checks for evidence of breakage or tampering shall be made a part of regular patrol or surveillance procedures and of pier loading procedures. Category I and II seals shall be verified by number once each shift.

H. GUARD COMMUNICATIONS. The requirements in Chapter 5, section D., of this Manual apply.

I. TERMINAL ENTRY CONTROLS. Piers, waterfront, and AA&E storage and processing areas shall be posted restricted areas with strict vehicle and pedestrian entry controls in accordance with the requirements of Chapter 5, section I., of this Manual. All pedestrians or vehicles shall be subject to inspection, and a visitor control system shall be established. When feasible, entry to the AA&E storage and processing areas will be separately controlled from the terminal administrative areas. Privately owned vehicles may not be allowed into AA&E storage and processing areas of the terminal without the terminal commander's permission.

APPENDIX DPHYSICAL SECURITY STANDARDS FOR DoD
AA&E AT CONTRACTOR-OWNED FACILITIES

A. The following security criteria apply to AA&E in Appendix A:

1. Facility Construction. All new or existing storage and production facilities of AA&E shall be built in accordance with Chapters 4 & 5 of this Manual and DoD 4145.26-M (reference (aa)). Determination of the suitability of all structures will be provided to the DIS Cognizant Security Office by the DoD Component Major Command.

2. Security Procedures. The contractor shall be required to develop written procedures designed to ensure compliance with the physical security standards of this Manual. The procedures shall be available at the contractor's facility for review by government representatives.

3. Security. The contractor shall provide a security system that includes the following: lock and key control, fencing, lighting, perimeter access controls, IDS, security force, and response force all in accordance with this Manual. Response forces may be provided by local law enforcement agencies, so long as the requirements of this Manual are met.

a. Investigative Response. Any one of the following investigative responses may be utilized: (1) Central station security force, (2) Proprietary security force, (3) Subcontract security force, (4) Law enforcement officials, and (5) Properly trained, designated employees. The use of employees will only be permitted when no other manner of investigative response is available and is subject

to DIS approval. In all cases, a response by a guard or employee to an alarm shall be made.

(1) Response to an activated alarm signal shall be made within 15 minutes from the time of the alarm was first registered.

(2) Security forces dispatched by an alarm monitoring station to an alarm shall remain on the premises until a designated representative of the contractor arrives, or for a period of not less than 1 hour, whichever comes first. If a contractor representative fails to arrive within 1 hour, the alarm monitoring station shall submit a report of the incident that includes the name of the subscriber facility, the date and time of the alarm, and the name of the contractors representative who was contacted to respond. The report shall be submitted within 24 hours of the incident.

(3) Response time by a law enforcement agency should not exceed 15 minutes from the time the alarm was first registered. Arrangements must be made with the responding law enforcement agency to contact the contractor's representative within 10 minutes of alarm notification. The contractor's representative must immediately report to the facility to ascertain the nature of the alarm and take appropriate measures to ensure the security of AA&E items.

4. Additional Security Measures. Review weapon system production lines before operations to identify potential diversion risks or pilferable items that may require adjunctive physical security measures to prevent theft. The identified vulnerabilities and implemented physical security measures shall be incorporated into the contractor's security procedures and be available

for government review. Measures may include:

- a. Intensified entrance and exit inspection program.
- b. Additional barriers.
- c. Use of metal detectors at exit control points.
- d. Separation of privately owned vehicle parking from production areas, shipping, and receiving areas, and refuse containers.
- e. Internal surveillance using closed circuit television.
- f. During periods when the production line is unattended, weapons must be removed to storage areas or the production line must be protected.

4. Classified AA&E. Contractors manufacturing, storing, transporting, or otherwise holding classified AA&E will be cleared in accordance with DoD 5220.22-M (reference (z)).

5. Storage Areas. The contractor shall be required to ensure that facilities in which AA&E are located during nonworking hours or while unattended for extended periods of time are constructed to meet the requirements of this Manual. In contractor facilities where 30 or fewer arms are located, a GSA approved Class V safe with a built-in Group 1R changeable combination lock may be used for storage.

6. Intrusion Detection Systems.

a. General. All materials and equipment used in the IDS must meet the criteria prescribed in UL standards for Intrusion Detection Units, UL-639, and be

listed with the UL. A list of manufacturers of UL Listed IDS equipment can be found in the Automobile, Burglary Protection, and Mechanical Equipment Directory under Intrusion Detection Units (ANSR). Copies of the Directory may be obtained from:

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

b. All material and equipment used for the IDS shall be installed in accordance with the criteria established for Extent No.3 in the UL Standards for Installation and Classification of Mercantile Bank Burglar Alarm Systems, UL-681.

c. Construction, performance and operation of equipment intended for the use in proprietary systems must be in accordance with the criteria established for Grade AA and Installation No. 3 in the UL Standards for Proprietary Burglar Alarm Units and Systems, UL-1076. A list of UL Automotive, Burglary Protection, and Mechanical Equipment Directory under Proprietary Alarm Systems (CVWX).

d. The operation of electrical protection circuits and devices that are signaled automatically, recorded in, maintained in, and supervised from a central station having trained operators and alarm investigators in attendance at all times must be in accordance with the criteria established for Grade AA and Installation No. 3 systems in UL Standards for control-Station, Burglar Alarm Systems, UL-611. Available UL certified central control stations can be located in the UL Automotive, Burglary Protection, and Mechanical Equipment

Directory under Central Station (CPVX).

e. IDS must be tested monthly and records maintained of these tests.

B. Incident Reports. Contractors are required to report all losses and thefts of Risk Category AA&E to the DIS cognizant industrial security office no later than 72 hours after initial discovery. Similar information should also be given to the FBI and DoD Component Major Command. Local law enforcement agencies shall be notified.

C. Security Procedures. The contractor shall be required to develop written procedures designed to ensure compliance with the physical security standards of this Appendix. The procedures shall be available at the contractor's facility for review by government representatives.

D. Security Surveys and Inspections. To ensure that a prospective contractor will satisfy physical security requirements of this Manual, a preaward security survey should be performed by government security personnel. DIS may participate in this preaward survey. Security inspections will be performed by the DIS cognizant security office at recurring 18-month intervals during the period of the contract to ensure compliance with this Manual.

E. Waivers. Requests for waivers to the DoD security requirements of this Manual shall be submitted, in writing, by the contractor to the Government procurement contracting officer who shall coordinate such requests with the DIS Cognizant Security Office. Requests for waivers, with recommendations, shall be forwarded to the DoD Component major command for decision. Waivers normally may be granted for a period

of 1 year and may be extended only after review of circumstances necessitating an extension. Each extension shall state first extension, second extension, etc. Requests for waivers shall include a statement as to why the contractor is unable to meet requirements and outline compensatory measures proposed by the contractor to provide equivalent or better protection than the original standard. The request must also provide details of the upgrade project design to correct waived deficiencies, as well as the expected date of project completion. Copies of approved waivers shall be furnished to the applicable DIS cognizant security office. Copies of approved waivers applying to commercial carrier's transportation minimum security standards with compensatory measures taken shall be forwarded to the Commander, Military Traffic Management Command, ATTN: MT-IN, 5611 Columbia Pike, Falls Church, Va. 22041-5050

F. Exceptions. Requests for exceptions to the DoD security requirements of this Manual shall be submitted, in writing, by the contractor to the government procurement contracting officer who shall coordinate such requests with the DIS Cognizant Security Office. Requests for exceptions with recommendations shall be forwarded to the DoD Component major command for decision. Requests for exceptions shall include a statement as to why the contractor is unable to meet the requirements and compensatory or equivalent protection measures proposed by the contractor to provide comparable security. Copies of approved exceptions shall be furnished to the applicable DIS cognizant security office.

G. Accountability. The contractor shall be required to:

a. Have an accountability system for both explosive components and end items produced under a DoD contract, or furnished or released to a contractor by the Department of Defense. The records kept under the system shall reflect nomenclature and serial number; amounts produced, shipped, and on hand; and the location of explosive components and end items. Accountability records shall be maintained for a period of 2 years and reflect the disposition of the item.

b. Review accountability records and conduct quarterly inventories where bulk storage is involved. The contractor shall inventory uncrated items and items in unsealed crates by serial number, and sealed, crated arms by counting of sealed crates and containers. At facilities where weapons are tested, there shall be daily inventories of weapons drawn from storage for testing purposes.

c. Dispose of residual material in accordance with instructions of the government contracting officer and DoD 4160.21-M-1 (reference (t)).

H. Significant Incidents Pertaining To Arms, Ammunition and Explosives.

Any armed robbery or attempted armed robbery; forced entry or attempted forced entry with physical evidence of the attempt; evidence of terrorist involvement; or illegal trafficking in sensitive AA&E shall be reported to DIS and DoD Major Component Command within 72 hours in accordance with Chapter 8 of this Manual.

I. ARMS PARTS - STORAGE

Shall be stored in accordance with Chapter 4, section E. of this Manual.

Cognizant DIS INDUSTRIAL SECURITY OFFICES

Director of Industrial Security
Capital Region
2461 Eisenhower Avenue
Alexandria, Va. 22331-1000
(703) 325-9634/5 or DSN 221-9634/5

Director of Industrial Security
Mid-Atlantic Region
1040 Kings Highway North
Cherry Hill, NJ. 08034-1908
(609) 482-6505 or DSN 444-4030/1

Director of Industrial Security
Mid-Western Region
610 South Canal Street, Rm. 908
Chicago, Il. 60607-4577
(312) 886-2436

Director of Industrial Security
New England Region
Barnes Building
495 Summer Street
Boston, Ma. 02210-2192
(619) 451-4914/6 or DSN 955-4914/6

Director of Industrial Security
Northwestern Region
Presidio of San Francisco
San Francisco, Ca. 94129-7700
(415) 561-3235/6 or DSN 586-3235/6

Director of Industrial Security
Pacific Region
3605 Long Beach Boulevard, Suite 405
Long Beach, Ca. 90807-4013
(213) 595-7251

Director of Industrial Security
Southeastern Region
2300 Lake Park Drive, Suite 250
Smyrna, Ga. 30080-7606
(404) 432-0826 or DSN 697-6785

Director of Industrial Security
Southwestern Region
106 Dacker Court
Irving, TX 75062-2795
(310) 717-5357

APPENDIX EPHYSICAL SECURITY STANDARDS FOR
SENSITIVE CONVENTIONAL AMMUNITION AND
EXPLOSIVES DURING PRODUCTION AND
MANUFACTURING OPERATIONS AT
GOVERNMENT FACILITIESA. GENERAL INFORMATION

This Appendix presents the minimum physical security policies, procedures, and considerations for the Single Manager for Conventional Ammunition (SMCA) and the Military Services in accordance with DoD Directive 5160.65-M (reference (a)). Binary chemical ammunition items are included; unitary toxic chemical ammunition items are excluded from these requirements.

1. The general requirements, standards, and criteria for the physical security of single-managed conventional ammunition and explosives (A&E), as presented in this Manual, apply.

2. Physical security requirements that may vary because of safety and operational necessities peculiar to A&E production and manufacturing operations are presented in this Appendix.

B. PHYSICAL SECURITY

Physical security policies and procedures are designed for maximum uniformity and standardization. They are adaptable to the special needs of the individual Military Services.

1. Physical security Policy. Sensitive ammunition and explosives shall be identified in progressive categories of sensitivity. Each category shall be associated with a corresponding progression of minimum standards for physical security.

a. In-depth security shall be attained by applying the physical security standards in this Manual, and as modified by this Appendix for production and manufacturing operations. Security will be further enhanced by local programs for education, enforcement, and efficient use of resources.

b. Physical security measures shall complement both production and safety concerns.

2. Responsibilities for Physical Security. Production and manufacturing facilities under the management and control of the SMCA shall carry out the policies and procedures in this Appendix. Deviations from these instructions must be approved by commanders of major commands or their equivalents with command jurisdiction over production facilities in accordance with procedures established in this Manual.

3. Physical Security Procedures.

a. Sensitive ammunition, explosives, and metal parts shall be identified and protected according to their sensitivity categories as described in Appendix A.

(1) Ammunition items are rated by sensitivity category based on relative degrees of utility, casualty and or damage effect, adaptability, and portability. This process is discussed in detail in Appendix A of this Manual.

(2) Explosives are rated by sensitivity category based on the same considerations as for ammunition items.

(3) Metal parts are rated by sensitivity category based on their critical relationship to end item production needs. Security

requirements for metal parts are discussed in DoD 5160.65-M, Chapter 12 (reference (ab)).

(4) Different degrees of sensitivity may apply to ammunition and explosives during various stages of manufacture. Commanders shall pay special attention to the safeguarding of inventory items by judiciously implementing and monitoring physical security measures. This shall include analysis of loss rates through inventories, reports of surveys, and criminal incident reports, to establish whether repetitive losses indicate criminal or negligent activity.

b. When in an in-process environment, ammunition and explosives shall be safeguarded according to the standards outlined in Table E-1.

4. Equivalent Standards. If total compliance with the minimum physical security standards described in Table E-1 cannot be achieved, equivalent protection must be provided. Such instances of noncompliance will be documented by physical security waivers or exceptions issued in accordance with this Manual.

5. Accountability. Control of sensitive A&E shall conform to normally prescribed accountability procedures and inventory requirements. Installation commanders shall set up accountability policies based upon local conditions. These considerations include threat, vulnerability to sabotage, pilferage, and crime rates, structural features, perimeter barriers, item sensitivity, access controls, and other locally unique factors.

6. Key and Lock Control for Sensitive Items.

a. Written key and lock procedures must be published. The procedures in this Manual apply and shall provide for the following:

(1) Appointment of a key control officer.

(2) Issue Controls.

(3) An approved metal key container with a built-in three-way combination lock or equivalent locking device that provides resistance to forced entry similar to that required for the protected material.

(4) Limiting removal of the keys from the installation.

(5) Prohibition of master keying

b. Combination lock control procedures equivalent to those prescribed in DoD 5200.1-R.

7. Posting of Signs.

a. Along installation boundaries that are not restricted areas, GSA-approved "No Trespassing" signs shall be posted at intervals deemed appropriate to the commander, based upon local threat considerations. Restricted area perimeter boundaries shall be posted in conspicuous and appropriate places to clearly identify the restricted area. This includes signs posted at each entrance or logical approach to the area, and on perimeter fences or boundaries of the area that may reasonably be approached by foot or vehicular traffic.

b. Interior security areas, such as those bordering restricted areas, shall have the following (or similar) sign posted at

points of entry: WARNING - AUTHORIZED PERSONNEL ONLY.

8. IDS. The installation of IDS can be a valuable addition to the overall security system by providing continuous monitoring in areas with sensitive security interests. The use of IDS complements structure features and standards and reduces the cost incurred by having extra guards to conduct patrols. IDS shall be used for finished A&E located at production facilities when required by this Manual. When IDS is in use, the frequency of patrol coverage may be modified in keeping with the standards established in this Manual. However, an adequate force of security personnel must be available at all times to respond within 15 minutes to alarms.

9. Assistance Agreements. Management shall obtain assistance agreements with all local law enforcement agencies, if practicable.

10. Waivers and Exceptions. Installation commanders are allowed deviation from the physical security construction standards in this Manual for existing facilities only. Additionally, physical security waivers and exceptions may be granted by major commands or their equivalent in accordance with procedures established by the DoD Components under the following provisions:

a. Waivers and exceptions shall be considered on an individual basis; blanket waivers and exceptions are not authorized. Military Service approval authorities are:

- (1) Army - U.S. Army Materiel Command.
- (2) Navy - Naval Sea Systems Command.
- (3) Air Force - Ogden Air Logistics Center.

(4) Marine Corps - Headquarters Material Division.

b. Waivers are granted for a period of 1 year and may be extended only after a review of the circumstances necessitating the extension. Extensions shall be identified specifically as first extension, second extension, and so on. Waivers apply only to those items for which corrective action is planned by the Military Service within the normal (5-year) funding cycle from the time of the original waiver.

c. Exceptions shall be granted only when correction of a deficiency is not feasible and when the security afforded by alternative procedures is equivalent to or better than that afforded under the standard criteria.

d. Requests for waivers shall describe compensatory measures in effect or recommended. Approvals of waivers and exceptions shall specify required compensatory measures.

e. Deficiencies that will be corrected within 90 days do not require a waiver or exception; however, compensatory measures shall be taken during the interval, and installation commanders must approve the concepts or procedures in writing.

f. The content, at a minimum, for waiver and exception requests is as follows:

- (1) The requirement to be waived or excepted.
- (2) The reason the standard cannot be met.
- (3) The impact, should the request not be approved.

(4) Compensatory measures being taken (if applicable).

(5) Listing of current waivers and exceptions.

(6) Any additional information or justification deemed appropriate by the requesting commander. In the case of waivers, detailed information concerning the upgrade project designed to correct waived deficits will be provided.

C. CATEGORIZING SENSITIVE AMMUNITION AND EXPLOSIVES SECURITY RISKS

These instructions implement those provisions in this Manual (Appendix A) that relate to the Military Services' coordination and uniform application of sensitive ammunition and explosives coding.

1. Military Service-Designated Activities designated by the Military Services for sensitive ammunition and explosives risk categorization are:

a. Army.

(1) For all Army single-managed ammunition and explosives: AMCCOM, ATTN: AMSMC-TMP-P, Rock Island, IL. 61299-6000

(2) For guided missiles and large rockets: MCOM, ATTN: AMSMI-LC-MM-DT, Redstone Arsenal, AL. 35892-5385

b. Navy. Naval Sea Systems Command, SEA-653B, Washington, DC 20632-5101

c. Air Force. Ogden Air Logistics Center, MMWRE, Hill Air Force Base, UT. 84056

d. Marine Corps. Marine Corps System Command, Code AM, Washington, DC 20380-0001

2. Categorizing Sensitive A&E Security Risks.

a. General Information

(1) The security risk category code for A&E is assigned IAW procedures in this Manual (Appendix A). This is accomplished by using a decision logic table (DLT) that results in a given item amassing a numerical value. Based upon this evaluation, the physical security risk category code is determined.

(2) The assignment of a security risk category code to ammunition and explosives is specifically designed to afford the item(s) an identified level of protection for storage, transportation, and accountability purposes. This level of protection is the direct result of an evaluation of variables related to the items utility, casualty and or damage effect, adaptability, and portability. Potential use by criminal elements or terrorist organizations is of primary consideration when determining numerical values in the DLT presented in this Manual (Appendix A).

(3) The item manager is responsible for determining the sensitivity category of an item and properly coding automated files. Other agencies who do not concur in the sensitivity categories of an item should contact the managing agency for resolution.

(4) To ensure uniform sensitive item identification and codification, the DoD Components shall incorporate assigned security risk category codes into their respective cataloging policies and procedures. Additionally, the coding shall be a part of the Federal Cataloging System.

(5) The DoD Components shall review and update

A&E security risk codes periodically
and add new codifications through use
of routine catalog data changes

MINIMUM SECURITY STANDARDS FOR SENSITIVE AMMUNITION AND EXPLOSIVES DURING
PRODUCTION AND MANUFACTURING OPERATIONS

TABLE E-1

<u>SUBJECT</u>	<u>CATEGORY</u>	<u>REQUIREMENT</u>
Structure Security	All	All buildings used in the production process shall be within a designated and posted restricted area and, during nonoperational hours, all primary entrance and emergency doors shall be secured with Service-approved padlocks meeting Commercial Item Description (CID) A-A 1927, military specification MIL-P-13802, or locking hardware providing equivalent resistance to forced entry. All other doors may be secured from the inside with bars or dead bolt locking devices. Windows, glass door panels, and similar man passable openings less than 12 feet from the ground level shall be protected with security screening equivalent to 9-gauge chain link material when the production area is not separately fenced with FE-5 or equivalent chain link fencing. Service magazines must meet the construction requirements described in Chapter 5 of this Manual, secured with high security padlocks and hasps that meet the requirements of this Manual. Frequently used service magazines located inside separately fenced production areas shall be secured with approved padlocks during operating hours. Scrap cages shall also be secured with approved padlocks. (The above requirements are not mandatory when sensitive items are under constant surveillance during operating hours and are removed to proper storage during nonoperating hours.) Installation of IDS is optional on production buildings or service magazines unless used for unattended storage of Categories I and II items. Vans and rail cars containing sensitive items shall be secured with 5-gauge wire twists and controlled with serial numbered seals.

<u>SUBJECT</u>	<u>CATEGORY</u>	<u>REQUIREMENT</u>
Access Controls	All	Badges or pass systems shall be used and administered through security or operations personnel. Packages and vehicle control (to include inspections) shall be established.
Security Patrols (Operating Buildings)	I, II	Operating hours - none. Nonoperating hours - 24-hour intervals when protected by IDS. Category I and II items shall not be left unattended. When these items are not in proper storage and protected by IDS, they will remain under constant surveillance.
	III, IV	Operating hours - none. Nonoperating hours - none required when protected by IDS. At least one patrol every 24-hours if IDS is not present. Patrols shall be more frequent if local vulnerability and threats assessments warrant increased security.
Security Patrols		See Chapter 5 of this Manual. (Service Magazine)
Protective Lighting	I, II	Required for production building primary and emergency entrances; all service magazines.
	III, IV	Optional.

MUNITIONS LOSS WORKSHEET

SECTION A

1. DOD INVESTIGATIVE AGENCY SUBMITTING FORM (include specific office, case agent's name, & telephone number)

2. INVESTIGATION/CASE CONTROL #
(if applicable)

3. TYPE OF INCIDENT

☐	THEFT	☐	EXPLOSIVES
☐	LOSS	☐	FIREARMS
☐	OTHER	☐	AMMUNITION

4. DATE WHEN OCCURRED (if unknown,
provide date when discovered)5. MILITARY ORGANIZATION OR DOD ELEMENT WHICH IS VICTIM OF
THEFT/LOSS (name, address, city, county, state, country)6. LOCATION WHERE INCIDENT OCCURRED (base/street address,
building #, city, county, state, country)

7. DETAILS (check all that apply)

☐ CLASSIFIED (if checked, indicate classification level) _____☐ FORCED ENTRY☐ INVENTORY LOSS☐ ATTEMPTED FORCED ENTRY☐ TRAINING LOSS☐ NARCOTICS RELATED☐ OPERATIONAL LOSS☐ EVIDENCE OF TERRORIST INVOLVEMENT☐ LOSS DURING TRANSPORTATION☐ EVIDENCE OF FIREARMS/MUNITIONS TRAFFICKING☐ THEFT FROM MAGAZINE, IGLOO, BUNKER☐ EVIDENCE OF TAKING ITEMS ACROSS INTERNATIONAL BORDERS☐ THEFT FROM ARMORY, ARMS ROOM☐ OTHER☐ THEFT FROM PERSON☐ ARMED ROBBERY☐ ATTEMPTED ARMED ROBBERY

8. ADDITIONAL DETAILS (identification of suspects, unique aspects, etc.)

(OVER)

INVESTIGATION/CASE CONTROL #

SECTION B: EXPLOSIVE ORDNANCE- IN THIS SECTION ALSO INCLUDE AMMUNITION OVER .50 CALIBER, AND ALL DEMOLITION MATERIALS

1. NOMENCLATURE		2. NSN/FSN		3. DODIC	
4. QUANTITY	5. LOT NUMBER	6. SOURCE AND/OR MANUFACTURER			7. DATE LOADED
8. ADDITIONAL COMMENTS OR PART NUMBERS					

SECTION C: FIREARMS

1. NOMENCLATURE		2. NSN/FSN		3. TYPE	
4. CALIBER OR GAUGE		5. MODEL NUMBER		6. QUANTITY	
7. SERIAL NUMBER(S)			8. SOURCE AND/OR MANUFACTURER		
9. WAS AN NCIC ENTRY MADE (all firearms should be entered into NCIC as lost or stolen) ☐ YES ☐ NO			10. ORI CODE OF ENTERING AGENCY		
11. ADDITIONAL COMMENTS					

SECTION D: AMMUNITION- TO INCLUDE ALL AMMUNITION .50 CALIBER AND UNDER

1. NOMENCLATURE		2. CALIBER		3. TYPE (ex: ball, tracer, AP-T, etc)	
4. NSN/FSN		5. DODIC		6. LOT NUMBER	
7. QUANTITY			8. SOURCE AND/OR MANUFACTURER		
9. ADDITIONAL COMMENTS					

INSTRUCTIONS

The ATF Headquarters Intelligence Branch shall be provided information by telephone (followed up in writing) from the reporting DOD components of all significant/serious incidents of theft, loss, or unaccounted for Arms, Ammunition and Explosives Material (AA&EM) as soon as possible but no later than 72 hours after occurrence or discovery. Telephone the ATF Intelligence Branch at (202)927-8000. This number will be in operation 24 hours a day. The following information must be provided: Your name, agency, location, telephone number, case control number (if applicable), date and place incident occurred. Immediately subsequent to this telephone notification, please submit the completed Munitions Loss Worksheet by FAX to: (202)927-8001, or mail to: Bureau of Alcohol, Tobacco, and Firearms (ATF), Washington, D.C. 20226, ATTN: Intelligence Branch.

Generally, loss or theft of the following AA&EM shall be considered significant/serious and shall be reported to ATF on the Munitions Loss Worksheet, ATF Form 3270.19, (appropriate sections to list munitions losses are indicated below in parenthesis next to item):

1. One or more missile or rocket rounds (report in Section B - Explosives Ordnance).
2. One or more machine guns (report in Section C - Firearms).
3. One or more automatic fire weapons (report in Section C - Firearms).
4. Twenty-five or more manually operated weapons (report in Section C - Firearms).
5. Ammunition (reportable incidents do not include losses known to have been expended during training) - .50 caliber and smaller - 5,000 rounds or more, except in the case of .38 caliber ammunition, report losses of 20,000 rounds or more (report in Section D - Ammunition).
6. Ammunition which is larger than .50 caliber - five (5) rounds or more of nonautomatic weapon ammunition; 1,000 rounds or more of ammunition for automatic weapons (REPORT ALL OF THESE ITEMS IN SECTION B - EXPLOSIVES ORDNANCE).
7. Any fragmentation, concussion, or explosive grenade to include artillery or ground burst simulators, or any other type, or any other type of simulator or device containing explosive materials (report in Section B - Explosives Ordnance).
8. One or more mines - antipersonnel and antitank (report in Section B - Explosives Ordnance).
9. Demolition explosives including detonation cord, blocks of explosives (C-4) and other types of explosive materials (report in Section B - Explosives Ordnance).
10. Also reportable are: Armed robberies or attempted armed robberies of the above items; forced entries or attempted forced entries in which there is physical evidence of the attempt wherein the above items are stored; any evidence of trafficking in the above items or using same to barter for narcotics or any other thing of value to include the taking of AA&EM across international borders unlawfully, regardless of the quantity of AA&EM involved.

In order to report more than one incident, use separate worksheets. If one incident includes the loss of different types of munitions, or large quantities of the same munitions, please use additional sheets of Section B, C, and D, or list items on sheet of plain, white paper. It is not necessary to duplicate the front of the Munitions Loss Worksheet, if you are reporting on the same incident. However, please include the investigation/case control # on the continuation sheet.

Note:

Military explosives and ordnance identification: The Department of Defense identifies all explosives and ordnance by a lot number, DODIC number, and FSN/NSN. The lot number identifies the manufacturing plant, month/year of production (date loaded), and lot sequence. This code provides the military with a way to track explosives through the system from manufacture to use or destruction. The DODIC number (usually one letter followed by three numbers, i.e. G881), is a "shorthand" of identifying ordnance or explosives. It is used by the military to catalog ordnance and explosives for supply purposes. The FSN/NSN of an item is an eleven/thirteen digit number assigned to an individual item. It is the number used to order/reorder anything in the federal supply system. This number can help to identify ordnance or explosives.

Examples of Lot Numbers: LOP7/M007-003; ME183.J002-008;
IOP-5-25 loaded 6/69

These reporting instructions should not preclude any continuing liaison that your office may have with the local ATF Post of Duty in regard to joint investigations.

Any questions should be directed to the Special Agent in Charge, ATF Intelligence Branch, Telephone #: (202) 927-8000.

SUPPLEMENTARY

INFORMATION

DEPARTMENT OF DEFENSE
PUBLICATION SYSTEM
CHANGE TRANSMITTAL

OFFICE OF THE SECRETARY OF DEFENSE
Assistant Secretary of Defense for Command,
Control, Communications, and Intelligence

CHANGE NO. 1
DoD 5100.76-M
August 22, 1994

ERRATA

PHYSICAL SECURITY OF SENSITIVE CONVENTIONAL ARMS, AMMUNITION, AND
EXPLOSIVES

The following pen changes to DoD 5100.76-M, "Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives," September 1992, are authorized:

PEN CHANGES

Page 3-4, subsection F.6., line 13. Change "8" to "at least 4"

Page 3-5, paragraph H.1.b., line 14. After "container" insert "or equivalent"

Page 4-2, table 1, IDS block. After "REQUIRED" add "FOR CATEGORY III AND IV ITEMS IF THE STORAGE FACILITIES ARE NOT LOCATED ON MILITARY RESERVATIONS"

Page 4-4, subparagraph B.1.b.(4)(a), lines 5 through 7. Change "detect unauthorized activity or signs of forced entry from all sides of the building" to "see unauthorized activity, such as forced entry"

Page 5-3, subparagraph C.1.b.(5), line 2. Change "20" to "at least 12"

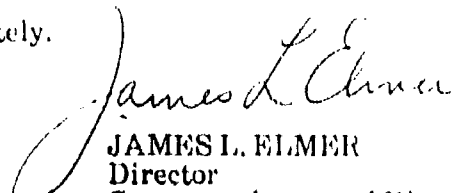
Page A-2

Subsection B.1., lines 9 through 11. Delete ", and tube launch optically guided weapon (TOW)." and place a period after (84mm)

Subsection B.1., lines 5 through 7. Change "tube-launched optically guided weapon (TOW)" to "tube launched, optically tracked weapon (TOW) missile"

EFFECTIVE DATE

The above changes are effective immediately.


JAMES L. ELMER
Director
Correspondence and Directives

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT

SD FORM 106-2, MAR 81

12-104

A268030