



**U.S. NAVY CONVENTIONAL ARMS,
AMMUNITION AND EXPLOSIVES
PHYSICAL SECURITY POLICY
MANUAL**



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON DC 20350-2000

OPNAVINST 5530.13D
N41
28 May 2021

OPNAV INSTRUCTION 5530.13D

From: Chief of Naval Operations

Subj: UNITED STATES NAVY CONVENTIONAL ARMS, AMMUNITION AND
EXPLOSIVES PHYSICAL SECURITY POLICY MANUAL

Ref: See Appendix A

1. Purpose. To issue Navy policy and guidance for the protection of conventional arms, ammunition and explosives (AA&E) against loss or theft. This document has been completely revised and should be reviewed in its entirety.
2. Cancellation. OPNAVINST 5530.13C.
3. Discussion. AA&E must be protected because of its potential for misuse, capability to cause injury and vital role in national defense. Emphasis is placed on the commanding officers responsibility to ensure that the command AA&E security posture is accurately assessed and resources are appropriate to execute security programs.
4. Definitions. See Appendix D.
5. Records Management.
 - a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Assistant for Administration, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.
 - b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).
6. Review and Effective Date. Per OPNAVINST 5215.17A, OPNAV N41 will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency and consistency with Federal, Department of Defense (DoD), Secretary of the Navy and Navy policy and statutory authority using OPNAV 5215/40 Review of Instructions. This instruction will be in effect for 10 years, unless revised or cancelled in the interim and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will

be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

7. Forms.

a. The forms listed in subparagraphs 7a(1) through 7a(6) are available from the DoD forms website at <https://www.esd.whs.mil/Directives/forms/>:

- (1) DD 1348-1A - Issue Release/Receipt Document
- (2) DD 1149 - Requisition and Invoice/Shipping Document
- (3) DD 1907 - Signature and Tally Record
- (4) DD 2760 - Qualification to Possess Firearms or Ammunition
- (5) DD 2890 - DoD Multimodal Dangerous Goods Declaration
- (6) DD 361 - Transportation Discrepancy Report

b. OPNAV 5530/1 Report of Screening for Personnel Assigned AA&E Related Duties is available on the Navy Forms Online Web site at <https://forms.documentservices.dla.mil/order/>. To view sample documents and forms, users can visit <https://nossa.dc3n.navy.mil/>. Users will need to have a registered account to view these forms.



R. L. WILLIAMSON
Deputy Chief of Naval Operations
(Fleet Readiness and Logistics)

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, <https://www.secnave.navy.mil/doni/>.

TABLE OF CONTENTS

Chapter 1 PROGRAM MANAGEMENT & ADMINISTRATION

1. Scope and Applicability	1-1
2. Policy	1-2
3. Role and Responsibilities	1-2
4. Planning	1-5
5. Waivers and Exceptions	1-6
Table 1-1 waiver and Exception Request Process	1-9
6. Inspections and Audits	1-10
7. Reserve Officer Training Corps, Gun Club and Reserve Unit Prohibitions	1-10
8. Disciplinary Action	1-11
9. Personnel Screening	1-11
10. Classified Arms, Ammunition and Explosives	1-13
11. Physical Security of Arms, Ammunition and Explosives at Contractor-Owned Facilities	1-13
12. Non-Government Arms, Ammunition and Explosives	1-13
13. Prohibition of Privately Owned Firearms Arms and Ammunition by International Military Students and their Accompanying Family Members	1-13
14. Accountability	1-14
15. Training in Accountability	1-14
16. Security Risk Category I Missiles, Rockets and Security Risk Category II-IV Arms	1-15
17. Security Risk Category II and III Missiles and Rockets	1-16
18. Security Risk Category I-IV Ammunition and Explosives	1-16
19. Arms, Ammunition and Explosives Accountability or Arms, Ammunition and Explosives Officer	1-17
20. Inventory Adjustments and Requisitions Verification	1-17
21. Issuance and Custody Receipt for Small Arms	1-18
22. Disposal and Demilitarization	1-18
23. Fleet Return Documentation	1-19
24. Physical Security Surveys	1-19
25. Physical Survey Templates	1-20
26. Training	1-20
27. Document Retention	1-20
Table 1-2 Record Retention Periods	1-20
Chapter 2 FACILITIES SECURITY REQUIREMENTS	
1. General	2-1
2. Intrusion Detection Systems	2-1
3. Storage Facilities Ashore	2-3

4. Construction Exemptions	2-5
5. Security Lighting	2-7
6. Fences	2-7
7. Communications	2-8
8. Storage in Navy Vehicles, Aircraft and Small Craft	2-8
9. Security Standards for Secure Holding Areas for Arms, Ammunition and Explosives on an Installation or Contractor Facility	2-8

Chapter 3 GENERAL SECURITY REQUIREMENTS

1. General	3-1
2. Security Forces	3-1
3. Locks	3-2
4. Key and Combination Control	3-3
5. Access Control	3-7
6. Arms Stowage	3-8
7. Clearing Barrels	3-9
8. Restricted Area Posting	3-10
9. Arms Parts	3-10
10. Resale Facilities and Exchanges	3-10
11. Navy Museums and Unit Displays	3-10
12. Low Risk Arms, Ammunition and Explosives	3-11
13. Minimum Security Measures for Low Risk Arms, Ammunition and Explosives	3-11

Chapter 4 ASHORE SECURITY REQUIREMENTS

1. Regionalization of Facilities	4-1
2. Host and Tenant Activity Relationships and Responsibilities	4-1
3. Personnel with Arms, Ammunition and Explosives Duties	4-1
4. Contractor Personnel	4-1

Chapter 5 AFLOAT SECURITY REQUIREMENTS

1. General	5-1
2. Protection Priorities	5-1
3. General Requirements for Armory, Magazine and Topside Locker Storage	5-2
4. Structural Requirements for Armories and Magazines	5-3
5. Requirements for Doors and Hatches of Armories and Magazines	5-3
6. Requirements for Small Arms Racks, Lockers and Containers	5-4
7. Requirements for Arms, Ammunition and Explosives Emergency Escape Scuttles and Hatches	5-5
8. Requirements for Arms, Ammunition and Explosives Elevators	5-5
9. Openings in Arms, Ammunition and Explosives Storage Spaces	5-6
10. Locking Systems and Key Control	5-6
11. Storage of Crew and Ship's Marine Detachment Arms, Ammunition and Explosives	5-7
12. Stowage of Embarked Troops' Arms, Ammunition and Explosives	5-8

13. Storage Aboard Submarines	5-8
14. Arms, Ammunition and Explosives Inventories	5-9
15. Access Control	5-9
16. Issuance and Custody Receipt for Small Arms	5-10
17. Response Force and Ready-For-Issue Arms, Ammunition and Explosives Storage	5-10
18. Quarterdeck Sentries	5-11
19. Physical Security Surveys of Arms, Ammunition and Explosives	5-12
20. Special Requirements for Military Sealift Command Ships	5-12

Chapter 6 TRANSPORTATION

1. General	6-1
2. Roles and Responsibilities	6-1
3. Standards	6-2
4. Special Considerations for Security Risk Category I Items	6-3
5. Special Considerations for Naval Special Warfare Command Commercial Shipments	6-4
6. Special Considerations for Water Shipments	6-4
7. Special Considerations for Air Movements	6-5
8. Special Considerations for Small Quantity Shipments of Arms, Ammunition and Explosives Classified Protected and Sensitive Cargo	6-5
9. Organic and Unit Movements and Training	6-6
10. Movements by Commercial Carrier	6-8
11. Reports	6-8
12. Overseas In-Theater Movements	6-8
13. Foreign Military Sales Shipments	6-8
14. Contract Movements	6-9
15. Security of Commercial Shipments at U.S. Navy Installations	6-10
16. Report of Shipment	6-12
17. Shipper Duties and Responsibilities	6-12
18. Transportation Discrepancy Reporting	6-13
19. On-Station Movements and Accountability	6-14
20. Movements within a Restricted Area	6-14
21. Temporary Storage in Vehicles, Vans and Railcars	6-14

Chapter 7 REPORTS AND INVESTIGATIONS

1. General	7-1
2. Reports	7-1
3. Command Investigation	7-2

Chapter 8 SECURITY RISK CATEGORIES

1. General	8-1
2. Missiles, Rockets and Electronic Countermeasures	8-1
3. Arms	8-1
4. Ammunitions and Explosives	8-2

5. Computation of Security Risk Category	8-4
Table 8-1 Utility Risk Factor Values	8-4
Table 8-2 Casualty or Damage Effect Risk Factor Values	8-4
Table 8-3 Adaptability Risk Factor Values	8-5
Table 8-4 Portability Risk Factor Values	8-5
Table 8-5 Risk Factor Numerical Values and SRC Conversion	8-5
Chapter 9 PHYSICAL SECURITY AT MILITARY TERMINALS	
1. General	9-1
2. Security Risk Category Identification	9-1
3. Temporary Storage	9-1
4. Cargo Movement	9-1
5. Terminal Area Security	9-1
6. Seals and Twists	9-2
7. Guard Communication	9-2
8. Terminal Entry Controls	9-2
APPENDICES	
A REFERENCES	A-1
B SURVEILLANCE REQUIREMENTS FOR ARMS, AMMUNITION AND EXPLOSIVES STORAGE	B-1
Table B-1 SRC I–IV AA&E Surveillance Requirements for Storage	B-1
Table B-2 SRC I–IV AA&E Surveillance Requirements for Temporary Storage in Barges at Anchorage or at Ammunition Piers	B-2
C APPROVED LOCKING DEVICES	C-1
Table C-1 High Security Locks	C-1
Table C-2 High Security Hasps	C-1
Table C-3 Secondary Locks	C-3
D DEFINITIONS	D-1

CHAPTER 1
PROGRAM MANAGEMENT AND ADMINISTRATION

1. Scope and Applicability.

a. This manual applies to:

(1) All ships and embarked units, shore stations, contractors and all other organized entities within the Navy that possess or manage Navy conventional AA&E utilizing references (a) through (x).

(2) Sensitive AA&E designated as security risk category (SRC) I-IV and uncategorized (CAT-U) AA&E as described and categorized in this manual, at Navy facilities, installations and ships. It also applies to the storage and transportation of classified SRC I-IV per references (a) through (e).

b. This manual covers:

(1) Arms. Generally, include portable, individually operated weapons that can be fired without special mounts or firing devices and are vulnerable to theft. Comparable foreign arms and U.S. prototyped arms.

(2) Ammunition. In addition to chapter 8, see NAVSUP P-803, Navy Stock List of Conventional Ammunition.

(3) Explosives. In addition to the categorized explosives in chapter 8, also CAT-U explosives in appendix A, also CAT-U hazard class/division (HC/D) 1.1 through 1.6 explosives being stored ashore (chapter 4), afloat (chapter 5) and when being transported (chapter 6).

c. This manual does not apply to:

(1) Nuclear weapons.

(2) Devices charged with chemical agents (unless specified in chapter 8).

(3) Blank, inert training ammunition or rim-fire ammunition.

(4) Nonlethal ammunition and other inert, non-explosive munitions not categorized as SRC III or IV.

(5) Liquid pepper spray used for law enforcement or security that is available as a commercial off-the-shelf product.

(6) Commercially procured SRC III and IV AA&E while at a commercial production facility, however, when such items are placed in transit to a DoD activity, all pertinent requirements of chapter 6, Transportation apply.

d. The criteria in this manual are intended for sites where AA&E is maintained on a permanent basis during daily peacetime conditions, not for operations such as wartime, force generations, forward based exercises, or operational readiness inspections. This paragraph does not alleviate accountable personnel from their responsibility to safeguard AA&E assets under their control. For sites not specifically covered in this instruction and expeditionary environments, commands will establish procedures to protect AA&E consistent with the intent of this manual.

e. This manual does not authorize actions inconsistent with explosives safety standards in references listed in appendix A.

f. The requirements in this manual that use the commands “must” or “will” are mandatory unless they are specifically waived or excepted by the Office of the Chief of Naval Operations (OPNAV) per the provisions provided in references (d) and (e). Advisory requirements that use the command “may” or “should” are strongly recommended.

2. Policy

a. Individuals issued or in possession of AA&E are responsible for its security.

b. Installation physical security plans must address the protection of AA&E. The host installation or activity must assume responsibility for coordinating AA&E protective measures for all tenants. The purpose of such coordination is to ensure effective planning for security requirements and minimize duplication of effort.

c. Consolidate AA&E in as compact an area possible to minimize the cost of physical security and inventory control and to reduce theft vulnerability. Remove AA&E from secure storage areas for as short a time as possible and in as small a quantity as practical. Segregate AA&E by SRC and provide the different levels of protection appropriate for each SRC. SRC I and II should be consolidated into as few storage facilities as is practical to minimize the need for additional fencing, lighting and intrusion detection systems (IDS). Demilitarize or dispose of obsolete and unserviceable AA&E to avoid unnecessary storage, security and inventory costs.

3. Roles and Responsibilities

a. Chief of Naval Operations (CNO). Director, Logistics – Supply Chain Operations Division (OPNAV N41) will oversee management and coordination of the Navy AA&E Physical Security Program and will:

- (1) Oversee Navy AA&E physical security and transportation policy and its implementation.
- (2) Plan, program and budget required resources for the Navy's AA&E program, program management and the high security key and lock program.
- (3) Ensure Navy security policy and procedures provide protection to Navy AA&E assets commensurate with the current world security threats.
- (4) Evaluate adequacy of security provided to Navy AA&E and support funding requirements via the program objective memorandum process.
- (5) Ensure Navy AA&E in the custody of contractors is protected to the level prescribed here.

b. Commander, Naval Sea Systems Command (COMNAVSEASYSCOM). COMNAVSEASYSCOM will provide for specific ship operations and shipboard designs consistent with the requirements of this instruction for the security of AA&E.

c. CO, Naval Information Warfare Systems Command, Atlantic Charleston. Naval Information Warfare Systems Command, Atlantic will provide management, engineering and technical support for electronic security systems installations at Navy AA&E sites when requested.

d. Naval Facilities Engineering Command, Washington DC. Naval Facilities Engineering Command Washington will provide engineering design and construction criteria including military handbooks, standard construction drawings and specifications for secure structures including magazines for AA&E facilities.

e. Commander, Naval Supply Systems Command will:

(1) Based on policy requirements established by CNO and higher authority, Commander, Naval Supply Systems Command manages AA&E transportation programs including second destination transportation. Responsibility includes physical security improvements and transportation facility modifications necessary to meet the requirements of this instruction.

(2) Implement Navy policy and guidance for ordnance transportation security and serve as DoD agent for the joint Service defense transportation tracking system (DTTS).

(3) Implement Navy policy and guidance for the ordnance inventory accuracy management program.

f. CO, Naval Ordnance Safety and Security Activity (NOSSA). NOSSA is designated as the program manager for the Navy's AA&E physical security and ordnance transportation security programs and will:

(1) Develop and maintain Navy AA&E physical security and transportation policy and execute the programs in support of OPNAV N41.

(2) Establish procedures for the safeguarding of AA&E aboard Navy ships. Procedures must include technical details inherent and specific to all United States Ship (USS) and United States Naval Ship (USNS) commands, which will consist of but are not limited to structural requirements, alarm systems and ready service stowage of AA&E.

(3) Provide guidance to Navy activities on technical direction needed to meet AA&E security and transportation responsibilities.

(4) Advise and assist Navy commanding officers in developing and maintaining effective AA&E security programs.

(5) Provide personnel to inspect Navy AA&E physical security and transportation compliance in conjunction with shore station and shipboard explosives safety inspections.

(6) With the exception of electronic security system and engineering design and construction criteria; budget and program for AA&E physical security program funding and provide OPNAV N41 with Navy-wide resource requirements and annual reports.

(7) Evaluate the Navy AA&E physical security and transportation posture and develop cost effective upgrade recommendations as needed.

(8) Maintain and analyze statistical data on Navy AA&E physical security and transportation matters and monitor AA&E physical security and transportation program objectives to ensure compliance with policies and standards.

g. Echelon 2 and Subordinate Commands. Navy echelon 2 and subordinate COs are responsible for overseeing implementation of this instruction via inspections and inventory effectiveness reviews.

h. CO and Officer in Charge. Navy COs and officers in charge (OIC) are responsible for the physical security of AA&E within their authority.

i. Navy Contracting Activities. Navy contracting activities will:

(1) Ensure contracts involving Navy SRC AA&E at contractor facilities (to include government-owned, contractor-operated and contractor-owned, contractor-operated facilities)

include the standards of protection required by this instruction. Ensure by contractual clause access to prime and subcontractor facilities to enable the government to conduct physical security surveys, inspections and investigations.

(2) Provide, at the time of the contract award and at renewal, cognizant Defense Security Service (DSS) industrial security offices copies of each AA&E contract or pertinent extracts (contract physical security standards) that involve all SRC AA&E. Include a listing of government-furnished equipment and material as part of the pertinent extracts.

(3) Notify the cognizant DSS industrial security office when pre-award surveys are conducted to allow for their participation in the survey.

(4) Ensure AA&E shipments in connection with Navy contracts are shipped between contractors or subcontractors per this instruction.

(5) Ensure AA&E is identified by SRC in all applicable prime and subcontracts, to guarantee correct identification and complete understanding by DSS industrial security inspectors, the administrative contracting officer and prime and subcontractors concerned.

(6) Advise the responsible DSS industrial security office of actions taken by contractors, subcontractors, government procuring officers or government contract administration officers, in response to DSS AA&E inspection deficiencies and recommendations.

4. Planning.

a. Installation and tenant commands will plan for effective use of security, tailored to local needs. Factors that must be considered include:

(1) Annual local threat or vulnerability assessments prepared by the installation or facility, including information from local law enforcement agencies, Naval Criminal Investigative Service (NCIS) and Defense Intelligence Agency.

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

(3) Location, size and vulnerability of storage and production facilities, including theft by employees.

(4) Geographic location.

(5) Availability and responsiveness of the security force.

(6) Level of protection provided by:

- (a) Physical security protection measures.
 - (b) Security forces.
 - (c) Security in depth and integrated security.
 - (d) Facility construction.
- (7) Impact on mission capability.

b. Also, consider physical security protective measures such as perimeter barriers, security lighting, communications, key and lock controls, facility construction, structurally secure storage buildings, personnel and vehicular entry control, administrative inspections at entry and exit points, security training programs, IDS and closed circuit television (CCTV).

c. Prepare contingency plans for increased physical security measures for AA&E storage areas during periods of increased vulnerability such as natural disasters, national emergencies, civil uprisings or periods of increased threat from terrorists or criminal elements. Contingency plans must include provisions for increasing the physical security measures for storage areas commensurate with the local commander's assessment of the threat and situation.

d. Coordinate with adjacent installations or units; federal, state and local agencies; and similar host country agencies to obtain intelligence, information on security measures being employed, contingency plans and any other information to enhance local security.

e. On an installation, the host activity will assume responsibilities for coordinating the physical security of all tenants, regardless of DoD component represented, as outlined in support agreements and installation security plans. The purpose of such coordination is to ensure effective planning for security requirements. Authority, jurisdiction and responsibility will be set forth in a manner that ensures protection and avoids duplication of effort. Note: Barriers and locks are merely delay devices; they must be supported by means to detect and quickly react to an attempted intrusion.

5. Waivers and Exceptions

a. General Requirements. Whenever the mandatory security requirements of this manual cannot be met, commands must submit a request for a waiver or exception per table 1-1. Waivers and exceptions will be considered only after all avenues for compliance have been exhausted. Approval of waivers and exceptions does not relieve CO or OIC of the responsibility to maintain security through the use of approved compensatory security measures.

b. Deficiencies that will be corrected within 90 days do not require a waiver or exception; however, compensatory measures must be implemented during the interim. For those

deficiencies that cannot be corrected within 90 days, a request for a waiver or exception must be submitted per this manual.

c. Blanket waivers and exceptions are not authorized.

d. Waivers and exceptions are self-cancelling on the expiration dates stated in the approval letters unless OPNAV N41 approves extensions. Cancellations do not require OPNAV N41 approval, but NOSSA and Naval Facilities Engineering and Expeditionary Warfare Center (NAVFAC EXWC) Code CI8 should be notified.

e. All existing AA&E permanent exceptions to earlier editions of this manual are rescinded 3 years after the date of this manual unless notification is provided to OPNAV N41 and NOSSA with verification that:

(1) The need for the original exception still exists.

(2) All required compensatory measures are still in force.

f. All waiver and exception requests containing classified information must contain the required security classification markings per reference (c).

g. Submission of Waivers and Exceptions.

(1) Forward requests for waivers (12 months or less) and exceptions (3 years) to deviate from specific AA&E security requirements per table 1-1. Requests must completely describe the difficulty with a specific requirement and the intended compensatory measures.

(2) Waiver requests for classified AA&E will be submitted via chain of command (CoC) to OPNAV N41 via appropriate classified method.

(3) For AA&E SRC I items, ships will request waivers and exceptions via CoC to OPNAV N41, with a copy to NOSSA and NAVFAC EXWC (Code CI8).

(4) A 12 month extension to a previously approved waiver may be requested via CoC and approved by OPNAV N41. Afterwards, the waiver must be processed as an exception.

(5) Fleet Commands will provide copies of approved waiver and exceptions to NOSSA NAVFAC EXWC and call attention (ATTN) to the appropriate code.

Commanding Officer
ATTN: N9E
NOSSA
3817 Strauss Ave, Suite 108
Indian Head, MD 20640-5151

Commanding Officer
ATTN: Code CI8
NAVFAC EXWC
1100 23rd Avenue
Port Hueneme, CA 93043-4370

(6) Waiver and exception requests involving commercial transport of AA&E must be coordinated with the Military Surface Deployment and Distribution Command (SDDC). Copies of approved waivers or exceptions that apply to commercial carrier transportation minimum security standards, together with compensatory measures taken, will be forwarded to:

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

h. Preparation of Waivers and Exceptions. Requests for waivers and exceptions must include the information identified in subparagraphs 5h(1) through 5h(9):

(1) Waiver or Exception number. (e.g. N01234-W01-19)

(a) The first six digits, beginning with the letter “N” for Navy represent the unit identification code of the activity initiating the request.

(b) The next digit is either “W” for waiver or “E” for exception.

(c) The next two digits represent the serial number of the request, beginning annually on 1 January with 01. Waiver and exception numbers will run sequentially together (e.g., W01-08 followed by E02-08, then E03-08, W04-08, etc.). This method allows activities in the reviewing CoC to exercise their discretion to change an exception request to a waiver request and vice versa, without having to re-coordinate the number with the requesting activity.

(d) Original numbers assigned exceptions and waivers will be used when requesting exception or waiver extensions.

(e) The last two digits identify the calendar year of the request.

(2) Requirement, including reference, which cannot be met.

(3) Description of conditions preventing requirement from being met.

(4) Physical location of affected building or area, including SRC of AA&E.

- (5) Compensatory measures in place or planned.
- (6) Impact on mission if request is not approved.
- (7) Resources and cost estimate to correct the deficiency.
- (8) Actions initiated or planned, including plan of actions and milestones to correct the deficiency.
- (9) Point of contact (name, rank or grade, phone number and e-mail). Note: Drawings, maps photographs and any other pertinent supporting documentation should also be included to assist in the review and approval process. Security classification of the request must be per DoD Antiterrorism Program and Force Protection Condition (FPCON) System Security Classification Guide, 12 December 2018. Classified requests, including all appropriate endorsements identified in table 1-1, must be submitted via SECRET Internet Protocol Router Network.

Ashore	Afloat
Originating command (tenant must obtain installation approval)	Originating command
Region (if appropriate)	Type Commander
Commander, Navy Installations Command (CNIC) Headquarters (as appropriate)	Fleet Representative – United States Fleet Forces or Commander Pacific Fleet (as appropriate)
NOSSA	NOSSA
OPNAV N41	OPNAV N41

Table 1-1 Waiver and Exception Request Process.

i. Compensatory Measures.

- (1) Compensatory measures are required for each deviation in effect. A single compensatory measure may be applied to more than one deviation.
- (2) Acceptable compensatory measures must mitigate or compensate for vulnerabilities created by the inability to achieve a minimum physical security standard.
- (3) Compensatory measures must be designed to compensate for the specific vulnerability created by the deficiency and must provide an equivalent or greater level of protection as the standard for which the deviation was granted.
- (4) Compensatory measures must be in addition to routine security measures already required at the site. Security forces, facilities, equipment and procedures already required and in place to meet minimum standards are not normally adequate as compensatory measures. However, use of existing DoD assets or resources in a new way to provide protection for a

deviation may constitute compensatory measures as long as their use does not create vulnerabilities in other areas.

(5) Instructions consisting of non-specific orders such as “increase vigilance” are inadequate as compensatory measures.

(6) Compensatory measures must be implemented upon detection of a vulnerability and must not be delayed pending consideration of a deviation request.

j. Review and Approval of Deviation Requests.

(1) The approving authority must carefully weigh all factors, to include potential value of physical security measures.

(2) The approving authority, OPNAV N41 via NOSSA must review each deviation to ensure adequate compensatory measures have been identified and can be implemented.

(3) When considering a deviation request for a particular installation or facility, the approving authority must review all other approved deviations currently in effect for that installation or facility. This review is to ensure that, collectively, the deviations do not establish an overall site vulnerability greater than the designated compensatory measures.

(4) Each deviation must be evaluated and approved on a case-by-case basis. Blanket approvals for deviations are not allowed; however, deviations affecting like items, e.g., magazine groups, ship classes or flight associated, may be considered.

k. Review of Waivers and Exceptions. Activities will review waivers and exceptions for continuing need, as well as for compliance with this manual, at least annually and during command inspections.

6. Inspections and Audits. Inspections and audits provide tools for the oversight, management and control of AA&E items. Security measures, including theft or loss reporting and inventory and accountability procedures for AA&E, will be examined during command inspections, Explosive Safety Inspections, shipboard Explosives Safety Inspections, physical security surveys, Explosives Safety Self-Assessments, Shipboard Explosives Safety Self-Assessment and other appropriate inspections and audits. The status of existing waivers and exceptions will be examined for compliance and continuing necessity.

7. Navy Reserve Officer Training Corp, Gun Club, Reserve Unit Prohibitions. Navy Reserve Officers Training Corps (ROTC) and Navy Junior ROTC units and gun clubs are not authorized to store SRC I and SRC II AA&E at their facilities. Navy ROTC and Navy Junior ROTC units may only possess SRC II AA&E during authorized training with active Navy components. Reserve units may not store SRC I AA&E, but may be given temporary custody (not to exceed

14 days) of SRC I AA&E for training on military installations, following specific security instructions provided by the CO of the installation.

8. Disciplinary Action. A violation of the procedures and requirements imposed under this manual by military personnel is punishable per the Uniform Code of Military Justice and is the basis for disciplinary action with respect to civilian employees.

9. Personnel Screening

a. Activities must be selective in assigning personnel to duties involving control of or unescorted access to AA&E (including security, inventory, supply audit and AA&E handling personnel and truck drivers transporting AA&E). Only personnel who are mature, stable and have shown a willingness and capability to perform assigned tasks in a dependable manner will be assigned duties that involve the responsibility for control, accountability and shipment of AA&E. Determination of which traits and actions are disqualifying is at the discretion of the CO. Activities will comply with the provisions of reference (a).

(1) CO or OIC will appoint in writing by name the security officer, AA&E accountability officer, AA&E officer, weapons officer, other officer or civilian (general schedule-9 equivalent or above) as the AA&E screening officer who will examine personnel records of those being screened and discuss the duties to be assigned with the individual and their supervisor. When activity manning does not provide for an officer, a senior enlisted (E-7 or above) may conduct the screening.

(2) The screening officer will maintain screening records for 12 months after transfer or termination of the person's assignment (or 12 months after the final screening if the person is disqualified).

(3) The screening officer will re-screen personnel annually or earlier if circumstances indicate a review would be prudent.

(4) Contract personnel who are not military or DoD civilians must also be screened for reliability per this requirement if they have duties involving unescorted access or control of AA&E.

(5) Screening is valid to the last day of the twelfth month after the OPNAV 5530/1 Report of Screening for Personnel Assigned AA&E Related Duties has been signed and dated by the screening official. For example, if an individual is screened on 4 April, the screening will expire on 30 April of the following year.

b. Screenings will be conducted and documented using OPNAV 5530/1." The designated AA&E screening officer or civilian will sign and date the form. The form is available on the Navy Forms Online Web site at <https://forms.documentservices.dla.mil/order/>. Contractor use of

this form is optional; however, documentation of personnel screening for employees performing AA&E related duties is required.

c. Military, civilian government employees and contractor personnel whose duties involve custody, handling, or storage of AA&E, operating or providing security for a vehicle transporting AA&E, will at a minimum, have a favorable Access National Agency Check with Written Inquiries or National Agency Check with Law and Credit investigation per references (a) and (f). Officers of U.S. flag carriers will be licensed per U.S. Coast Guard requirements.

d. 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 reference (f) and carrier-issued identification.

e. The 1968 Gun Control Act and subsequent 1996 Lautenberg Amendment, which are codified in section 922(g) of title 18, United States Code, prohibit anyone who, among other reasons, has been convicted in any court of a crime that is punishable by imprisonment for a term exceeding 1 year; has been convicted in any court of a misdemeanor crime of domestic violence; or is subject to a court order finding the person to represent a credible threat to the physical state of an intimate partner or child, to ship, transport, possess or receive firearms or ammunition. The Gun Control Act as enacted and amended, contains a public interest exception for all but one of the nine disqualification categories; specifically subsection 922(g) (9), the Lautenberg Amendment, makes it a felony for anyone who has ever been convicted of a domestic violence misdemeanor prior to or after the passage of the September 30, 1996, law to possess firearms or ammunition. There is no exception for law enforcement and military personnel with qualifying convictions. It is illegal to provide a firearm or ammunition to anyone convicted of such a domestic violence misdemeanor. DoD policy extends this restriction to a conviction for an offense meeting the definition of a “felony crime of domestic violence” adjudged on or after November 27, 2002.

(1) COs must ensure personnel with access to firearms and ammunition as part of official duties be screened per DoDI 6400.06, Domestic Abuse Involving DoD Military and Certain Affiliated Personnel, 21 August 2007 for domestic violence convictions and have access to firearms restricted as required. Screening must be conducted using DD Form 2760 Qualification to Possess Firearms or Ammunition.

(2) Per references (a) and (g), all Navy components must post notices about the Lautenberg Amendment and the procedures for implementation in all facilities where government firearms or ammunition are stored, issued, disposed of and transported. A sample of the Lautenberg Amendment posting is located on the Navy AA&E physical security Web site at <https://nossa.dc3n.navy.mil>.

10. Classified AA&E.

a. Classified AA&E must be protected as directed by this manual and reference (c). Where requirements differ, follow the more stringent requirement.

b. A General Services Administration (GSA) approved Class 5 weapons vault door or a door as required for armories secured with a high security hasp and padlock or other approved high security locking system as detailed in appendix C tables C-1 through C-3 will be used on structures housing classified AA&E. Secret or confidential AA&E will receive protection equivalent to that provided for SRC II and III respectively (or higher if required by the SRC).

11. Physical Security of AA&E at Contractor-Owned Facilities. See enclosure (9) of reference (a).

12. Non-Government AA&E.

a. Per reference (h), storage of personal weapons on an installation will be authorized in writing by the CO, OIC or designated representative. Non-government AA&E not approved for storage in family housing will be stored in an armory or magazine, but not in the same security container or weapons rack with government AA&E. Per reference (g) possession of firearms and ammunition in government quarters, where otherwise allowed, will be conditioned upon the execution of DD Form 2760 by the owner. Note: Bird and animal aircraft strike hazard weapons and ammunition will be stored and maintained per this manual and CNICINST 3750.1, Navy Bird and Animal Aircraft Strike Hazard Program Implementing Guidance.

b. COs, OICs or designated representatives, will maintain accountability records for non-government AA&E separately from government AA&E records. Procedures covering control and accountability of personal weapons will follow reference (h). The waiver and exception provisions of this manual do not apply to non-government AA&E.

c. Report loss of non-government AA&E to NCIS.

13. Prohibition of Privately Owned Fire Arms and Ammunition by International Military Students and their Accompanying Family Members. Per ALNAV 013/20:

a. International military students are authorized use of government furnished firearms and ammunition when specifically required for official training off of a Department of the Navy (DoN) installation but under the control of the DoN and aboard DoN installations or property.

b. DoN Installation Commanders may not permit international military students or their accompanying family members to possess, use, transport or store personally owned firearms or personally owned ammunition on any DoN installation or property.

14. Accountability.

a. Item managers must ensure the adequacy of requisition verification, including positive steps for rejecting excess and unauthorized requisitions. Activities in possession of AA&E must maintain records of receipt, storage, shipment, use, disassembly and destruction or demilitarization as required by reference DoD Manual 4140.1 Volume 11, DoD Supply Chain Material Management Procedures: Inventory Accountability and Special Management and Handling, 8 March 2017. This regulation's pertinent requirements are summarized in subparagraphs 13b and 13c.

b. Perform 100 percent physical count as reflected by the number of items listed on the crates or containers when items are controlled inventory item code (CIIC) and are banded and crated or are in a sealed container.

c. Loss, theft, unlawful disposition or breach of AA&E accountability must be reported immediately per references (i), (j) and chapter 3 of this manual.

15. Training in Accountability.

a. Activities possessing AA&E will ensure they have an established training program for personnel responsible for the accountability of AA&E items. Training must include at a minimum, locally documented procedures for the accurate receipt, dispatch and inventory records and adherence to required scheduled inventories and the procedures for processing inventory adjustment gains and losses as prescribed in references (i) and (j). Include disciplinary actions that may be taken against individuals responsible for violating the security requirements in this manual. Refresher briefings must be conducted annually.

b. All personnel with AA&E related duties must receive training and annual refresher briefings to ensure familiarization with AA&E security and accountability requirements associated with their duties and responsibilities. Training must fit the requirements of the different groups of personnel responsible for the protection of AA&E. Groups and topics must be delineated by the activities, type commander or immediate superior in command as applicable and should include items identified in subparagraphs 15b(1) through 15b(7), as applicable:

(1) Reporting requirements.

(2) Identification of persons and billet titles that have AA&E responsibilities.

(3) Off-station and inter-station movement procedures.

(4) AA&E shipment accountability procedures

(5) Explanation of disciplinary actions for breaches of AA&E accountability and security regulations.

(6) Emphasis of individual responsibility for the control and safeguarding of AA&E.

(7) Instructions on the use of force under reference (k).

c. Training requirements will be examined during command inspections, explosive safety inspections, shipboard explosive safety inspections, physical security surveys, Explosives Safety Self-Assessment, shipboard Explosives Safety Self-Assessment and other appropriate inspections and audits.

16. SRC I Missiles, Rockets and SRC II-IV Arms.

a. Records of SRC I missiles and rockets (e.g., in ready-to-fire configuration or stored with its launcher or grip stock) and SRC II-IV arms must provide continuous accountability by serial number or unique item identifier (UII). Inventory requirements are identified in subparagraphs 16a(1) through 16a(4). Additionally, commands will ensure requisition verification procedures are established for SRC I missiles and rockets.

(1) Unit level. Conduct 100 percent physical inventory by serial number or UII monthly. Inventories of arms and ammunition at the unit level must not be conducted by unit armorers, persons authorized unaccompanied access or by the same person two consecutive months in a row.

(2) Station, installation and non-unit level activities. Conduct 100 percent physical inventory by serial number or UII semiannually.

(3) Depot level. Conduct 100 percent physical inventory by serial number or UII annually.

(4) Where the items are banded and crated, the inventory must consist of a 100 percent count as reflected by the number of items listed on the crates. Any evidence of tampering must be cause for a crate to be opened and a 100 percent count taken of the contents. Inventory records will be retained for a minimum of 6 years.

b. All annual small arms inventories must be conducted by a minimum of two individuals assigned by the CO, OIC or as appointed per chapter 1 paragraph 9a(1) of an activity to conduct a complete inventory of small arms by serial number. The current Annual Asset Verification Report provided by the Navy Component Registry, Naval Surface Warfare Center Crane Division (NAVSURFWARCENDIV CRANE) Code JXNP must be used to conduct the inventory. Upon completion of the inventory both individuals conducting the inventory and the AA&E Accountability Officer must sign and date the certification statement. The inventory must be returned to NAVSURFWARCENDIV CRANE Code JXNP within 45 days from the date of report. Inventory records will be retained for a minimum of 6 years.

c. The DoN registry at NAVSURFWARCENDIV CRANE maintains a registry of DoN arms. Refer questions to the Navy component registry at:

Commanding Officer
NAVSURFWARCENDIV CRANE
Code JXNP Bldg 3422
300 Highway 361
Crane, IN 47522-5001

Navy Small Arms Registry can be found at:

<https://msada.dc3n.navy.mil/msada/msadaweb/default.aspx>. Users must contact the registry manager at cran_annual@navy.mil to obtain authorization to access the site.

17. SRC II and III Missiles and Rockets.

a. Inventories at the unit, installation and depot levels must be conducted per references, (a), (i) and as indicated in subparagraphs 16a(1) through 16a(4):

(1) Unit level. Conduct 100 percent inventory by serial number or UII quarterly.

(2) Station, installation and non-unit level activities. 100 percent inventory by serial number semiannually.

(3) Depot level. 100 percent inventory by serial number annually.

(4) Where the items are banded and crated, the inventory will consist of a 100 percent count as reflected by the number of items listed on the crates. Any evidence of tampering must be cause for a crate to be opened and a 100 percent count taken of the contents. Per table 1-2, inventory records will be retained for a minimum of 6 years.

b. Each command having custody of SRC II and III missiles and rockets must establish and maintain records that provide continuous accountability (receipt, storage, shipment, destruction and demilitarization). These records must include and reflect missiles and rockets issued for training; missiles and rockets returned unexpended from training; and expended residue as applicable.

18. SRC I-IV Ammunition and Explosives.

a. The Ordnance Information System (OIS) is the central records repository for worldwide Navy non-nuclear expendable ordnance. In addition to OIS reporting of all Navy munitions, all units will maintain stock records in OIS that provide continuous accounting per references (a), (i) and (j). Additionally, inventories must be conducted as indicated in subparagraphs 18a(1) through 18a(3).

(1) Unit level. Physical inventory of all sealed containers plus 100 percent inventory of the contents of any unsealed container monthly. This also applies to items issued and stored outside AA&E storage areas.

(2) Station, installation and non-unit level activities (Secondary Stock Point). Physical inventory of all sealed containers plus 100 percent inventory of the contents of any unsealed container semiannually.

(3) Depot level (Primary Stock Point). Physical inventory of all sealed containers plus 100 percent inventory of the contents of any unsealed container annually.

b. Where the items are banded and crated, the inventory must consist of a 100 percent inventory, as reflected by the number of items listed on the crates. Any evidence of tampering must be cause for a crate to be opened and a 100 percent inventory taken of the contents. Per table 1-2, maintain inventory records for 6 years.

19. AA&E Accountability Officer or AA&E Officer. COs or OICs will appoint in writing an individual by name, military or civilian, in this position with responsibility for all AA&E accountability matters and to ensure command-wide compliance with this chapter. The appointed individual may also serve as weapons officer and inventory accuracy officer and must maintain close liaison with the security and inventory accuracy officers. Responsibilities are identified in subparagraphs 19a through 19c.

a. As appropriate, assist the security officer, NCIS, auditors, etc. in investigating AA&E losses.

b. Report to the CO the status of command compliance with accountability controls, status of command inventory versus AA&E allowance and AA&E requisition status. Keep copies of these reports for 2 years.

c. Monitor performance and reporting of all AA&E inventories.

20. Inventory Adjustments and Requisitions Verifications. When making inventory adjustments, no AA&E loss may be attributed to an accountability or inventory discrepancy unless investigation has determined that the loss was not the result of theft. To ensure their validity, requisitions for AA&E will be signed by the AA&E accountability officer before processing out of the activity. Maintain internal controls to reject excess or unauthorized requisitions.

21. Issuance and Custody Receipt for Arms. Individuals receiving sub-custody of arms (small arms, crew served weapons and man-portable hand-launched missile systems in ready-to-fire configuration) must obtain authorization from the CO or their designated representative. Sub-custody transactions include transactions where activities require the use of another activities armory or facilities to adequately stow arms per physical security requirements. Activities taking

part in sub-custody transactions (i.e. aviation squadrons, maritime security detachments, arms rooms) must retain receipt and issue documentation, DD Form 1348-1A, Issue Release/Receipt Document, or DD Form 1149, Requisition and Invoice/Shipping Document, for 1 year or as long as arms are held, whichever is greater. This does not alleviate the responsibility for aircraft squadrons to maintain a chain-of-custody for arms issuance from armory to aircraft and armory return per the requirements of subparagraphs 21a(1) through 21a(7).

a. Each arms room will maintain a weapons issue log to ensure continuous accountability of weapons. Maintain records for 1 year. Commands must ensure individuals conform to the requirements of reference (g) and have a signed DD Form 2760 on file before issuing a weapon. Log must contain:

(1) Name and signature of the individual receiving the weapon and associated ammunition.

(2) Date and hour of issuance.

(3) Serial number and type of weapon received.

(4) Amount of ammunition (if applicable).

(5) Printed name and signature of the individual issuing the weapon.

(6) Date and hour the weapon was returned.

(7) Printed name and signature of the individual receiving the returned weapon.

b. All personnel receiving small arms for personal protection, security of DoD assets, support of expeditionary operations, or special missions must have requalified annually in live fire and completed semi-annual sustainment training between qualification shoots as specified in reference (m). Note: For bulk weapon issues (range qualifications, return to NAVSURFWARCENDIV CRANE) standard supply documents, DD Form 1149 or DD Form 1348-1A may be utilized.

22. Disposal and Demilitarization. Disposal and demilitarization of AA&E is governed by and must be accomplished per reference (n). Such AA&E must be transported and stored per this manual until demilitarization is completed or accountability transferred

a. Demilitarization certificates for arms must be signed by a technically qualified United States government representative before residue or remains can be released.

b. Arms altered as detailed in reference (n) to make them incapable of firing may be used as "dummy rifles" for drill purposes, with marksmanship training systems or for display purposes.

The NAVSEASYSKOM Small Arms Program Manager (SEA 00-NSW) must approve the demilitarization or modification of any small arms for these purposes. An approved small arms allowance is required and they must still be reported to the Navy Small Arms and Light Weapons Registry.

c. Properly demilitarized or altered dummy rifles (and major parts such as barrels) no longer require the safeguarding detailed in this manual.

d. Demilitarized AA&E may be displayed in offices, museums or other areas only if accompanied by a demilitarization certificate, located nearby and produced for examination upon request.

23. Fleet Return Documentation. The responsible individual at the receiving activity will verify Fleet Return Documentation via DD Form 1348-1A for accuracy when accepting custody of material. Quantity discrepancies will be annotated and corrected on the document. The accountability officer will ensure appropriate stock record adjustments and Ammunition Transaction Reports are processed following procedures in reference (i).

24. Physical Security Surveys. Physical security surveys of AA&E facilities must be conducted every 12 months for shore activities and every 6 months for ships to assess the health of the AA&E physical security program. Maintain records for 3 years for review during assistance visits, command inspections, Explosives Safety Self-Assessment, shipboard Explosives Safety Self-Assessment, explosive safety inspections and shipboard explosive safety inspections. Physical security surveys must be a formalized document, routed through the CoC for review and final approval in writing by the CO or OIC. Safeguard any classified inventories or records per reference (f). Physical security surveys must include as a minimum:

- a. Name and signature of person conducting the survey.
- b. Date survey was completed and period survey covered.
- c. A review of the status of any corrective action taken on security deficiencies noted during previous surveys, assistance visits or command inspections.
- d. A review of guard orders, security force procedures and AA&E security regulations to ensure all changes have been entered and documents are current.
- e. A review of existing waivers and exception for continuing need as well as compliance with this manual. Ensure waivers and exceptions for AA&E security have been requested where appropriate. Copies of approved current waivers and exceptions are on file and available for review during command inspections.

- f. Comparing a random selection of AA&E inventory records with the designated magazine storage location of items.
- g. Comparing a random selection of AA&E items with the listed inventory quantities.
- h. A plan of action and milestones detailing deficiencies identified and corrective actions taken. Include dates deficiencies were corrected.
- i. Include a copy of the most recent NAVSURFWARCENDIV CRANE small arms annual verification report as applicable.

25. Physical Security Survey Templates. The recommended physical security survey forms for ashore and afloat activities are located on the Navy AA&E physical security Web site at <https://nossa.dc3n.navy.mil>.

26. Training. Personnel assigned AA&E duties must be properly trained. This includes training on proper key control and key issue procedures, physical security survey completion, issue and receipt of small arms, access control procedures, escort requirements, accountability (per chapter 1, paragraph 14), security force training (per chapter 3, paragraph 2) and physical security training programs (per chapter 1, paragraph 4.a). Training material on AA&E is located on the Navy AA&E physical security Web site at <https://nossa.dc3n.navy.mil>.

27. Document Retention. Maintain inventory records per SECNAVINST 5200.44. Record retention periods for inventories, log entries, investigative reports and other physical security records discussed in this manual are summarized in Table 1-2.

<u>Retention Item</u>	<u>Retention Period</u>	<u>Reference chapter and paragraph</u>
Small Arms Inventory	6 years	Ch 1, Para 16b
Small Arms Inventory (discrepancies)	6 years	Ch 1, Para 16b
Small Arms Sub-Custody Records	1 year	Ch 1, Para 21
Ammunition and Explosives Monthly Inventory (Unit Level)	2 years	Ch 1, Para 18b
AA&E Screenings	1 year	Ch 1, Para 9a
Accountability Controls	2 years	Ch 1, Para 19b
Physical Security Surveys	3 years	Ch 1, Para 24 and Ch 5, Para 19
Intrusion Detection Systems (IDS) Alarm Log	3 years	Ch 2, Para 2c
IDS Testing Records	3 years	Ch 2, Para 2h(1)
Guard Check Records	3 years	Ch 3, Para 2d
AA&E Response Drill Records	3 years	Ch 3, Para 2i
Key & Lock Inventory	3 years	Ch 3, Para 4f
Key and Combination Control Registers	3 years	Ch 3, Para 4g

Visitors Access Log	3 years	Ch 3, Para 5b
Access Control Entry Records	3 years	Ch 3, Para 5c
Museum Arms Inventory	3 years	Ch 3, Para 10d
Command Investigations	3 years	Ch 7, Para 3d
Terminal Entry Control Records	90 days	Ch 9, Para 8

Table 1-2 Record Retention Periods.

CHAPTER 2
FACILITIES SECURITY REQUIREMENTS

1. General. This chapter includes physical security requirements for all U.S. Navy activities, continental United States (CONUS) and outside CONUS (OCONUS), ashore and afloat, which are responsible for the storage and safeguarding of AA&E. Additional unique afloat security requirements are addressed in chapter 5. Facilities security requirements must be based on multiple factors; SRCs of AA&E, threat and risk assessments, vulnerability, facility location and resources, as a minimum, are to be considered. Further guidance is provided in reference (h) and UFC 4-021-02, Electronic Security Systems, 11 September 2019.

2. IDS.

a. Before Navy commands and non-Navy commands acquire new IDS which will be connected to a local or regional dispatch center, the IDS and system components must be approved in writing from the CNIC Attn: N3. Navy commands must submit their request via DoN Tasking, Records and Consolidated Knowledge Enterprise Repository (Non-classified Internet Protocol Router Network or SECRET Internet Protocol Router Network) to CNIC N3 Front Office. Non-Navy and Non-DoD commands will submit their request for approval to email address: CNIC_N3_IDS@navy.mil or CNIC_N3_IDS@navy.smil.mil. All requests must provide full details of IDS to be purchased, detailed plans for installations and maintenance, connection required to local installation or regional dispatch centers. Requests will provide justification for the installation of the IDS, address maintenance funding budgeted in the Future Years Defense Program and a command point of contact. CNIC response will take a minimum of 30 days once a valid request is received. This applies to any IDS to be installed on CNIC installations or CNIC Special Areas.

b. IDS must include a continuously manned alarm control center where alarms annunciate and from which a response force can be dispatched. Local alarms (e.g., alarm bells located only at the protected location) are not acceptable. In civilian communities (e.g., reserve centers) arrangements must be made to connect alarms to civil police headquarters, private security companies or a central station monitoring service from which immediate response can be directed. Military, civil service or contractor personnel may monitor alarms and may be armed at the discretion of the CO.

c. Maintain a locally generated daily logbook (paper or electronic) of all AA&E storage location IDS alarms. Keep these logs per table 1-2 and review them to identify IDS reliability problems. Logs must include the details as outlined in subparagraph 2c(1) through 2c(3):

(1) Nature of the alarm (e.g., system failure, nuisance alarm, unauthorized entry or tamper)

(2) Date, time and location of alarm.

(3) Action taken in response to the alarm and final adjudication.

d. Sensors, related equipment and signal transmission line must be protected from tampering. This may be provided by the sensors themselves, equipment boxes with tamper alarms and electronic line supervision. Electronic line supervision will entail a polling or multiplexing system or equivalent. Visible transmission lines must be inspected monthly and the inspection documented by the owner or user. Documentation will include date and time of check, status and the name and initials of person who conducted the check. These records will be kept for 3 year in active service. If line supervision is unavailable, two independent means of alarm signal transmission to the monitoring location must be provided and any visible lines must be inspected weekly. Where possible, one of the two independent means of alarm signal transmission should be a secure wireless link. The dual transmission equipment must continuously monitor the integrity of communications links. Wireless links must be protected, at a minimum, by means specified in Federal Information Processing Standards Publication 140-2, Security Requirements for Cryptographic Modules, May 25, 2016.

Note: IDS that transmits alarm signals over a shared network, such as a local area network, wide area network, public switched telephone network or the internet must have a firewall or like equipment which will allow data transfers only between IDS components. Also, the alarm monitoring location must receive immediate notification if the network fails and alarm activations must be recorded locally so that all information can be obtained and reviewed once network operation is restored.

e. Ensure qualified, trustworthy personnel are used to install, inspect and maintain IDS and restrict access to schematics which show types and locations of key components of IDS. Maintenance may be by military, civil service or contractor personnel, including personnel employed by the IDS vendor. All maintenance personnel must be escorted into AA&E spaces.

f. Provide protected, backup, independent power of at least 8 hours (4 hours afloat).

g. To provide for controlled entry by authorized personnel, telephone communication between an alarm control center and alarmed zones should be considered as an adjunct to the IDS.

h. IDS systems must be tested upon installation and monthly (quarterly afloat) thereafter to ensure proper functioning of the system and components. For bulk storage areas (e.g., depots, weapons stations), such checks must be performed at least quarterly.

(1) Tests must include "walk" testing of each volumetric sensor as well as testing point sensors and duress switches. Keep records of IDS tests per table 1-2; they must contain the dates of the tests, names of persons performing the tests, results and any corrective action taken. Also, test temporary interruption of alternating current (AC) power to ensure proper automatic transfer

to backup battery power, correct functioning on battery power, audible and visual annunciation of the transfer and correct transfer back to AC power.

(2) Perform periodic unannounced openings of facilities at least annually to set off an alarm so that alarm monitor and response force reactions and procedures can be exercised and evaluated. Ensure results are entered in daily logbook.

i. An anti-intrusion barrier (AIB) must be installed as an IDS component on all SRC I and II ammunition and explosives storage facility active doors equipped with high security padlocks and hasps (for land based applications only). An AIB should also be installed on armory active doors if the AIB is compatible with the door and locking system. Large sliding door magazines may utilize a Universal Security System Model Naval Ammunition Production Engineering Center (NAPEC) 1332 in lieu of the AIB and hasp combination. If an internal locking device (ILD) is used as the magazine locking system and its IDS feature is installed, the AIB is not required. An AIB is not required for Golan and Nabco type containers due to incompatibility with the door type. However, IDS or constant surveillance is required for SRC I and II material.

j. For armories, IDS is required unless the armory is continuously manned or under constant surveillance. IDS will include point sensors on all doors and other man-passable openings, area (or volumetric) sensors covering the interior and duress alarms.

k. Protect SRC I and II storage facilities ashore with IDS unless they are continuously manned or under constant surveillance. IDS will include point sensors on all doors and other man-passable openings and area (or volumetric) sensors covering the interior. IDS for SRC III and IV storage facilities is not required; however, if IDS is used, security checks of these facilities may be eliminated.

3. Storage Facilities Ashore.

a. Structures. Fixed armories and magazines will be built to the security construction standards of reference (o). Existing AA&E facilities should meet or exceed a minimum of 10 minute resistance to forced entry against an unlimited supply of hand and battery-operated tools. Note: New construction, major renovations or use of existing facilities not previously storing arms, other than approved GSA approved containers, vaults, Type II magazines and Type II armories, built at AA&E facilities and installations must be constructed according to references (a), (b) and (o). New facility construction design must provide a minimum of 10 minute resistance to forced entry against an unlimited supply of hand tools or battery-operated tools. Structural upgrades to existing facilities and new construction for AA&E storage facilities must provide 10 minutes of forced entry delay against medium threat level as defined in reference (o). The structures identified in subparagraphs 3a(1) through 3a(3) are acceptable:

(1) DoD approved Earth Covered Magazines <https://www.wbdg.org/building-types/ammunition-explosive-magazines/ecm-approved-new-construction>.

(2) Prefabricated type II magazines as specified in NAVFAC_EXWC Technical Data Sheets (TDS)-2078-SHR (formerly TDS 82-12). SRC I and II material may be stored in a Type II magazine if IDS is added.

(3) GSA approved modular vaults meeting the requirements of Federal Specification AA-V-2737 Modular Vault Systems, 25 April 1990

b. Doors.

(1) Magazine Doors. New fixed-magazine doors will be constructed to meet the requirements of Table 16 in reference (o). Existing fixed magazine doors must be constructed with a 3/8" steel plate or combined thickness of outside and inside surfaces of at least 3/8" steel or otherwise hardened to meet a 10 minute forced entry delay against an unlimited supply of hand tools or battery-operated tools per reference (o). Note: The use of ILD should be considered for installation and use in new construction and major renovations of magazines storing SRC I and SRC II A&E as necessary to ensure protection is afforded to the level of threat and SRC.

(2) Armory doors. Armory doors may be either a GSA approved Class 5 weapons vault door or:

(a) A fabricated door with at least 2 inches of hardwood with a 1/4" thick steel plate on the outside face.

(b) A fabricated door with a 3/8-inch-thick steel plate or combined thickness of outside and inside surfaces of at least 3/8-inch steel. Note: Existing armory doors meeting the requirement of 1-3/4-inch-thick wood with 12-gauge steel plate on the outside face or a standard 1-3/4-inch-thick, hollow metal, industrial-type construction with minimum 14-gauge skin plate thickness internally reinforced vertically with continuous steel stiffeners spaced 6 inches maximum on center can still be used. However new or replacement doors must be upgraded to the requirement of this paragraph. When armories are issue points for small arms and ammunition the armory door must be equipped with a day gate. Day gates are used to separate restricted arms storage areas from common spaces during normal operating hours. The day gate must be equipped with a weapons issue point. The size of the weapons issue point must be held to an operational minimum (typically 190 square inches or less) as required to accommodate standard issue items. A dutch-style door may be used for the day gate. The top half of the door should include a standard weapons issue point and the top half of the door can be opened to issue larger weapons and ancillary equipment that will not fit through the issue point. The top half of the door must be securable from the inside with a deadbolt or other locking device to prevent access to the armory from the outside. When not in use, issue ports will be secured with material comparable to that forming the adjacent walls.

(3) Large doors for vehicle access to large bays will be hardened per reference (o). The installation and use of rollup type doors should be discouraged and is not approved for new construction. When rollup type doors are installed (existing construction), AA&E must be protected by IDS and an OPNAV N41 approved security exception must be obtained.

(4) Door bucks, frames and keepers will be rigidly anchored and provided with anti-spread space filler reinforcement to prevent disengagement of the lock bolt by prying or jacking the door frame. Frames and locks for doors will be designed and installed to prevent sufficient removal of the frame facing or the built-in locking mechanism to allow disengagement of the lock bolt from outside.

(5) Door frame and threshold construction will be as exacting as the doors themselves. For example, where metal doors are used, the frame and thresholds must also be metal.

(6) Door hinges will be strong enough to withstand constant use and the weight of the doors. They will be located on the inside where possible and will be of the fixed pin security hinge type or equivalent. Exterior doors with exposed hinges (usually out-swinging) will be provided with at least two supplemental brackets, pins or other devices to prevent opening the door by destroying the hinge or removing the hinge pin. Such devices must be of sufficient positive engagement and resistance to shearing force to prevent opening the door from the hinge side.

c. Windows and Other Openings. Windows, ducts, vents or similar openings of 96 square inches or more with the least dimension over 6 inches will be sealed with material comparable to that of the adjacent walls, see reference (o) for guidance.

4. Construction Exemptions.

a. Containers. On a military installation or ship, small quantities of arms may be stored in a GSA approved Class 5 weapons container or a weapons locker with a GSA approved lock meeting the requirements of reference (p) for mechanical locks or (q) for electromechanical locks providing forced entry protection as approved by Federal Specifications AA-F-363D Filing Cabinet, Security, Maps and Plans, General Filing and Storage, 1 December 1990 for filing cabinets or Federal Specification AA-C-2859A Cabinet, Security, Weapons Storage, 20 April 2007 for weapons storage cabinets. The container must be under continuous surveillance or protected by IDS which includes a volumetric sensor and the facility checked by a security patrol at least once every 24 hours. Containers weighing less than 500 pounds (empty weight) must be secured to the structure. This can also be accomplished with chains secured with bolts or low security padlocks (spot weld, peen or otherwise secure the bolts). Empty safes that are over 500 pounds are not required to be bolted or secured to the structure. Chains will 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, national stock number

(NSN) 4010-00-149-5583, NSN 4010-00-184-3476, or NSN 4010-00-323-4460. Where such fastenings impede operational requirements, the facility manager may waive this requirement.

(1) When securing GSA approved filing cabinets or security containers there must be no unauthorized modifications to the container (i.e. welding, drilling or other methods that would alter the structural integrity of the container). Any modification of a container not per FED-STD 809D, Inspection, Maintenance, Neutralization and Repair of GSA Approved Containers and Vault Doors, 4 April 2018 will invalidate the GSA approval and the GSA approval label must be removed.

(2) GSA approved Class 5 and 6 containers used aboard ships must be securely mounted per manufacturer instructions to avoid causing damage or injuries. An approved Shipboard Mounting System for GSA approved Class 5 and 6 Containers is specified in NAVFAC_EXWC TDS-2096-SHR, Shipboard Mounting System for GSA Approved Class 5 and 6 Containers, April 2008 b. Existing Substandard Facilities on a Military Installation. Existing substandard facilities (those constructed prior to 18 December 1981 and used continuously as an armory) located on a military installation may continue to be used if determined to be adequate by NOSSA. This manual's requirements for arms racks, storage containers, security lighting, IDS, keys and locks must be met. During non-duty hours facilities must be checked by a security patrol at irregular intervals not exceeding 8 hours.

c. Ready-For-Issue (RFI). Arms and ammunition may be stored together only for security personnel or response personnel. Security force RFI AA&E storage areas are not required to have a high security locking device, IDS, an AIB or meet construction standards provided all of the conditions identified in subparagraphs 4.c.(1) through 4.c.(5) are met:

(1) Only the minimum amount of weapons and ammunition necessary, as determined by established force protection requirements for the command are stored in the RFI and they are kept in a locked container, standard or locally-made arms rack or area. Storage of noncombat expenditure allocation in the RFI is prohibited.

(2) An armed guard or a watch stander with communication equipment to summon assistance, is within sight of the storage container or area at all times.

(3) The guard or watch stander's other duties, such as monitoring alarms, must not interfere with the ability to control access to the weapons.

(4) The weapon's storage container or area is inventoried at each change of watch or whenever the container is opened.

(5) Access to the area is strictly limited.

d. Aircraft egress explosive devices, survival kits and flight gear pyrotechnic munitions classified as HC/D 1.3 and 1.4, can be stored as detailed in subparagraphs 4d(1) through 4d(4) in lieu of normal AA&E storage and construction standards if the area is protected by access control and checked by security forces at least every 24 hours.

(1) Walls, Floor and Roof. The walls, floor and roof construction must be of permanent construction materials; i.e. plaster, gypsum wallboard, metal panels, hardboard, wood, plywood or other materials offering resistance to and evidence of unauthorized entry into the area. Walls must be extended to the true ceiling with permanent construction materials, wire mesh or 18-gauge expanded steel screen.

(2) Ceiling. The ceiling must be constructed of plaster, gypsum, wallboard material, hardwood or any other acceptable material.

(3) Doors. The access door to the room must be substantially constructed of wood or metal and be equipped with a built-in GSA approved combination lock meeting the requirements of reference (p) for mechanical locks or (q) for electromechanical locks or a high security padlock and hasp meeting the requirements of appendix C Tables C-1 through C-3. Exterior doors with exposed hinges (usually out-swinging) will be provided with at least two supplemental brackets, pins or other devices to prevent opening the door by destroying the hinge or removing the hinge pin. Doors other than the access door must be secured from the inside by a deadbolt lock, panic deadbolt lock or by other means that will prevent entry from the outside.

(4) Openings. Utility openings, ducts, vents, windows, etc. must be kept less than man-passable (96 square inches). Openings larger than 96 square inches must be hardened per reference (o).

e. Do not tear down and rebuild facilities unless security measures cannot be improved to provide the required degree of protection. Exceptions allowing nonstandard conditions may be granted by OPNAV N41 via table 1-1. The goal for structurally secure facilities is to provide at least 10 minutes' resistance to forced entry.

5. Security Lighting. Exterior building and door lighting must be provided for all areas and structures storing SRC I and II AA&E items. Lighting must provide a minimum of 0.2 foot-candles (2 lux) illumination measured on the horizontal plane at ground level and be sufficient to allow detection of unauthorized activity. Emergency lighting and standby power are not required, but should be considered when threat and vulnerability warrant. Switches for exterior lights must be installed in such a manner that they are accessible only to authorized individuals.

6. Fences. SRC I and II AE storage areas must be fenced; follow the guidelines in reference (a) and (r) for construction standards. Per reference (a) all security and perimeter fencing must have a minimum fence fabric height of 6 feet, excluding the top guard and outrigger. All new fence installations or replacement of existing fences must have a minimum fence fabric height of 7

feet, excluding top guard and outrigger per reference (r) and have the bottom of the fence extended 2 inches into the ground per reference (a). Repairs or modifications to existing fences do not need to meet the requirement to extend into the ground per reference (a) and fence fabric height criteria of reference (r). Surfaces will be stabilized in areas where loose sand, shifting soils or surface waters may cause erosion and thereby assist an intruder in penetrating the area. Where surface stabilization is not possible or is impracticable, concrete curbs, sills or other similar type anchoring devices, extending below ground level will be provided. Hinge pins must be peened, welded or otherwise secured. The perimeter fence must have the minimum number of vehicular and pedestrian gates, based on operational requirements. Unless continuously guarded, gates must be secured with chains per Federal Specification RR-C-271G, Chains and Attachments, Carbon and Alloy Steel, 28 March 2016 or equivalent chain. Chains must be secured with a general field service padlock per reference (s). When the gate is open or unsecured, the padlock will be locked to the staple, fence fabric or other nearby securing point. Padlocks used to secure gates may be keyed-alike.

a. Clear Zones. Clear zones are areas established around the fence to provide an unobstructed view to enhance detection and assessment of potential threats. Per reference (a), clear zones must be established to extend a minimum of 20 feet on the outside and 30 feet on the inside for all AE storage areas (or to the maximum extent within available land space if minimum requirements cannot be met).

7. Communications. Storage areas must have a primary and backup means of communications that permit notification of emergency conditions. The backup system must be a different mode than the primary. Radio may be one of the modes of communication. The communication system must be tested with results documented daily.

8. Storage in Naval Vehicles, Aircraft and Small Craft. When operational readiness is impeded by storage of arms in armories, arms may be stored in the small craft, vehicle, trailers or aircraft to which assigned or in other configurations required by operational or training requirements provided constant surveillance of items is established and retained. Security may consist of armed guards at entry and exit points, a roving patrol inside a holding yard or area or coverage by CCTV systems, but CCTV will not negate the requirement for guards or roving patrols unless it is used in conjunction with another access control or IDS technology. When arms are an integral part of or permanently mounted and are not man-portable or easily removed, then normal security procedures for the small craft, vehicle, trailers, or aircraft will apply.

9. Security Standards for Secure Holding Areas for AA&E on an Installation or Contractor Facility.

a. Minimum physical security standards for placing SRC III and IV and CAT-U HC/D 1.1, 1.2 and 1.3 AA&E into the secure holding area on DoD installations or DoD contractor facilities are identified in subparagraphs 9a through 9i:

(1) Incorporate the secure holding area into the comprehensive facility security plan, approved by the Installation CO or facility director and revalidated by periodic scheduled and no-notice inspections as detailed in the plan. Include a detailed security diagram of the secure holding area showing controlled and restricted areas, security force locations and locations of IDS and CCTV, as appropriate. Address the specifics as to the area's implementation of the standards identified in subparagraphs 9a(1)(a) through 9i. Components include:

- (a) Access control.
- (b) Guard force standards, qualification, training, equipment.
- (c) Perimeter fencing.
- (d) Lighting.

(2) Barriers at entry control points, e.g., jersey concrete barriers, etc. for FPCON Charlie and Delta.

- (3) Key and lock control.
- (4) Emergency communications.
- (5) Emergency power.
- (6) Emergency response forces.
- (7) Response plan for terrorism and criminal threats or other emergencies.

(8) The facility security plan must also consider options to temporarily protect DoD AA&E shipments requiring access onto a Navy installation when the sited secure holding area is not available due to explosive safety quantity-distance (ESQD) limitations. Each facility must identify alternative sites within their installation in which a DoD AA&E shipment could be temporarily secured. These sites should be located within areas that provide a level of security, as well as minimizes exposure to public safety and to base personnel.

b. General. AA&E will be afforded double barrier protection. Secure holding areas will be access controlled and be within an area surrounded by a perimeter fence to limit access (perimeter fence may be the installation or facility boundary fence). For situations in which the guard does not have direct unobstructed view of the entire secure holding area, it will have an IDS or CCTV system to provide added security.

c. Warning Signs. Warning signs will be posted for the secure holding area where they can be easily seen and understood by anyone approaching it. In areas where English is one of the

two or more languages commonly spoken, warning signs will contain the local language in addition to English. The wording of the signs will denote warning of a restricted area. Warning signs will be posted in intervals not to exceed 100 feet.

d. Access Control. The installation CO or facility director will establish strict personnel and vehicle access measures for the secure holding area. Procedures will be per Service security regulations.

e. Fencing. Where used to delineate a secure holding area, all fencing will be per chapter 2 paragraph 6 of this instruction.

f. Security Lighting. Protective lighting will be provided to discourage or deter attempts by intruders, make detection likely if entry is attempted and prevent glare that may temporarily blind guards. Security lighting will be automatically timed and controlled to provide illumination from dusk until dawn. Lighting will not unnecessarily expose or silhouette guards or other personnel to targeting by criminal and terrorist elements. Lighting will illuminate the area beyond the perimeter to the outer edge of the clear zone extending 25 feet beyond the secure holding area. The installation CO or facility director will ensure a professional lighting survey is conducted for each facility and a lighting plan will be approved by the CO or facility director as a part of the overall plan.

g. Power. Primary and alternate power sources will be identified. The primary source may be installation power or a local public utility. An alternate source will be provided to start automatically upon failure of the primary power, adequate to power the entire lighting system. It will be equipped with adequate fuel storage and supply, be periodically tested under load to ensure effectiveness and located within a controlled area for additional security. All electrical cabling and telephone lines within 10 feet of the ground will be encased in metal conduit to preclude lines from being manipulated or cut.

h. Communications. Communications will provide a means of alerting local law enforcement or emergency response forces to the presence of intruders immediately. The area manager will identify and coordinate with the backup force capability. The area will have a duress system that is linked to the security force to report emergencies.

i. Guards. The guards will be professionals, normally members of an existing installation or facility security force. They will be aware of the location and nature of classified, hazardous and sensitive equipment or material in the holding yard or area. Security force personnel will be provided with equipment necessary to accomplish the security mission. Guards will have a direct communications link to either their headquarters or commercial security service dispatcher at all times in case of emergency. Hourly communications checks will be performed after normal working hours. Additionally, they will be provided with a reliable secondary means of communication when conducting security checks or patrols of the surroundings.

j. Additional Minimum Physical Security Standards for Secure Holding of SRC I and II AA&E:

(1) Dedicated, 24 hour surveillance by a guard, IDS with integrated CCTV monitoring will be expanded to include the secure holding area.

(2) Vehicle undercarriage inspections will be performed on all inbound traffic entering the secure holding area, if not already checked as a part of installation entry procedures.

(3) Coordination will be made with local, county or State law enforcement to provide additional security, including back-up forces, during higher FPCONs, as required.

k. Protection for Classified Shipments. Classified secret shipments will be afforded the same physical security protection as for SRC I and II AA&E. Classified confidential or controlled cryptographic information shipments will be provided the same security as SRC III, IV, CAT-U HC/D 1.1, 1.2 and 1.3 AA&E.

CHAPTER 3
GENERAL SECURITY REQUIREMENTS

1. General. This chapter prescribes general security requirements for all U.S. Navy ship and shore activities which are responsible for the storage and safeguarding of AA&E. Additional guidance specific for ships is provided in chapter 5 of this manual.
2. Security Forces.
 - a. An armed response force must be able to respond within 15 minutes of an alarm or report of intrusion in AA&E storage areas. Further, they must know response priorities by structure for key areas and critical AA&E.
 - b. Entry and exit points into magazines and holding yards or areas where vehicles, rail cars, or aircraft with missiles, rockets, ammunition or explosives are parked must be controlled by guards or working party personnel. When guards or working party personnel are not present or IDS or CCTV are not used, security patrols must physically inspect each aircraft, rail car or vehicle at a frequency based on the highest SRC of AA&E present and the threat (see appendix B). CCTV will not negate the requirement for guards, roving patrols or constant surveillance, unless used in conjunction with another access control or IDS technology.
 - c. An armed security patrol will periodically check facilities and areas storing AA&E, as prescribed in this chapter and appendix B. Increase these checks if warranted by increased threat or vulnerability. Conduct checks with irregular timing to avoid establishing a predictable pattern. Note that SRC III and IV storage facilities protected with IDS do not require patrols unless specifically identified in appendix B.
 - d. Guard checks must include physical checks of all doors, locks and windows. Record guard checks and keep the records per table 1-2.
 - e. Maintain written guard procedures and keep procedures covering emergencies and command notification requirements at security posts. Review them semiannually and revise them as necessary to emphasize intelligent placement of guard posts and mobile patrols and orientation of guards concerning their duties.
 - f. Security patrols may be conducted by military, civil service or contractor personnel, United States Marmust's Service, State, local or campus law enforcement authorities as appropriate. Where AA&E is stored off military installations in civilian communities and where security checks cannot be conducted by DoD personnel due to legal or operational considerations, liaison must be established with local law enforcement or host nation authorities to ensure that non-duty hour checks are conducted by the local police or host nation authorities.

- g. Train and qualify the security force with the small arms they carry as delineated in references (h) and (m). Document this training in each person's training record.
- h. Train the security force in the use of force under per reference (k), Arming and the Use of Force. A statement acknowledging receipt of such training must be signed by each security force member and filed in each person's training record.
- i. Drill and evaluate the security force semiannually in their response to threats to AA&E storage areas. Record the date, time and results of security force drills, including deficiencies and corrective action taken; maintain records per table 1-2.
- j. Duty supervisors must inspect all security posts, spaces and patrols periodically.
- k. Screen persons before they are assigned AA&E security-related duties, whether full time or collateral, as delineated in chapter 1.
- l. Equip security forces with two-way radios and establish a duress system to call for assistance. Use code words or gestures with common language or motions and change frequently to preclude discovery.

3. Locks.

a. High security locking systems are required on the entry doors to all AA&E storage structures, armories, magazines and operating buildings if AA&E is stored overnight (see appendix C Tables C-1 through C-3). Interior doorways may use GSA approved Class 5 vault doors. Keyed-alike locks may only be used for field grade locks to secure gates or arms racks located inside a space which meets high security requirements.

Note: No markings will be added to lock exteriors, which might aid in unauthorized opening of the lock. This includes, but not limited to, serial numbers or other markings, which identify the correct key for the lock.

b. Facilities in which aircraft or vehicles are stored with ammunition aboard must be secured with a high security lock or equivalent compensatory measures will be applied. Aircraft or vehicles, stored with ammunition on board that are not in a facility secured by a high security lock, must be secured with a secondary lock and under constant surveillance by an armed guard or watch stander with communication equipment.

c. Doors not normally used for entry must be secured from the inside with locking bars, deadbolts or padlocks after working hours. Panic hardware, when required, must be installed to prevent opening the door by drilling a hole or fishing from the outside. Panic hardware must meet safety, fire and building codes and be approved by the Underwriters Laboratories or, when applicable, meet host country requirements. If panic hardware does not prevent access as

required in this paragraph, the door must be secured from the inside as indicated when the building is locked at the completion of the work shift.

d. When an area or container will remain open, lock its padlock to the staple or hasp to prevent its theft or loss.

e. NAVFAC EXWC (Code CI8) issues, tracks, repairs and replaces cylinders, high security locks and keys for high security AA&E stowage. High security locks, cores and keys are restricted from public access and must be properly demilitarized prior to disposal. Note: High security padlocks meeting MIL-DTL-43607J Padlock, Key Operated, High Security, Shrouded Shackle, 29 July 2010 requirements must be ordered by military standard requisitioning and issue procedure requisition NSN 5340-01-510-2351 and processed through NAVFAC EXWC (Code CI8). Ordering instructions for high security padlocks, cores and keys are located on the Navy AA&E Physical Security Web site at <https://nossa.dc3n.navy.mil/>. For proper disposal, damaged or malfunctioning locks and damaged or unserviceable keys must be sent to:

Commanding Officer
ATTN: Code CI8
Naval Facilities Engineering & Expeditionary Warfare Center
1100 23rd Avenue
Port Hueneme, CA 93043-4370
(800) 290-7607

f. High security locks (high security padlocks and ILD) or lock cores must be rotated annually. Rotation is accomplished to guard against the use of illegally duplicated keys and for regular maintenance to avoid lockouts or security violations due to malfunctions. Spare locks, cores and keys will be stored in a GSA approved Class 5 security container to prevent access by unauthorized individuals. Operational keys must be stored in a separate GSA approved container. The spare and maintenance keys may be stored in the same security container. Note: Each high security padlock is supplied with two operator keys and one control key. Each Tufloc (shipboard use only) is supplied with two operator keys. Additional keys are available upon request from NAVFAC EXWC (Code CI8).

g. Seal-type locks referred to in this manual must be serially numbered, tamperproof and must be safeguarded when stored. The serial number of a seal must be shown on the government bill of lading. Cable seal locks are authorized in lieu of padlocks on railcars, trucks, trailers, crates and other shipping containers where "locked and sealed" security is specified (cable seal locks provide both the lock and the seal). Cable seal locks are one-time use, serialized, throwaway locks; several meet the Federal specifications identified in reference (t). Further information may be obtained from www.navfac.navy.mil/go/locks/.

4. Key, Combination and Lock Control.

a. The CO or designee must appoint in writing an AA&E key, combination and lock or access control custodian who will assure proper custody and handling of AA&E keys, combinations and locks. He or she may be assigned responsibility for all keys, combinations and locks or just those to AA&E spaces. Key, combination and lock custodians must not be unit armorers or persons authorized unescorted access to AA&E storage areas. Commands that do not use combination locks for safeguarding AA&E are not required to identify combination in their appointment.

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

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

(3) Explosive ordnance disposal detachment personnel authorized unaccompanied access may be designated as AA&E key, combination and lock custodians. This only applies to detachments where response to life and public safety mission requirements and limited manning does not allow for assignment of personnel without unaccompanied access to be assigned AA&E key, combination and lock custodian duties. In these instances, access to AA&E storage facilities must be protected by IDS or CCTV and positive two-person controls must be maintained at all times.

b. Maintain keys and combinations to AA&E storage areas that include buildings, rooms, racks, containers and IDS separately from other keys and combinations and allow access only to those individuals whose official duties require it. Keep a current roster of these individuals within the unit or activity, protected from public view. Roster must include name of individual authorized to receive keys, serial number or other identifying information and AA&E location. Keep the number of keys and combinations to a minimum (e.g., do not have more keys in inventory than needed as they increase inventory requirements, storage requirements and the risk of a security compromise). Master keying, keying alike of locks and the use of a master key system is prohibited for high security applications protecting AA&E.

c. Keys must never be left unattended or unsecured. When not attended or in use - that is, in the physical possession of authorized personnel keys to SRC I and II AA&E must be stored in GSA approved Class 5 security containers or weapons storage containers (shore facilities only). Keys to SRC III and IV AA&E may be secured in containers of at least 12-gauge steel or equivalent (other existing containers may continue to be used). This container must be secured with a GSA approved, built-in three position changeable combination lock or a built-in combination lock meeting the requirements of reference (u).

d. Shipboard key and combination storage must be per chapter 5, subparagraph 10.

e. For ships, operational keys to AE spaces must be kept on welded or brazed rings separate from rings with keys to weapons storage spaces. The purpose is to prevent theft, loss or

unauthorized reproduction of one key ring which could provide access to both weapons and ammunition.

Note: RFI AA&E lockers for response forces are exempt from the separation requirement for ammunition and weapons.

f. Keys, combinations and locks must be inventoried semiannually by a disinterested third party or a person not responsible for AA&E or authorized for unaccompanied access to AA&E. Maintain inventory records per table 1-2. A recommended template for the key inventory is located on the Navy AA&E Physical Security Web site at <https://nossa.dc3n.navy.mil/>. At a minimum, the inventory must:

(1) List the date of inventory.

(2) Printed name and signature of the person conducting the inventory.

(3) Complete 8 digit alphanumeric serial number (including 3 digit sub-serial number for high security padlock keys) of each key to show quantity of operating keys and control keys (where applicable) and spare keys. Combination information (as applicable).

(4) List the lock location and date of last rotation of each lock. Inventories must include all spare locks, cores and inoperable locks.

g. Maintain a key and combination control register to ensure continuous accountability of keys and combinations. All transfers of AA&E keys from person to person are required to be recorded in the key control register for accountability purposes. Retain completed registers per table 1-2. The key and combination control register must contain:

(1) Printed name and signature of the individual receiving the key or combination.

(2) Date and time of issuance.

(3) Key serial number, UII or combination numbers other identifying information. Registers containing combinations for classified information or material must be protected according to the highest classification being stored.

(4) Printed name and signature of the person issuing the key or combinations.

(5) Date and time the key was returned.

(6) Printed name and signature of the individual receiving the returned key or changing combinations.

Note: Automated key issuance systems using access cards, fingerprints or other means of individual identification are not authorized for control of high security keys. When electronic systems are used for key control records, the control procedures used for keys outlined in this instruction must apply. A recommended template for the key control register is located on the Navy AA&E Physical Security Web site at <https://nossa.dc3n.navy.mil/>.

h. When individuals, such as duty officers, are charged with the responsibility for safeguarding or custody of keys or combinations to AA&E areas, they will sign for the custody of keys, a sealed container of keys and combinations as applicable. When container custody is transferred, the seals must be checked and verified against the original container custody log. If seals are unbroken and intact, it is not necessary to physically count the keys with each change of custody. In afloat commands, they may sign for key rings as long as the weld has not been broken and the proper number of keys on the ring is verified.

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

j. Keys to armories, racks, containers or magazines must not be removed from the installation or ship except to provide for explosive ordnance disposal emergency response, protected storage elsewhere or for access to Navy storage locations that are not co-located on the facility where the keys are secured.

Note: Unauthorized possession of keys, key blanks, keyways or locks adopted by a DoD component to protect AA&E is a criminal offense punishable by fine or imprisonment of up to 10 years or both (18 U. S. C., Section 1386).

k. High security locks protecting AA&E spaces must not be part of a master key system or keyed alike. Locks protecting AA&E spaces must be individually keyed so that each key fits only one high security lock.

l. If keys or combinations are lost or stolen, replace the affected locks or cores immediately.

Note: Combinations will be changed when locks are placed into use and whenever persons knowing the combination no longer require access unless other sufficient conditions exist to prevent that individual's access to the lock or when the combinations have been subject to compromise.

m. Keys to high security padlocks and TUFLOCs that are not permanently stamped with an alphanumeric serial number have not been processed by NAVFAC EXWC (Code CI8) and are not authorized for use. These keys and their associated padlocks are not registered in the DoN Key and Lock Program and their use must be discontinued. The keys and locks must be sent to NAVFAC EXWC (Code CI8) at the address listed in paragraph 3.e to be rekeyed and recorded.

Note: Keys for the ILD are currently supported by NAVFAC EXWC (Code CI8). Request for keys or support for this lock should be directed to:

Commanding Officer
ATTN: Code CI8
Naval Facilities Engineering and Expeditionary Warfare Center
1100 23rd Avenue
Port Hueneme, CA 93043-4370
(800) 290-7607

n. New high security keys and padlocks must be ordered using the NSN's listed in appendix C. Requests for other lock and key support may be directed to NAVFAC EXWC (Code CI8) for supply and support as needed.

o. When custody of keys and combinations are transferred to a new key and combination custodian, both out-going and in-coming custodians will perform an inventory of all keys and combinations and verify all personnel access lists.

p. NAVFAC EXWC (Code CI8) must be notified of any permanent transfer of custody for locks and keys to ensure Navy custody records are updated for continued accountability and support for those assets.

q. Written records of combinations must be minimized and combinations must be committed to memory. Commands will implement a control system that ensures accountability and control of written combinations, keys and locks for AA&E storage structures and facilities. Reserve or replacement high-security padlocks, cores, keys and written combinations must not be removed from DoD-controlled space (off installation) except for cases of operational necessity. When not attended or in use, unclassified written combinations, operational keys, reserve or replacement high-security padlocks and cores must be secured as described in reference (a).

5. Access Control.

a. Per references (a) and (f), personnel allowed unaccompanied or unescorted access to AA&E storage spaces will be limited to those personnel needed for associated, essential operations. Those persons must be designated in writing by the CO only after a favorable Access National Agency Check with Written Inquiries or National Agency Check with Law and Credit is completed and they have been screened as required in chapter 1. Access to such areas for all personnel will be recorded (manually or electronically). The record of access must be retained for 1 year. The CO may delegate authority to approve visiting personnel with escorted access.

b. Personnel assigned to escort others in AA&E spaces must themselves meet the requirements for unaccompanied or unescorted access to those spaces, to include being on the appropriate authorized access list. A visitor's access log will be maintained listing the name of the person(s) allowed access, the person escorting, the person authorizing access, the time of access and the purpose. Maintain access logs per table 1-2.

c. Strict access control will be maintained at all gates or entrances leading into AA&E storage areas. Use a pass, badge, access roster or sign in and out system to properly identify authorized personnel. Maintain entry records per table 1-2. Privately owned vehicles (POV) are prohibited; exceptions may be allowed at Navy sites only at the discretion of the CO. General recreation is prohibited; however, hunting and fishing for control of game populations or other wildlife controls may be authorized by the CO per OPNAV-M 5090.1, paragraph 12-3.10 and reference (e), paragraph 2-1.6.4.

d. Security force personnel will check property passes of vehicles entering or leaving and perform routine or random inspections of vehicles and personnel entering, within or departing AA&E areas.

6. Arms Stowage. The criteria of this chapter is intended for sites where AA&E is maintained on a permanent basis during daily peacetime conditions, contingency sites and exercises. For sites not specifically covered in this instruction and expeditionary environments, commands will establish procedures to protect AA&E consistent with the intent of this chapter.

a. Safes, Arms Racks and Storage Containers. Arms in an armory will be stored in banded crates, standard or locally made arms racks, lockers, cages or a Class 5 GSA approved container (Weapons rack design, whether commercially procured or locally fabricated, must be lockable and able to prevent the removal of the weapon by disassembly or other means without leaving visual evidence of damage to the rack). Additionally, shipboard weapons stowage lockers or racks must meet ship design requirements for both security and shock.

(1) Secure arms racks and cages with low security padlocks (see appendix C). In facilities not continuously manned, arms racks and containers weighing under 500 pounds (empty weight) will be fastened to the structure or fastened together in groups totaling over 500 pounds. This can also be accomplished with chains secured with bolts (spot weld, peen or otherwise secured to prevent easy removal) or low security padlocks. Empty safes that are over 500 pounds are not required to be bolted or secured to the structure. Chains will be heavy duty hardened steel or welded, straight link, galvanized steel, of at least 5/16-inch thickness or equivalent per reference (a). An example of an equivalent chain is type 1, grade C, class 4, NSN 4010-00-149-5583, NSN 4010-00-184-3476 or NSN 4010-00-171-4427. Where such fastenings hinder operational requirements, the facility manager may waive this requirement. Additionally, where prefabricated armories (e.g., Armag) that are equipped with individual cages and only specific persons on an approved access list have access to each cage, this requirement is waived

(2) Hinged locking bars for racks will have the hinges welded, peened or otherwise secured to prevent easy removal of arms. Racks must be constructed to prevent removal of the weapon or disassembly of major components.

(3) When weapons are in transit, stored in depots or warehouses or held for contingencies, crates or containers will be fastened together in groups totaling at least 500 pounds and banded or locked and sealed.

(4) For consolidated arms rooms that use internal cages, the cages must be treated as individual lockers (and not require lockers internal to the cage) if they are operated as a storage container and not as a separate armory point for individual issue. Armorer control and limited access must be maintained.

b. IDS. IDS is required as detailed in chapter 2 and appendix B.

c. Security Lighting, Locks and Keys and Security Patrols are covered in chapter 2 and appendix C.

d. Facilities Located Off a Military Installation. In addition to meeting the requirements of this instruction, SRC II through IV arms must have the bolts removed and secured in a separate GSA approved Class 5 security container or GSA approved weapons container under any of the conditions identified in subparagraphs 6d(1) through 6d(5). This does not pertain to ready for issue arms at Recruiting Stations and Reserve Centers:

(1) Facility does not meet structural requirements of reference (a).

(2) Increased threat conditions.

(3) Inoperative IDS.

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

(5) At the discretion of the CO having direct security responsibility for the facility. Note: Removed bolts will be tagged with the weapon's serial number to ensure return to the same weapon. Etching of weapon's serial number on the removed parts is prohibited.

7. Clearing Barrels. Clearing barrels provide personnel a safe and effective means to properly clear, load and unload their assigned weapon(s). CO's and OIC's will ensure:

a. Clearing barrels are placed at or near AA&E facilities, guard facilities, RFI points and ranges. If written range procedures include the clearing of weapons on the firing line installed clearing barrels can be omitted.

b. Clearing barrels will be positioned away from high traffic and populated areas to ensure safety of bystanders in the event of a negligent discharge.

c. Weapons clearing procedures for all weapons approved to be cleared at the designated point will be displayed prominently near the clearing barrel.

d. A designated supervisor will supervise all weapons clearing.

e. Further guidance concerning weapons clearing procedures is provided in Navy Tactical Reference Publication 3-07.2.2, Weapons Handling Standard Procedures and Guidelines, Jan 2015.

f. For guidance concerning clearing barrel construction requirements refer to Marine Corps Order 8020.10A Marine Corps Explosives Safety Management Program Aug 2018.

8. Restricted Area Posting. Facilities containing AA&E must be designated and posted as a restricted area per references (a) and (h).

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

10. Resale Facilities and Exchanges. Minimum standards for Exchange Resale Facilities are:

a. Store AA&E per this manual.

b. Use only empty ammunition boxes for display.

c. Keep arms in display racks that are locked with low security locking devices (see appendix C) and kept under constant visual surveillance during open hours. Display only one model of each type of arm. Move all arms from sales areas to an approved arms storage area after open hours.

d. Conduct a 100 percent count daily and a 100 percent inventory by serial number weekly. Retain records for 3 years.

e. Comply with Federal legislation, State laws and local ordinances. Prominently display State laws and local ordinances next to where sales take place.

11. Navy Museums and Unit Displays. AA&E will be safeguarded per this manual unless it is certified as demilitarized under OPNAVINST 8026.2C and OPNAVINST 8020.14A. However,

historically significant items must be protected without damaging their operational or aesthetic value.

a. Storage. Secure arms and ammunition in an armory or appropriate container as detailed in this manual.

b. Display. Only antique or unique weapons may be displayed. Current arms must not be displayed if they are functional. They must only be displayed if they are modified to render them temporarily or permanently inoperable, such as by removal of firing pins or other key internal components (store these components separately in a secure container).

(1) On exhibit cases containing weapons, use locking hardware and break-resistant glass or plastic with secure mounting hardware. Other methods include attachment with wire to secure stanchions.

(2) Use an IDS with point sensors (preferably a balanced magnetic switch) on all doors and other man-passable openings and area (volumetric) sensors covering weapons display areas.

(3) For items exhibited in static outdoor displays, remove minor caliber weapons up to 25 millimeter (mm) from vehicles and mounts (they may be replaced with reproductions). Medium and major caliber weapons (3 inch and larger) should be rendered inoperable.

(4) Museum personnel must check arms displays every 2 hours during public visitation hours; security personnel must check the structure every 8 hours during closed hours.

c. Inventory arms by count every month and by serial number every quarter. Keep records for 3 years.

12. Low Risk AA&E. Physical security measures for low risk AA&E are minimum standards for AA&E which does not fit within an established SRC. This may include large naval weapons (e.g., aircraft-mounted 20-30 mm cannons) or nonlethal weapons. Level of risk can be determined for any ammunition or explosive item by using tables 8-1 through 8-5 in chapter 8. CO must evaluate the need to protect low risk AA&E according to the local threat and changing risk factors.

13. Minimum Security Measures for Low Risk AA&E.

a. As a minimum, the installation CO will designate AA&E storage areas as Level One Restricted Areas per reference (h) and provide the requisite protection, or alternative security measures which are deemed equivalent.

b. If feasible, classified low risk AA&E will be protected following reference (c). At a minimum, low risk AA&E classified secret or confidential will receive protection at least equivalent to that provided for SRC II and III respectively.

c. The security force will patrol open storage areas containing low risk AA&E at irregular intervals not to exceed 4 hours.

CHAPTER 4
ASHORE SECURITY REQUIREMENTS

1. Regionalization of Facilities. Security of shore based facilities relies on the facilities, structures, base security and personnel support as detailed in chapters 2 and 3. In areas where AA&E physical security functions and positions have been regionalized, the location or function of these services cannot impact the final requirements of this manual (i.e., response forces must be effectively dispatched to meet response time requirements. IDS alarm function and acknowledgement must be confirmed and records available for inspection etc.).

2. Host and Tenant Activity Relationships and Responsibilities. On facilities that are split between multiple commands, the requirements of chapter 1, paragraph 2 must be noted. While each tenant is responsible for the proper security of their AA&E, the host facility is responsible for coordination of the protective measures. This includes formal coordination that ensures the completion of AA&E physical security survey(s), either collectively or by individual tenants and the designation of responsibilities and duties of personnel that may share authority across commands (such as key custodians, accountability officers, etc.). Components of these coordination efforts are to be included in appropriate memorandum of understanding or agreement(s), Inter-service support agreement(s) and other formal documentation which details the responsibilities of the host and tenant(s). Navy facilities located OCONUS that are unable to implement certain requirements of this manual or supporting instructions based on the security requirements in that nation or status-of-forces agreements are required to address and request waivers and exceptions from this policy in their physical security plans.

3. Personnel with AA&E Duties. AA&E duties include, but are not limited to, activities such as key custodian, accountability, transportation, inventory, issuance, receipt, security response, etc. A list of personnel that have designated AA&E duties must be maintained by command to ensure that requisite training is provided and received.

4. Contractor Personnel. When contractor personnel are used to augment the government workforce in support of AA&E duties, contractor personnel screening, training, access control and other requirements of this manual must be included in contractual requirements and verified by the contracting command. Care must be taken to ensure that inherently government functions and duties are not contract

CHAPTER 5
AFLOAT SECURITY REQUIREMENTS

1. General.

a. This chapter includes security requirements which apply to all AA&E aboard USS and USNS vessels and U.S. Navy AA&E aboard contracted motor vessels while in port or underway. Surveillance requirements for AA&E are listed in appendix B.

b. Nuclear weapons capable ships will ensure that there is no confusion or ambiguity between nuclear and conventional munitions security procedures or requirements. While certain procedures, information and hardware may be used to ensure the security of both (such as guard force training, threat assessments and high security hardware), it is imperative to maintain nuclear and conventional security measures as unrelated, self-contained programs which operate independently of each other. Nothing in this manual pertains to the Nuclear Warfare Program.

c. IDS installation aboard ship must undergo the ships alteration design and approval process. IDS installations may be considered for additional shipboard installations where limited manpower does not allow adequate security for AA&E stowage locations. When IDS is installed, the requirements of chapter 2 of this manual apply. Shipboard emergency power does meet the requirement of a backup independent power supply.

d. Combatant shipboard non-nuclear weapon systems where ordnance is positioned in missile launchers, gun mounts with integral magazines, tubes or racks in ready-to-fire condition, are exempt from security requirements contained here. The systems must be provided with positive means to prevent unauthorized tampering, arming, launching or firing. This exemption does not apply to Nulka launchers. These launchers are fitted with a high security locking system and must be included in the AA&E physical security program that includes high security lock and key control, authorized access and inventory.

e. For storage of non-government AA&E (e.g., privately-owned), see chapter 1.

f. Details in this chapter list security requirements that are specific to the shipboard environment. Security procedures that pertain to the normal storage, handling and use of AA&E that are defined in the other chapters of this manual still apply to shipboard operations. Examples include proper key control, armory operations, etc.

2. Protection Priorities. Priorities for protection of AA&E, including response force priorities, are:

a. Spaces used to store man-portable hand-launched rocket or missile systems in a ready-to-fire configuration and explosive rounds for such weapons;

- b. Magazines and lockers containing classified ordnance or grenades and demolition explosives;
- c. Armories and lockers containing small arms and small arms ammunition;
- d. Topside AA&E lockers;
- e. Installed shipboard weapon systems where ordnance is positioned in launchers, gun mounts with integral magazines, tubes or racks in ready to fire condition (see chapter 5, paragraph 1d);
- f. Magazines and lockers containing pyrotechnics and ammunition 40 mm and smaller; and
- g. Magazines not covered in subparagraphs 2a through 2f containing explosive items or ammunition larger than 40 mm.

3. General Requirements for Armory, Magazine and Ready Service Locker Storage. Armories, magazines and ready service lockers (RSL) aboard ship will be constructed to meet storage requirements for SRC I and II AA&E. All AA&E assigned a SRC will be stored in armories, magazines or RSL's. SRC I and II AA&E storage spaces with IDS protection will be checked at least every 24 hours; without IDS, they will be physically checked randomly within 4 hour periods at sea and randomly within 1 hour periods in port.

a. Magazines and RSL's are to be kept closed, locked and if equipped with IDS, armed, except when opened, specifically for inspection, ventilation, testing or authorized work.

b. RFI AA&E may be secured as specified in chapter 2 paragraph 4c. in lieu of the structural requirements detailed in this chapter.

c. All AE for use during exercises and operations at sea, including that used for safety or lifesaving (except that which is an essential component of life saving equipment; e.g., life raft pyrotechnics) stored in ready service lockers (RSL) without high security features will be returned to secure storage upon return to port.

d. Topside RSLs that are empty are not required to be secured with a high security padlock, however, in place of a high security padlock empty RSLs must be secured with a low security padlock, security seal or type 1 or 2 traceable seal so that unauthorized access can be detected. Empty sealed RSLs must be inspected daily to verify the seal is intact.

e. Storage of all AE is subject to established explosives safety and compatibility requirements contained in reference (d).

4. Structural Requirements for Armories and Magazines. At a minimum, bulkheads will be constructed of 14-gauge steel. Decks and overheads will be constructed of similar strength material. Expanded metal is not a suitable substitute. On ships with aluminum superstructures, superstructure bulkheads 1/8-inch thick are adequate. Bulkheads constructed of double-walled extruded aluminum and aluminum honeycomb types are not acceptable. Bulkheads will be of continuously welded construction, except solid core rivets or mechanical fasteners (minimum 1/4-inch in diameter) will be used for fastening dissimilar metals. Security hardware and locking devices, consistent with this manual will be included in new ships construction. Security related items will be included in ships drawings.

5. Requirements for Doors and Hatches of Armories and Magazines.

a. Entrances to AA&E spaces will be held to a minimum, consistent with safety requirements and efficient operations.

b. Entrance doors will be as shown in NAVSEASYSCOM standard drawings. They will be constructed of a minimum 14-gauge steel, except for those identified in subparagraphs 5b (1) and (2).

(1) Sheathing of existing doors with 14-gauge steel is acceptable.

(2) On aluminum hull ships, doors as designed will suffice. However, double wall extruded aluminum and aluminum honeycombed construction are not acceptable and will be replaced with aluminum doors as shown in NAVSEASYSCOM standard drawings.

c. A non-removable observation port must be provided in entry doors of armory spaces. Such doors will be fitted with an interior locking device (e.g., hook and staple or deadbolt) which will be locked when the armory is manned. Observation ports must be open for viewing in both directions at all times. New observation ports and replacements will follow NAVSEA Drawing No. 803-6397269.

Note: NAVSEA Drawing No. 803-6397269 depicts a four-inch clear opening observation port. For evaluation of acceptability, existing observation ports must have an opening size less than 96 square inches.

d. When armories are issue points for small arms and ammunition the armory door should be equipped with a day gate. Day gates are used to separate restricted arms storage areas from common spaces during normal operating hours. The day gate should be equipped with a weapons issue point. The size of the weapons issue point must be held to an operational minimum (typically 190 square inches) as required to accommodate standard issue items. A dutch-style door may be used for the day gate. The top half of the door should include a standard weapons issue point and the top half of the door can be opened to issue larger weapons and ancillary equipment that will not fit through the issue point. The top half of the door must be

securable from the inside with a deadbolt or other locking device to prevent access to the armory from the outside. When not in use, issue ports will be secured with material comparable to that forming the adjacent walls.

e. Main personnel entrances to AA&E spaces will be provided with normal and emergency lighting (may be relay or battery-operated battle lanterns) sufficient to allow examination of locking devices. Submarines, topside lockers and entrances to AA&E spaces opening onto weather decks are excluded from this requirement.

f. Main personnel entrances to AA&E storage spaces will be posted with signs reading "RESTRICTED AREA, KEEP OUT" (or "SECURITY AREA, KEEP OUT") and "AUTHORIZED PERSONNEL ONLY" or close equivalent. Topside lockers and entrances opening onto weather decks do not require such signs.

g. Hinges will be located within the secured area whenever possible. Where hinges are located outside the secure area, the door will be fitted with hinge security brackets (minimum of two or continuous strip) so that the door cannot be defeated by disassembly or removal of the hinge. See NAVSEA S9086-XG-STM-010, Naval Ships' Technical Manual for Shipboard Ammunition Handling and Stowage, 31 July 2007 for examples of hinge side protection.

h. Doors other than the main personnel entrance and emergency escapes must be secured from the inside with sliding bolts, bars or pins.

i. When a trunk serves only one deck, high security hardware at the trunk entrance will suffice for multiple magazines on the same level.

6. Requirements for Small Arms Racks, Lockers and Containers.

a. Within armories small arms must be stored in arms lockers of 14-gauge steel with hinge security hardware, GSA approved security containers or any gauge metal gun racks with rack locking devices (e.g., locking bar, cable, chain, etc.) and approved low security lock(s) (see appendix C). If, however, armory spaces are also used as divisional work centers (and therefore not always under the control of the armorer), high security locks are required and gun racks must not be used.

b. Small arms stored in lockers or spaces having high security hardware with sole access from within an armory meeting high security criteria do not require rack locking devices.

c. Small arms within lockers do not require rack locking devices if the locker meets shipboard high security construction requirements, is fitted with high security hardware (lock, hasp and hinge side protection) or if the space in which the locker is located is manned 24 hours a day.

d. Where equivalent or higher security standards exist, modification to spaces as required by this section will not be undertaken.

e. New and retrofitted topside ordnance lockers will be constructed of a minimum of 14-gauge steel. Lockers made of 1/8-inch-thick aluminum may be used to meet high security requirements as necessary, except that aluminum topside ordnance lockers must not be used to store grenades, demolition material or incendiary material. All will have high security locks and high security hasps that meet the requirements of appendix C along with at least two hinge security brackets (or a continuous strip).

7. Requirements for AA&E Emergency Escape Scuttles and Hatches.

a. Emergency escape scuttles and hatches must not be padlocked from the inside.

b. Outside locking devices for emergency scuttles and hatches with permanently installed quick acting double (top and bottom) hand-wheels will be a hinged box of 14-gauge steel with protected hinges or a locking bar of 1/4 inch minimum 300 series stainless steel. The box or bar must be secured with an approved high security-locking device per appendix C. That method is also approved for scuttles and hatches with removable hand-wheels or flush scuttles and hatches operated with a "T" wrench.

c. Where a box and padlock on top of a closure is an unacceptable tripping hazard, the locking device may instead be a toggle pin on the inside which constrains movement of dogging devices.

d. Exterior locking devices (other than hinge boxes) on emergency escape scuttles and hatches will be removed whenever the space is manned.

e. Install a label plate on top of escape scuttles with one-inch red letters reading: "ESCAPE SCUTTLE, DO NOT OBSTRUCT OR BLOCK." Where escape scuttles are required to be locked, also install a label plate on the main entry reading: "ESCAPE SCUTTLE TO THIS SPACE MUST BE UNLOCKED AT ALL TIMES WHEN THE SPACE IS OCCUPIED."

f. Escape hatches cannot provide unauthorized access into another AA&E magazine or stowage area as a means of emergency escape. On ships that do not utilize a segregated trunk for emergency escape, the escape hatch or scuttle leading from an AA&E magazine must lead to a non-restricted area or passageway.

8. Requirements for AA&E Elevators.

a. Commands must ensure that unauthorized access to AA&E storage areas cannot be gained by way of elevator trunks. Internal securing of man-moveable elevator hatches and doors

within the AA&E storage area can be accomplished by internal locks, locking pins and bars or dogging capabilities which cannot be bypassed from outside.

b. Doors controllable only from within the secured area do not require locking systems.

c. Where "J" doors are installed, the elevator platform will be secured and controls outside the secure spaces will either be made inoperable or locked to prevent unauthorized use.

d. Elevator "J" doors must be secured at the lowest level with the end interlocking device locked with an approved lock per appendix C.

9. Openings in AA&E Storage Spaces. Each opening or duct of 96 square inches or more with the least dimension greater than 6 inches must be protected by steel bars (minimum 3/8-inch steel rods with maximum 4-inch spacing) or 6-gauge steel or stainless steel 1-inch x 1-inch wire mesh. Bars and wire mesh will be welded to steel frames securely anchored to the structure by smooth head bolts or welding.

10. Locking Systems and Key Control. Locking systems will be complete and compatible; e.g., locks, hasps, etc. must be applied to doors, hatches and frames so that each element is compatible and structurally equivalent, with the whole unit offering a relatively uniform resistance to attack. In addition to the provisions in chapter 3, the requirements identified in subparagraphs 10a through 10g apply:

a. AA&E storage space entrances, unless secured from inside, must be secured with a high security locking system per appendix C. Local tender-constructed hasps are not authorized.

b. Doors to AA&E storage areas storing other than SRC I do not require high security hardware if these areas are served by a common compartment or trunk on the same deck with a single entrance which has high security hardware.

c. Doors or hatches, other than the main personnel entry, may be secured from the inside using sliding bolts, bars or pins. Emergency exits may use appropriate emergency hardware.

d. Topside ordnance lockers must be secured with a high security hasp and lock listed in appendix C of this manual.

e. Appendix C and the Naval Ships Technical Manual S9086-UK-STM-010, chapter 604 Locks, Keys and Hasps, 12 December 1998 provide additional details.

f. Key control will be as described in chapter 3, with the exceptions annotated in subparagraphs 10f(1) through 10f(3) of this chapter:

(1) Maintenance and spare keys to SRC I and II AA&E must be stored in a GSA approved Class 5 or 6 security container or GSA approved Class 5 weapons storage container, separately from operational keys. Operational keys must be stored in a GSA approved Class 5 or 6 security container or GSA approved Class 5 weapons storage container. When GSA approved security containers are not available, operational keys that are issued on a regular basis must be stored in a permanently mounted weapons storage locker or key cabinet equipped with approved high security hardware listed in appendix C, tables C-1 through C-3 or GSA approved, built-in three position changeable combination lock or a built-in combination lock meeting requirements of reference (u), located in the ship's armory. Ship's armory must also be equipped with approved high security hardware listed in appendix C tables C-1 through C-3. The key to the key cabinet or locker must be in the custody of the ship's armorer.

(2) Onboard Submarines, keys must be stored in the stateroom safe of the Weapons Officer or AA&E lock and key custodian, with a minimum of hourly security checks by below deck security watch or roving security watch.

(3) When the custody of keys is transferred to a new key custodian, both the out-going and in-coming key custodians will perform an inventory of all keys and verify all personnel access lists. Additionally, an inventory of all SRC arms and SRC I and II AE only will be conducted.

g. To allow for damaged locks and lock rotation, spare locks or lock cylinders totaling 10 percent of the total number of locks in service must be kept. Spare locks and keys must be stored in a GSA approved Class 5 or 6 security container or a locked container or key cabinet within the ships armory. Operational, spare and maintenance keys may be stored in the same security container, however, some type of separation (e.g., separate drawers, sealed storage containers) must be used.

11. Storage of Crew and Ship's Marine Detachment AA&E.

a. Small arms will be stored in lockers or metal racks within a designated secured space. Detachment arms may be stored in detachment berthing areas in approved weapons security racks. Keys for racks and lockers will be under the control of the detachment CO.

b. GSA approved Class 5 security containers are authorized for storage of small arms in lieu of small arms lockers or racks.

Note: This authorization does not pertain to embarked troops.

c. The minimum essential amount of small arms ammunition for designated response force weapons may be stored with those weapons (see ready-for-issue storage in chapter 2).

d. Small arms (including pyrotechnic pistols unless required at anchorage for drills or actual use) stored in ready service racks or boxes while at sea will be returned to the ship's armory upon entering port.

12. Stowage of Embarked Troops' AA&E.

a. A ship's A&E allowance may be stored with landing force operational reserve material if the containers are clearly marked to differentiate the two.

b. Shipboard storage of all small arms for embarked troops will be in armories, small arms lockers, arms racks or shipboard designated ordnance spaces. Rifles stored in troop berthing areas will be secured in approved rifle racks or lockers. Each rifle rack lock will be keyed differently.

c. The keys to the key cabinet or repository will be in the custody of the ship's armorer. However, when troops are embarked, the armory key cabinet or repository may be relocated as designated by the CO of the embarked troops.

d. Rifles not stored in approved rifle racks or lockers will be returned to the troop armory upon entering port.

e. When troop arms and ammunition exceed the capacity of troop armory and magazine spaces, maximum use will be made of unused space in the ship's armory and magazines, respectively.

f. When secure space is not available for a portion of the embarked troops' AA&E, metal containers are authorized for storage providing the space is designated a restricted area and the containers are under direct observation by a 24 hour armed guard. The armed guard may be a member of the embarked troops or the ship's crew.

13. Storage Aboard Submarines.

a. Torpedoes in submarine torpedo rooms are exempt from the security requirements contained here.

b. Stowage of high-risk AA&E, such as for special operating forces, must be secure from pilferage or tampering while on board. If approved containers or spaces cannot be used to physically provide such protection, then an exception must be requested to the requirements of this manual, citing alternative means to provide equivalent security. Alternate means of protecting these AA&E items may include procedural actions, use of containers, blocking stowage spaces with torpedo bodies, frequent inventories, use of serially numbered seals, etc.

c. Operational keys to AA&E must remain in the custody of qualified individuals in a perpetual state of issue.

d. Spare operational and maintenance keys and locks to all SRC AA&E must be secured in the weapons officer or AA&E lock and key custodian's stateroom safe. The safe must be equipped with a built-in GSA approved combination lock meeting the requirements of reference (p), (q), or (u).

14. AA&E Inventories.

a. The ship will conduct scheduled inventories of AA&E as required per references (i) and (j). Additionally, inventories of arms and SRC I and II items will be conducted upon relief of the CO, the accountable officer and upon commissioning or deactivation.

b. The ship will maintain a current inventory of all AA&E on board. Partial or open containers of ordnance will be inventoried by piece count, noted on the container, then resealed or banded so that daily magazine inspections may readily detect unauthorized entry.

c. The OIS-Wholesale is a classified system which is the single repository for worldwide status of Navy expendable non-nuclear ordnance. In addition to OIS reporting of all Navy munitions, all units will maintain stock records that provide continuous accounting per references (i) and (j).

d. Maintain all AA&E records per table 1-2. Note: NAVSURFWARCENDIV CRANE, maintains a registry of all DoN arms. Refer questions to the Navy Small Arms and Light Weapons Registry:

Commanding Officer
ATTN: Code JXNP, Bldg. 3422
NAVSURFWARCENDIV CRANE
300 Highway 361
Crane, IN 47522-5001
E-mail: Cran_Annual@navy.mil

15. Access Control.

a. Personnel allowed unaccompanied or unescorted access to AA&E storage spaces will be limited to those personnel needed for associated, essential operations. Those persons must be designated in writing by the CO only after a favorable Access National Agency Check with Written Inquiries or National Agency Check with Law and Credit investigation is completed and they have been screened as required by chapter 1. Access to such areas for all personnel will be recorded (manually or electronically). The CO may delegate authority to approve visiting personnel with escorted access.

b. Personnel assigned to escort others in AA&E spaces must meet the requirements for unescorted entry to those spaces, to include being on the appropriate authorized access list. A visitor's access log will be maintained listing the name of the person(s) allowed access, the person escorting, the person authorizing access, the time of access and the purpose. The access list must be posted inside the ship's armory protected from public view. Maintain access logs for 3 years.

c. The command will maintain a list of personnel authorized access to AA&E spaces; one copy kept by the ship's administrative department and one copy posted inside the armory protected from public view.

Note: The AA&E access list may be combined with the key access roster. Commands will ensure the requirements for both documents are met as outlined in this instruction.

16. Issuance and Custody Receipt for Small Arms. Each arms room will maintain a weapons issue log to ensure continuous accountability of weapons. Maintain records for 1 year. Ensure individuals conform to the requirements of reference (d) and have a signed DD Form 2760 before issuing a weapon. Log must contain:

- a. Name and signature of the individual receiving the weapon and associated ammunition.
- b. Date and hour of issuance.
- c. Serial number and type the weapon received.
- d. Amount of ammunition (if applicable).
- e. Printed name and signature of the individual issuing the weapon.
- f. Date and hour the weapon was returned.
- g. Printed name and signature of the individual receiving the returned weapon.
- h. All personnel receiving small arms for personal protection, security of DoD assets, support of expeditionary operations or special missions must have requalified annually in live fire and completed semi-annual sustainment training between qualification shoots as specified in reference (m).

Note: For bulk weapon issues (range qualifications, return to NAVSURFWARCENDIV CRANE) standard supply documents, DD Form 1149 or DD Form 1348-1A may be utilized.

17. Response Force and RFI AA&E Storage.

- a. Each ship will have a response force of at least two armed duty personnel responding to attempts to penetrate AA&E spaces. The response force must arrive at the AA&E spaces within five minutes of an alarm.
- b. The response force will be drilled at a frequency prescribed by fleet or type commanders. Date, time and results of response force drills, including deficiencies and corrective action taken, will be recorded and maintained for at least 3 years.
- c. The response force will be trained and qualified with the small arms which they carry, as specified in reference (m). Training must be documented in each person's training folder. Response force members will know response priorities by compartment for key areas, weapon systems and critical AA&E.
- d. Whenever an intruder is reported at large, the response force will be armed and deploy to the location of the most critical AA&E. Under no circumstances will the response force assist in searches or be assigned additional duties when deployed in such situations.
- e. The response force will be trained in the use of force per reference (k). A statement acknowledging such training will be signed by each member of the response force and filed in each person's training folder.
- f. A duress system will be provided for security and duty personnel to call for assistance. Code words or gestures will use common language and motions and will be changed frequently to preclude discovery.
- g. The response force must know duress codes and applicable response procedures, including use of deadly force in connection with duress response.
- h. Duty supervisors will conduct periodic, unscheduled visits to all security posts, spaces and patrols at least once each watch.
- i. Before persons are assigned AA&E security related duties they will be screened per chapter 1.
- j. RFI AA&E storage will meet the requirements of chapter 2.

18. Quarterdeck Sentries. In foreign ports, posted quarterdeck sentries will be armed. However, COs may temporarily waive, on a case-by-case basis, the arming of posted quarterdeck sentries when in foreign ports if in their judgment such arming might heighten tension or civil unrest. In such cases, however, the response force will be armed and ready to deploy. Arming of other watch personnel, sentries, guards or roving patrols will be at the discretion of the CO.

19. Physical Security Surveys of AA&E. Each ship will conduct physical security surveys of AA&E as required in chapter 1. Surveys will be conducted at least every 6 months and records of the surveys will be maintained per table 1-2.

20. Special Requirements for Military Sealift Command (MSC) Ships.

a. MSC small arms and ammunition for the ship's reaction force are considered RFI at all times. IDS or CCTV may be installed to preclude random checks. These systems must allow monitoring of hatches and doors that access AA&E from the bridge or gangway while underway and while in port. If monitoring systems are unavailable, AA&E spaces will be checked randomly every 8 hours at sea and hourly in port.

b. MSC controlled ships will store their own arms and ammunition (for use by ship's crew and embarked security detachments) in GSA approved Class 5 weapons storage containers or weapons racks in an RFI status. Ships that have an armory may store arms and ammunition in a reaction force RFI locker and relocate it to the armory during in port or reduced manning periods. Embarked security detachment's small arms, crew served weapons and ammunition are considered RFI for the duration of the embarkation and may be stowed together in the ship's armory or RSL.

c. AA&E cargo carried on board MSC ships will be protected according to the requirements of this manual.

d. On MSC pre-positioned ships, containerized AA&E cargo will be placed in the center of the holds with access only via the closed overhead hatches. On large, medium speed, roll-on roll-off ships and container ships, the containers will be stowed against bulkheads or door-to-door to prevent access. Containers that must be stored in the open will be secured with electronic security seals, monitored on the bridge. If electronic security seals are unavailable, containers will be checked randomly every 8 hours at sea and hourly in port. This requirement may be waived at the Master's discretion where entries have remote detectors that are alarmed and allow remote monitoring from the bridge or damage control central or machinery console control system.

e. Break-bulk munitions (palletized or in individual crates, boxes, etc.) are to be stowed using false decking so that, to the greatest degree possible, munitions are inaccessible. Access doors and hatches will be locked consistent with Code of Federal Regulations requirements and monitored with visual and audible alarms.

f. Special Mission ships that carry SRC IV signal underwater sound charges for underwater surveys will stow them in above-deck lockers that can be jettisoned from the ship.

g. For Sealift Program (managing point-to-point cargo ships) AA&E ships, containerized AA&E cargo will, whenever possible, be stowed door-to-door or door-to-bulkhead to limit

access to cargo while aboard ship. Containers that must be stored in the open will be closed with electronic security seals, monitored on the bridge and in-port quarterdeck. Palletized AA&E cargoes will be stowed in holds with limited access. Cargo will be inspected every 8 hours or daily while underway. This requirement may be waived at the Master's discretion where entries have remote detectors that are alarmed for all entries and allow remote monitoring from the bridge while underway and from the quarterdeck area while in port. If ship's force is not adequate to provide inspections, or more frequent monitoring is required, supercargo (personnel accompanying cargo) or military personnel may be used.

CHAPTER 6
TRANSPORTATION

1. General.

a. This chapter prescribes transportation security standards and procedures used in safeguarding categorized AA&E, as described in chapter 8 and for safeguarding CAT-U HC/D 1.1 through 1.6 AE. Classified AA&E must be stored and transported as required by this manual, references (c) and (h). Where specific individual requirements differ between the documents, the more stringent requirement will be followed.

b. The task is to provide security commensurate with the military value of the shipment and to safeguard it against loss, theft or damage. CO and their designated representatives may modify requirements on a case-by-case basis when common sense and mature judgment dictate. Such modifications will be reported to NOSSA to assist in reevaluating the applicable security standard and to determine if a change is in order. Nothing in this chapter relieves the CO from the responsibility for safeguarding AA&E in transit.

c. COs may direct additional Transportation Protective Services (TPS) based on threat determinations and evaluations of a particular movement.

d. TPS for conventional ordnance items is described in reference (v). Safety, security and traffic management guidance and direction concerning the transportation of A&E is addressed in reference (w).

2. Roles and Responsibilities.

a. The theater Unified Commander's Navy Component Commander, with support from SDDC and MSC, will:

(1) Ensure the TPS measures used for AA&E items are established in applicable tariffs, government tenders, agreements or contracts.

(2) Negotiate with commercial carriers for establishment of TPS measures to meet shipper requirements.

(3) Determine the adequacy of the services provided by commercial carriers for movement of AA&E items.

(4) Provide routing instructions when requested by shipper.

b. In addition, the Commander, SDDC will:

(1) Develops, administers and maintains joint transportation security procedures for the commercial movement of AA&E.

(2) Serves 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.

c. The Air Mobility Command is responsible for ensuring the adequacy of the services provided for movement of AA&E items by military airlift worldwide and by commercial airlift procured by Air Mobility Command.

d. The MSC is responsible for ensuring the adequacy of the services provided by military and commercial ocean carriage of AA&E items.

e. This chapter does not relieve accountable officers of their responsibilities to safeguard and account for AA&E.

3. Standards. The transportation security policy and standards for AA&E by SRC, as set forth in chapter 8, 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 TPS, but not less than that required by the SRC assigned to the item. Use of commercial transportation services outside of CONUS will adhere as closely as practicable to the requirements contained in paragraphs 4 through 17 of this chapter. When such services cannot be obtained, compensatory measures identified in subparagraphs 3a through 3k must be taken to achieve equivalent security standards.

a. Every effort will be made to consolidate shipments per dimensions of items and best value considerations.

b. Small arms weapons and the same caliber ammunition must be shipped separately when being transported by commercial carriers.

c. Where available, export and import shipments will be processed through military managed and operated air and ocean terminals or through DoD approved commercial air and ocean terminals.

d. Shipments of AA&E scheduled for demilitarization and retrograde shipments will receive the same TPS as other AA&E shipments.

e. When feasible and in consideration of item design, sections will be shipped separately from launch and guidance and control sections. See paragraph 4c of this chapter for special instructions concerning SRC I missiles.

f. Security provided for AA&E at military and commercial terminals must conform to the physical security standards set forth in appendices B and C. The standards will be provided to the commercial carrier by SDDC.

g. Shippers will apply DoD approved seals on motor vehicle shipments of material requiring TPS as defined in reference (v). Application of the seal by the shipper does not constitute a request for exclusive use. Additionally shipments must be checked immediately upon receipt to ensure that the security seals are intact and for any signs of damage or tampering. If there are such signs, perform an immediate inventory to verify quantities received and to determine the extent of any damage or tampering. If the security seals are intact, perform quantity verification on SRC I and II AA&E within 24 hours, on SRC III and IV AA&E within 48 hours. The requirement to check seals and verify quantities received includes shipments of all SRCs of AA&E and CAT-U HC/D 1.1 through 1.6 AE.

h. SRC I shipments may not be shipped via rail unless coordinated and approved by NOSSA. SRC II should not be shipped by rail during FPCON Charlie and Delta unless coordinated and approved by NOSSA. For rail shipment of SRC III, IV and CAT-U items, the carrier must advise the consignee immediately upon arrival of the shipment at the holding yard serving the consignee or immediately upon arrival at the consignee's activity.

i. CAT-U HC/D 1.1 through 1.6 AE will be afforded the same TPS as SRC III and IV. Limited quantities of HC/D 1.4 will be shipped with the TPS per reference (v).

j. TPS will be established commensurate with the established FPCON. FPCON policy and procedure is defined in references (a) and (v).

k. AA&E shipments arriving at Navy destination installations and activities during non-delivery hours must be accepted by consignees and provided appropriate protection commensurate with the sensitivity category of the delivered items. Refer to paragraph 15 of this chapter for secure holding area physical security.

4. Special Considerations for SRC I Items.

a. Shipments of SRC I material by all modes will provide a continuous audit trail from shipper to consignee with advance certification of serial numbers of individual items or certified items. Two-person certification is required; that is, each container must be checked by two responsible agents of the shipper, sealed and locked in their presence before delivery to the carrier. This rule applies at transshipment points and terminals whenever the original 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.

b. For unit or organization movements, SRC I material will be placed in the custody of a commissioned or warrant officer, enlisted person E-6 or above or government civilian employee general schedule-6 or above, wage leader-1, or wage supervisor-1.

c. When item design and manufacture specifications for personnel portable SRC I ordnance indicate separate packaging for main body sections, launchers, guidance and control components, these sections or components will be transported separately; e.g., in separate intermodal containers such as military vans (MILVAN), sea vans (SEAVAN), or container express (CONEX) or separate motor vehicles. The Stinger missile, SRC I and the Stinger grip stock, SRC III, will be shipped in separate intermodal containers (MILVAN, SEAVAN and CONEX) or separate motor vehicles. Movements aboard military prepositioned ships are excepted.

d. At overseas commands, local nationals may accompany U.S. personnel when status-of-forces agreements prohibit arming of U.S. personnel.

5. Special Considerations for Naval Special Warfare (NSW) Command Commercial Shipments.

a. For shipments of arms and ammunition to unique training locations, NSW Command will ensure weapons and ammunition are shipped in separate commercial conveyances. NSW Command personnel will be responsible for the receipt of commercially transported arms, ammunition and for establishing appropriate safeguards and providing security for arms and ammunition shipped to unique training locations not equipped with storage facilities constructed per this instruction. Note: At no time will the ship-to facility be responsible for the receipt of NSW Command arms and ammunition.

b. Increased physical security measures will be established in the event NSW Command arms and ammunition require movement due to increased vulnerability such as natural disasters, national emergencies, civil uprisings or periods of increased threat from terrorists or criminal elements.

6. Special Considerations for Water Shipments.

a. AA&E will be transported via the Defense Transportation System (DTS) using MSC-controlled vessels or U.S. flag vessels (with at least two ship's officers who are U.S. citizens accepting security responsibility). When MSC-controlled vessels or U.S. flag vessels are not available, MSC may approve use of foreign flag chartered vessels if:

(1) The AA&E owning Military Service is notified in writing in advance.

(2) The carrier and ship's personnel are reasonably vetted per MSC-established guidelines.

(3) MSC specifies security and accountability measures which will compensate for lack of direct U.S. control.

(4) There will be no port calls between departure port and port of destination; and

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

b. COs at all levels will assess the threat and vulnerability to AA&E that will transit through their area of responsibility. They should consider the type of sealift assigned to the mission (government-owned, government-operated, government-owned, contractor-operated, contractor-owned, contractor-operated and foreign or U.S. flag time or voyage charter). Also, consider the SRC of the AA&E, HC/D of AE, the threat assessment(s) and the FPCON(s). COs at all levels will then employ appropriate actions such as crew screening, use of electronic seals, transponders or other technology solutions, embarked security (mobile security force, fleet antiterrorism security team, embarked security detachments, combatant escort).

c. Per references (a) and (v), pre-stowage planning must consider security concerns such as ordnance cargo compatibility segregation, the securing of ordnance cargo in locked and sealed separate intermodal containers such as MILVAN, SEAVAN or CONEX and the stowage so that doors are not accessible to stevedores or ship's crew during ocean transit. The containers will be subject to periodic surveillance by the vessels captain or ships officers. Break-bulk cargo should be stowed in this order of priority:

(1) Lockers, reefer boxes or deep tanks that can be locked and sealed;

(2) 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.

d. Specific locations of AA&E shipments, with any special considerations, will be indicated on the final stow plan and presented to the responsible ship's officer.

7. Special Considerations for Air Movements. See reference (v).

8. Special Considerations for Small Quantity Shipments of AA&E, Classified, Protected and Sensitive Cargo.

a. For the current guidance when shipping small quantities of AA&E, refer to references (a) and (v).

(1) Small Arms. Small arms are defined for shipping purposes as SRC II through SRC IV weapons that do not fire a round greater than .50 caliber and do not fire fully automatic and

shotguns of any gauge. Any weapon that fires more than one round per trigger pull is considered an automatic weapon.

Note: Per reference (v), ammunition and small arms weapons must be shipped separately. Small quantities of arms (15 or fewer) may be shipped by DoD-approved commercial transportation service providers (TSP) munitions carriers, next generation delivery service (NGDS) Contract carriers and the United States Postal Service (USPS) Registered Mail (Designated person return receipt requested). Small quantity shipments through USPS must not include machine guns. 50 caliber machine guns will not be shipped via NGDS unless military operational necessity is authorized, as a minimum, at the field commander, squadron commander or designated authority level.

(2) AE. AE must be shipped separately. AE may be shipped by freight all kinds carriers, DoD-approved commercial TSP munitions carriers, commercial munitions carriers and NGDS carriers. Explosives must be transported by commercial munitions carriers or by the Military Service personnel, DoD employees or contractors.

(3) Cartridge Actuated Devices (CADs) and Propellant Actuated Devices (PADs). CADs and PADs may be shipped by DoD-approved commercial TSP commercial munitions carriers and freight all kinds carriers. NGDS TSPs carriers may be used to transport CAD and PAD shipments weighing 150 pounds or less total gross weight (which includes hazard packaging materials and packaging) of Unclassified HC/D 1.4C, 1.4D and 1.4S. No shipment of CADs or PADs via USPS is authorized.

(4) Classified Material: Classified material may be shipped by DoD-approved commercial TSP munitions carriers, NGDS domestic contract carriers and the USPS Registered Mail (Designated person return receipt requested).

(5) Protected and Sensitive Shipments: Per reference (v), protected and sensitive shipments may be shipped by DoD-approved commercial TSP munitions carriers and NGDS domestic contract carriers only.

b. Arms returned to Central Navy Storage should be shipped to:

Receiving Officer
NAVSURFWARCENDIV CRANE
300 Highway 361
Bldg 2522 Code N
Crane, IN 47522-5001

9. Organic and Unit Movements and Training. Movements will adhere as closely as practical to the commercial standards set forth in reference (v), except that Satellite Monitoring System is not required. The level of physical security protection varies with the FPCON status at origin

and at destination. Note that SRC I movements off-station require the accompaniment of a security escort vehicle under all FPCON conditions. Consult chapter 9 for direction concerning physical security for movements that take place on military transshipment terminals.

a. Per references (e) and (w) two explosive drivers are required for all AA&E movements off-station. For AA&E movement's off-station, the drivers must maintain two-way radio communication capability with the originating installation, the destination installation and municipal law enforcement and emergency response officials along the planned route. Military movements of AA&E on and off-station will adhere to the requirements cited in this paragraph, except that armed guard surveillance will be subject to local command policy and direction based on the assessed threat and the need to safeguard mission integrity.

b. Per reference (w), the Navy must not transport cargo in excess of 100 miles, one-way, unless an approved deviation is authorized by NOSSA. Navy elements may seek a deviation via the NOSSA Web site at <https://nossa.dc3n.navy.mil/nrws3/>.

(1) On receipt of an approved deviation to transport in excess of 100 miles, one-way, the transporting activity must post usage data (origin site, destination site, transport distance, HC/D, net explosive weight, departure date, reason for self-transport and point of contact) to the NOSSA Web site prior to transport commencing. The NOSSA Web site address is: <https://nossa.dc3n.navy.mil/nrws3/>.

c. Off-station transport of small quantities of explosives by explosive ordnance disposal personnel and in the transportation of military working dog explosives training aids is authorized. These evolutions will normally not require armed guard surveillance unless otherwise directed by the CO in response to heightened threat conditions. The explosives must be in the custody of designated explosive ordnance disposal or military working dog personnel or secured in designated vehicles. Use of POVs may be authorized by the CO.

d. On a case-by-case basis, COs may authorize, in writing, transportation of small arms and limited quantities of associated ammunition, HC/D 1.4S, except .50 caliber and safety of life at sea (SOLAS), using POV or government vehicles. The COs authorization may also include CONUS transport of .300 Win Mag, 30-06, 7.62 mm, 5.56 mm, .45 caliber, 9 mm and .22 caliber ammunition of up to 12,000 rounds for Director of Civilian Marksmanship Program affiliated clubs. When POVs are used, consistent with the vehicle design, the arms and ammunition must be securely stowed and protected from view. A locking mechanism must be provided for stowage spaces aboard the POV. See reference (e) for additional requirements to transport limited quantities of small arms ammunition.

(1) For small arms ammunition, these movements are restricted to transportation between ammunition issue points and facilities for marksmanship training, qualification, competition or other related requirements on or near the station. While in transit, the ammunition must be in the custody of designated military or security personnel. For government vehicles a DoD Form

1907 Signature and Tally Record and a DD Form 2890 DoD Multimodal Dangerous Goods Declaration, must be issued to the custodian personnel. The arms and ammunition must be under constant surveillance during stops en route to destination. Full-package quantities of ammunition must be packaged in sealed military specifications wooden or wire bound wooden boxes. Less than full package quantities must be transported in sealed military specifications inner containers such as M1, M2, or M19 series metal containers. Unless otherwise designated in writing by the CO, weapons and ammunition of the same caliber must not be transported aboard the same motor vehicle.

(2) For SOLAS materials, these movements are restricted to transportation directly to the pier, from magazine, for maintenance aboard ships and small craft. While in transit, the ammunition must be in the custody of designated personnel. The materials must be under constant surveillance during stops en route to destination and must be packaged in the original container or kits provided by the manufacturer.

(3) For both SOLAS and small arms ammunition, the packages must be secured in the cargo compartment to prevent lateral movement and the cargo compartment must be equipped with a locking mechanism. The cargo compartment must be separated from the passenger compartment by suitable means. The vehicle must also be equipped with one serviceable fire extinguisher. The driver must possess a valid state driver's license. If government vehicles are used, drivers must also possess a Government Motor Vehicle Operator's Identification Card (OF-346). When movement is by POV, a valid state driver's license is sufficient for both civilian and military drivers. Under these particular circumstances, the explosives driver training criteria described in NAVSEA SW020-AF-HBK-010, paragraph 2-2, are not applicable.

10. Movements by Commercial Carrier. See reference (v). Carrier employees will also meet the personnel screening requirements in chapter 1 of this manual.

11. Reports. Overages, shortages and damages must be reported per reference (v), chapter 209.

12. Overseas In-Theater Movements. COs of OCONUS installations will use discretion in providing adequate security when transporting AA&E cargo. Host nation requirements, local threat conditions and personnel staffing will be taken into consideration. To the extent feasible, TPS provided OCONUS will adhere as closely as possible to the established requirements for CONUS movements. When such service cannot be obtained, compensatory measures will be taken to achieve equivalent security standards.

13. Foreign Military Sales (FMS) Shipments.

a. U.S. Navy officials authorized to approve a FMS transaction that involves the delivery of sensitive or classified U.S. AA&E and CAT-U HC/D 1.1 through 1.4 explosives to a foreign purchaser will, at the outset of negotiations or consideration of proposals, consult with DoD transportation authorities (SDDC, MSC, Air Mobility Command, or other agency, as

appropriate) to determine whether secure shipment from the CONUS point of origin to the ultimate foreign destination is feasible. Normally, the United States will use the DTS to deliver sensitive AA&E to the recipient government. If, in the course of FMS case processing, the foreign purchaser proposes to take delivery and custody of the AA&E in the United States and use its own facilities and transportation for onward shipment to its territory, the foreign purchaser or designated representative will be required to submit a transportation plan for DoD review and approval. The plan, as a minimum, must specify the storage facilities, delivery and transfer points, carriers, couriers or escorts and methods of handling to be used from the United States point of origin to the final destination and return shipment when applicable. Security officials of the Navy activity that initiates the FMS transaction will evaluate the plan to determine whether it adequately ensures protection of the most sensitive SRC AA&E involved. Unless the Navy activity approves the transportation plan as submitted or modified to U.S. security standards, shipment by other than DTS will not be permitted. Transportation instructions or the requirements for an approved transportation plan will be incorporated in the security requirements of a Letter of Offer and Acceptance per DoD Directive 5105.65, Defense Security Cooperation Agency, 26 October 2012.

b. Shipment will be made according to this chapter, until released to an authorized representative as delineated in DLM 4000.25 Volume 6, Defense Logistics Management Standards, Volume 6 Logistics Systems Interoperability Support Services, 5 June 2012 of the purchasing government at the port of embarkation or port of debarkation as appropriate.

c. Shipments of classified AA&E to foreign governments will be performed per reference (c) and (f).

d. During FMS negotiations, the purchasing government will be advised of the applicability of this manual to the security of the AA&E procured. Shipments will be closely coordinated with the authorized representative of the purchasing government to ensure use of secure storage facilities that essentially meet the requirements of this manual and that shipment manifests are available at the port of embarkation and port of debarkation before shipments are delivered and released to the recipient country agent in CONUS.

e. For overseas movement, SRC I AA&E should be under U.S. security control to POD unless waived by the Defense Security Assistance Agency in coordination with the Director, Security Plans and Programs, Office of the Deputy Under Secretary of Defense for Policy. Foreign Military Sales agreements will be so written. SRC I shipments returning from overseas will be placed under U.S. security control upon arrival at Customs Territory of the U.S.

14. Contract Movements.

a. Navy contracts that procure AA&E requiring TPS will normally be written to require free on board origin only. For contractor-to-contractor shipments, contracts will be written to require transportation security equivalent to DoD standards contained in reference (v), chapter 205.

Contracts must also specify contractor involvement in emergency response procedures per Title 49, Code of Federal Regulations and provide for compliance with the concerning carrier employee identification requirement.

b. AA&E cargo procured under third party contracts will be shipped per the requirements of this manual. All such shipments are further restricted to military-controlled ports or commercial ports approved by the DoD Explosives Safety Board and security approved by SDDC. The requirements are also applicable to contracts involving foreign procured OCONUS AA&E.

c. For deliveries of AA&E to U.S. Navy contractors from foreign contractors, the contract monitor will coordinate with applicable Theater Commands to arrange equivalent in-country security for delivery only to the nearest U.S. controlled port facility.

15. Security of Commercial Shipments at USN Installations.

a. In the interest of safeguarding shipment security and public safety, Navy activities involved in the receipt, storage and issue of DoD owned AA&E are required to assist commercial carriers by providing safe haven for motor vehicles engaged in the transport of these sensitive materials. Assistance may be in response to civil disturbances, natural disasters, hazardous road conditions, vehicle breakdowns, evidence of breaches of cargo integrity, safety, security, terrorist threat conditions, vandalism and driver illness. Other circumstances beyond the driver's control, which create a need for assistance, may include response to delivery, receipt and in-transit dispatching contingencies and changing patterns of shipper demands for service. Responsiveness to carrier requests for assistance can be influenced by the prevailing FPCON, the SRC of the AA&E and the level of security offered by the Navy activity.

b. Secure Holding Area. A secure holding area is a location within an activity which is designated as a secure holding location in the Transportation Facilities Guide and will afford secure holding. It is a restricted area that is used for the temporary parking of commercially owned motor vehicles with lading consisting of government owned AA&E materials. To qualify as a secured area, the site must meet the physical security criteria detailed in references (a), (v) and chapter 2 of this manual. Secure holding areas used for AE must also comply with the ESQD requirements of references (b) and (e). The size of the lot, net explosive weight limits and physical security accommodations will vary per activity depending on local requirements and the volume and velocity of inbound and outbound AE traffic.

c. Installation commanding officers and directors will ensure that information contained in the Transportation Facilities Guide is maintained and identifies the installation's ability to provide secure hold services for vehicles carrying DoD titled AA&E. Transportation offices can update the Transportation Facilities Guide via the SDDC website <https://www.sddc.army.mil/tfg/Pages/TFG.aspx>.

d. Secure Holding of SRC I and II AA&E. To provide secure holding of SRC I and SRC II AE, the holding yard or area must be under constant surveillance. Constant surveillance means the shipment must be under continuous full-time observation while the motor vehicle is parked in the holding yard or area. The constant surveillance requirement can be met in one of three ways identified in subparagraphs 15d(1) through 15d(3).

(1) The area can be equipped with IDS and CCTV.

(2) A security guard can be posted to provide dedicated continuous watch over the shipment-the security guard must remain within 100 feet of the shipment or motor vehicle while maintaining full unobstructed view thereof.

(3) Subject to activity CO or OIC discretion, driver(s) or other qualified carrier representative remains in the cab of the vehicle, is fully attentive to the task at hand (not in sleeper) or remains within 100 feet of the vehicle while maintaining full unobstructed view thereof. Note: AA&E materials that are shipped with a secret classification will be afforded the same physical security protection as SRC I and II AE.

e. Safe Haven. Allows for on-installation vehicle parking under an emergency situation such as, but not limited to, driver illness, terrorist or criminal suspicious activity, civil disturbance, mechanical breakdown, serious weather related events (e.g. blizzards, flooding etc.) or natural disasters (e.g. hurricanes, earthquakes, tornadoes etc.). The origin transportation officer must schedule shipments to arrive at the destination within normal receiving hours, making every effort to avoid layover of shipments during weekends, holidays and non-receiving hours. This instruction and references (v) and (w) require that installations and activities offer safe haven to motor carriers who have encountered an emergency situation during the transport of DoD AA&E.

f. These regulations also require that Navy destination activities accept AA&E shipments arriving to deliver during non-business hours. In either case, the activity must ensure the vehicle is parked in a holding yard or area and provided appropriate protection commensurate with the SRC of the delivered items. The activity CO or OIC will provide temporary parking at an alternate site on-station that will meet compatibility restrictions, ESQD protection to the maximum possible extent and lightning protection requirements of reference (e). SRC I and SRC II AA&E will be provided the level of physical security protection detailed in references (v), chapter 205 and (w), chapter 2. Safe haven is strictly temporary in nature and is intended to minimize the length of time AE is in the public domain.

g. Vehicles carrying AA&E must be removed from the safe haven area as soon as practicable upon determination by the CO, OIC or appropriate civil authorities that any threat to the shipment's integrity has diminished. The facility security plan must also consider options to temporarily protect DoD AA&E shipments that may seek access onto a Navy installation, when, due to ESQD limitations, the sited secure holding area is not available. Each facility must

identify alternative sites within their installation in which a DoD AA&E shipment could be temporarily secured. These sites should be located within areas that provide a level of security, as well as minimize exposure to public safety and to base personnel.

h. Munitions Carrier Access to DoD Installations in Response to Varying FPCON Levels. FPCON Bravo, Charlie and Delta contingencies may arise that will cause a carrier to seek safe haven for the impacted AA&E shipment at the nearest DoD activity. Under these circumstances, the motor vehicle carrying the AA&E cargo will be allowed access to the activity's safe haven area and will remain parked in that area pending mitigation or elimination of the existing threat. This principle applies regardless of whether the AA&E cargo is or is not destined for delivery to the activity from which the carrier is requesting assistance. Safe haven access in response to FPCON Bravo, Charlie and Delta requests for assistance will follow the same safety and security criteria applicable to holding yard or area access in response to safe haven emergency requests as explained in paragraph 15.d of this chapter.

i. OCONUS Security. For deliveries of AA&E to USN or USN contractors from foreign contracts, the contract administrator will coordinate with applicable theater commands to arrange equivalent in-country security for delivery only to the nearest U.S.-controlled port facility.

16. Report of Shipment (REPSHIP).

a. All Navy CONUS AA&E shipping activities processing Defense Transportation Tracking System (DTTS) shipments to DoD CONUS activities are required to use the DTTS Web site for transmittal of REPSHIPS to receiving activities for shipments requiring Satellite Motor Surveillance Service (SNS). DTTS will automatically generate and forward the REPSHIP to the receiving activity. The submission of REPSHIPS via traditional fax or e-mail is no longer required for shipments sent from CONUS Navy AA&E activities to DoD CONUS activities. Activities must enter the shipment load data into the global freight management system. Once the data is entered, the relevant REPSHIP data elements are automatically sent to DTTS. Upon receipt, DTTS will automatically create and forward an electronic REPSHIP to the receiving activity. All Navy CONUS AA&E receiving activities must confirm delivery receipt of SRC I and II shipments using the DTTS Web site. For shipments not requiring SNS, shippers must continue to submit REPSHIPS via normal fax or e-mail transmission. DTTS Web site, <https://www.sddc.army.mil/dtts/default.aspx>.

b. When a classified or SRC I or II shipment is not received within 12 hours of its estimated time of arrival (24 hours for SRC III or IV) and the delivering carrier cannot provide a reasonable explanation for the delay, the origin transportation officer will be notified to begin tracing procedures.

17. Shipper Duties and Responsibilities.

a. The duties and responsibilities of the point-of-origin transportation officer are defined in reference (w), chapters 1 and 2. b. Shipments will be traced immediately upon notification of non-delivery.

c. Bills of Lading (BOL) will be annotated to indicate type of TPS requested (e.g., protective security service, dual driver protective service, security escort vehicle, SNS, rail armed guard surveillance service, rail inspection service, military traffic expediting service, constant surveillance service and trailer tracking service), whether the seals are carrier-or shipper-owned, whether the conveyance was sealed by the carrier or the shipper and the seal serial numbers. A statement will be conspicuously placed on the BOL, "Notify consignor and consignee using 24 hour telephone numbers immediately if shipment is delayed en route". Contract host nation drivers may also be instructed to seek refuge on a host nation military installation. For rail shipments of SRC I through IV items, the carrier must advise the consignee of the shipment's arrival at the holding yard serving the consignee and of its arrival at the consignee's activity. The BOL should also reflect this requirement.

d. When Signature and Tally Record service is used, the DD Form 1907 will be furnished to the commercial carrier's representative who will be instructed that the document must be completed, signed and surrendered with the bill of lading to the consignee. When dual drivers are involved with the shipment under dual driver protective or protective security services, both drivers must sign the DD Form 1907.

e. The shipper must notify the consignee prior to a shipment's departure (see REPSHIP requirements per paragraph 16.a of this chapter)

f. An approved numbered seal must be used for all applications specified in reference (v), chapter 205. Advance notice of shipment to the consignee and shipping papers presented to the carrier will specify that flame- or heat-producing tools will not be used to remove seals from conveyances used for shipments of AE.

18. Transportation Discrepancy Reporting.

a. Transportation discrepancies must be documented via completion of a DD Form 361 transportation discrepancy report per instructions in reference (v), chapter 210 and (w). The transportation discrepancy reporting will be used to report excessive delays in-transit, damaged shipments, security irregularities and other deficiencies. Upon discovery of a discrepancy in shipment, the activity receiving office will:

(1) Immediately notify the local security office if the cited deficiency indicates an actual or suspected breach or compromise of security.

(2) Notify the SDDC per reference (v), chapter 210 in CONUS.

19. On-Station Movements and Accountability.

a. Movements via Commercial Vehicles. All transportation security criteria apply except that SNS is not required. AA&E contained in commercial vehicles outside of restricted areas must be under constant surveillance.

b. Movement via Organic Vehicles. All transportation security criteria apply except that SNS is not required. On station movements of AA&E via motor vehicle may be conducted with one explosive driver. AA&E contained in organic conveyances (government owned or leased) outside of restricted areas must be under constant surveillance.

c. Accounting for Movements of SRC I and SRC II AA&E. On station movement of arms and SRC I and II AA&E by motor vehicles or other conveyances will not begin until appropriate accountability entries are documented in log books or production records or until receipt and issue forms have been completed. The unit of measure will be the designated unit of issue for each AA&E item. Receipt and issue documentation will accompany the conveyance. For movements between points on-station, a procedure for continuously recording transfer of custody will be maintained using either individual receipt and issue documents, production records containing receipts or log books. All documentation will include the quantity and type of SRC I and II AA&E, date and time of transfer and a legible signature of the person receiving custody.

d. Accounting for Movements of AE during Manufacturing and Renovation Processing. For AE manufacturing and renovation operations performed on station and involving bulk explosives, propellants or illuminants, movement accountability will start when and where the items in process become finished products.

20. Movements within a Restricted Area. All transportation security criteria apply except that SNS is not required. However, drivers of commercial vehicles must ensure that all DTTS obligations are satisfied with respect to shipment status and that SRC I and II AA&E movements must be conducted with conveyance seals in place. Movements of other than SRC I and II may be conducted without conveyance seals in place. Movements of AA&E via organic motor vehicle may be conducted with one explosive driver. For unit or organic movements of SRC I and II AA&E no conveyance seals are required; however, the accountability for movement must be per paragraph 19.c of this chapter.

21. Temporary Storage in Vehicles, Vans and Railcars.

a. AA&E contained in vehicles, vans and railcars must be parked in designated restricted areas. Each door to the conveyance will be secured by a serial numbered Type 11 or 12 cable seal that meets the requirements of reference (t). Use of padlocks is discouraged. Protection will be provided for stocks of numbered seals and seal inventory records to prevent theft or alterations to documents which accompany movements and shipments to points inside and outside the activity.

b. For SRC I and II ordnance, AA&E conveyances parked in designated restricted areas will be attended or observed by duty personnel or guards (via CCTV is acceptable if an access control system or IDS is also utilized), during operating hours. Per reference (a) for SRC III and IV material, each vehicle, van and railcar will be physically inspected by a security patrol every 4 hours during non-operating hours.

c. Details regarding security standards for AA&E secure holding areas on DoD installations designated as secure holding locations are listed in chapter 2 of this manual.

CHAPTER 7
REPORTS AND INVESTIGATIONS

1. General.

a. A thorough investigation will be made of missing, lost, stolen or recovered AA&E to determine the circumstances of the loss, theft or recovery and to determine responsibility as appropriate. Inventory and accountability losses must be investigated thoroughly. Note: Before any loss can be attributed to an inventory or accountability discrepancy, it must be determined through investigation that the loss was not a result of theft, abandonment or misappropriation. Under no circumstances will investigative reports for AA&E give inventory or accounting error as a probable cause for missing AA&E until a NCIS or command investigation so indicates. This chapter does not apply to privately-owned weapons.

b. Per reference (a), Navy units will promptly submit appropriate information relating to missing, lost, stolen or recovered AA&E to the local NCIS office and per references (i), (l) and (x). NCIS will make National Crime Information Center report entries and also notify the Navy Small Arms and Light Weapons Registry (NAVSURFWARCENDIV CRANE (Code JXNP)) and NAVORDSAFSECACT INDIAN HEAD MD (N9E), when applicable. Information will also be submitted to the National Crime Information Center and Navy Small Arms and Light Weapons Registry for recovery of Navy or other DoD arms. NCIS offices will report significant losses of AA&E as identified in paragraph 2.a to the Bureau of Alcohol, Tobacco and Firearms within 72 hours. NCIS will also provide appropriate information on theft or suspected theft of AA&E to local police and Federal Bureau of Investigation.

2. Reports.

a. OPREP-3 Navy Blue Incident Reports. Per references (a) and (x), significant incidents involving AA&E, Navy activities will send message reports detailing the circumstances surrounding such incidents to OPNAV N41, plain language address directory CNO WASHINGTON DC/N41 and NAVORDSAFSECACT INDIAN HEAD MD, with copies to the CoC and, in the case of missing arms, Navy Small Arms and Light Weapons Registry plain language address directory NAVSURFWARCENDIV CRANE IN/JXNP. OPNAV N41 will in turn notify the higher Navy and DoD echelons after occurrence or discovery. Confirmed theft, loss recovery or inventory adjustment of the items identified in subparagraphs 2a(1) through 2a(7) will be considered significant and will be reported per reference (a) and (x). Incidents identified in subparagraphs 2a(8) through 2a(12) will also be reported per references (a) and (x).

(1) Missiles, rockets and arms, to include silencers, mufflers and noise suppression devices.

(2) 5,000 rounds or more (or 20,000 rounds of .38 caliber or 9 mm) of ammunition smaller than 40 mm, five rounds or more of ammunition 40 mm and larger.

(3) Any fragmentation, concussion or high explosive grenades, artillery or ground burst simulators or other type of simulators or devices containing explosive materials.

(4) Individual mortar, grenade and missile rounds.

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

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

(7) Demolition explosives including detonation cord, blocks or sticks of explosives (e.g., C-4, dynamite, etc.) and other explosives.

(8) Armed robberies or attempted armed robberies of AA&E facilities.

(9) Forced entries or attempted forced entries into AA&E facilities.

(10) Evidence of terrorist involvement.

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

(12) Evidence of trafficking or bartering for illegal drugs, etc., regardless of the quantity of AA&E involved.

b. The Navy Small Arms and Light Weapon Registry at NAVSURFWARCENDIV CRANE will promptly report loss, theft or recovery of arms to the DoD Central Registry and OPNAV N411.

3. Command Investigation. When NCIS declines to investigate missing AA&E, it will immediately notify the security officer of the accountable or host command, who will then perform an investigation. The AA&E accountability officer will ensure all applicable documents and personnel are available. The security officer will:

a. Investigate the circumstances surrounding the loss, including inventory and custody records, applicable security procedures and hardware, spaces where the AA&E was last seen and applicable key control or access logs;

b. Interview the individual specifically accountable for the lost AA&E, as well as those with recent access or security-related responsibilities in the area;

c. Using the data from investigation, interviews and records, determine the most likely cause of the loss; and

d. Report findings in writing, with recommended corrective action, to the CO. Corrective action may include disciplinary action, appropriate training of personnel or procedural changes in AA&E handling. The security officer's report must reflect the final disposition of investigative action, including recoveries and disciplinary action, as appropriate. Per reference (a), maintain reports for 3 years.

CHAPTER 8
SECURITY RISK CATEGORIES

1. General. This chapter lists specific AA&E items in SRCs I through IV and provides a table for categorizing AE items not specifically listed (an exception to using tables 8-1 through 8-5 is when there is Tri-service agreement to place an item in a different SRC than that indicated by the table). It should be noted that the SRC codes used throughout this manual are categorized as CIIC for shipping and stowage purposes per DoD Manual 4100.39, Federal Logistics Information Systems Procedures, 8 March 2017). Classified ordnance items are assigned a CIIC that designates both the classification of the item and the SRC designation. Classified ordnance must be stowed per chapter 1 of this manual (e.g., A CIIC 5 item is an item with a SRC of I that is classified secret).

a. Any single container that contains enough parts that, when assembled, will perform the basic function of the end item, will be categorized the same as that end item.

b. Newly developed missiles and rockets similar to those in SRC I will be included automatically in that SRC as they come into the inventory.

2. Missiles, Rockets and Electronic Countermeasures.

a. SRC I. Missiles and rockets in a ready to fire configuration or jointly stored or transported with the launcher tube and grip stock and the explosive round, for example: Redeye, Stinger, Dragon, Javelin, light anti-armor weapon (LAW) (66mm), shoulder-launched multi-purpose assault weapon (SMAW) rocket (83mm), M136 (AT4) anti-armor launcher and cartridge (84mm). Additionally, AE that is classified or has a CIIC commensurate with SRC I such as NULKA.

b. SRC II. Missiles and rockets that are crew-served or require platform-mounted launchers and other equipment to function. Included are rounds of the tube-launched optically tracked weapon (TOW) missile and Hydra-70 rockets.

c. SRC III. Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function, such as the Hellfire missile. Additionally, AE that is classified or has a CIIC commensurate with SRC III, such as acoustic devices and countermeasures.

3. Arms.

a. SRC II. Examples include:

(1) M14, M16 and M4s.

(2) Light automatic weapons up to and including M249, M2 .50 caliber and 40 mm MK19 machine guns. Treat 20mm and 30mm guns (M242, M197 and similar weapons) as SRC II arms if not mounted on a secure vehicle or installed on an aircraft.

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

b. SRC III. Examples include:

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

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

(3) Tracker for the Dragon missile.

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

(5) Grenade launchers (single shot).

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

(7) Flame throwers.

(8) The launcher, missile guidance set or the optical sight for the TOW and the Javelin command launch unit.

c. SRC IV. Examples include:

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

(2) Handguns.

(3) Recoilless rifles up to and including 106mm.

4. AE.

a. SRC I. Complete explosive rounds for SRC I missile and rockets.

b. SRC II.

(1) Hand or rifle grenades - high explosive and white phosphorus.

(2) Mines, antitank or antipersonnel (each with an unpacked weight of 50 pounds or less).

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

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

c. SRC III.

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

(2) Incendiary grenades and fuzes to high explosive grenades.

(3) Blasting caps.

(4) Supplementary charges.

(5) Bulk explosives.

(6) Detonating cord.

(7) Warheads for sensitive SRC I-IV missiles and rockets weighing more than 50 pounds but less than 100 pounds each.

d. SRC IV.

(1) Ammunition with non-explosive projectiles (unpacked weight of 100 pounds or less).

(2) Fuzes, except for high explosives as addressed in paragraph 4c(2).

(3) Illumination, smoke and CS grenades.

(4) Incendiary destroyers.

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

(6) Ammunition not in another SRC identified in subparagraphs 4a through 4d.

(7) Explosive compounds and components of sensitive missiles and rockets (except warheads) (e.g., igniters, fuzes, rocket motors, propelling charges, explosive bolts, etc.).

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

e. CAT-U. Examples include, AA&E such as those items with numerical ratings of 13-16. AA&E that are CAT-U or generally exceed an unpacked weight of 100 pounds must have security policy developed by the responsible DoD Component. Components can request assistance from NOSSA for security policy development.

5. Computation of SRC. Navy activities must use Tables 8-1 through 8-5 to determine the numerical value of each risk factor (utility, casualty or damage, adaptability and portability) and compute the overall risk and SRC. To determine the numerical rating corresponding to risk, select one value from each table (tables 8-1 through 8-4) and then total the four numbers. Use the total to obtain the overall SRC value from risk factor SRC Conversion table (table 8-5).

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

Table 8-1 Utility Risk Factor Values.

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

Table 8-2 Casualty or Damage Effect Risk Factor Values

Adaptability	Risk Factor	Description
High	1	Usable as is without modification. Easy to employ without the use of other components.
Moderate	2	Slight modification. Other components required; or can be used with slight modification.
Low	3	Major modification. Other components not available in the commercial market are required; or can be used with modification that changes the configuration.
Impractical	4	Requires specific 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.

Table 8-3 Adaptability Risk Factor Values

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

Table 8-4 Portability Risk Factor Values

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

Table 8-5 Risk Factor Numerical Values and SRC Conversion

CHAPTER 9
PHYSICAL SECURITY AT MILITARY TERMINALS

1. General. This chapter prescribes standards for protecting conventional AA&E at military transportation terminals per reference (a). For terminals with a separate, long-term storage mission, storage criteria of chapters 2, 3 and 4 of this manual apply to the long-term (over 30 days) storage areas. AA&E cargo will be protected with priority given to higher SRC AA&E.
2. SRC Identification. To provide appropriate security protection, terminals will establish procedures to ensure prompt identification of SRC cargo. When cargo cannot be immediately identified upon arrival, it will be secured as SRC I pending identification.
3. Temporary Storage (Less than 30 days).
 - a. SRC I through IV cargo may be temporarily stored outside in dedicated storage areas that are fenced and lighted. The fencing and lighting requirements of this manual apply.
 - b. Temporary storage areas or individual conveyances containing SRC I and II items will be provided with IDS and CCTV or constant surveillance (continually monitored CCTV or human surveillance). When IDS or CCTV is used, a supervised armed guard patrol of the areas or conveyances must be made at least once a day during non-working hours.
4. Cargo Movement.
 - a. SRC I and II. Each conveyance or integrated grouping of five or fewer conveyances moved within the terminal will be under continuous surveillance of at least one terminal or contractor employee (under contract to the terminal to handle cargo).
 - b. SRC III and IV. Constant surveillance of cargo being moved within the terminal will be maintained by terminal or contractor employees (under contract to the terminal to handle cargo). Where the terminal area is physically separated from a long-term storage area, movement between the areas will be under continuous surveillance of at least one terminal or contractor employee (under contract to the terminal to handle cargo) for each conveyance.
 - c. Terminal Movements. Where the terminal areas are physically separated from a long-term storage area, movement between these areas must be under constant employee surveillance, with at least two drivers meeting applicable requirements for each conveyance.
5. Terminal Area Security.
 - a. Waterfront and Ships at Berth. When ships with AA&E on board are at berth or present at piers, the area will be patrolled by security patrol at irregular intervals not to exceed 30 minutes. If an integrated CCTV and IDS system is employed, security patrols of the area must

be conducted once every 4 hours during non-duty hours. Waterborne patrols must be used to augment land-based patrols where feasible.

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

6. Seals and Twists. Terminals will install seals that meet the requirements of reference (t) and Department of Homeland Security, Users Guide on Security Seals for Domestic Cargo, January 2007 on all AA&E conveyances on which the original shipping seals is removed. Additionally, all conveyances will have a number-5 American wire gauge steel wire twist or wire cable of larger or equivalent thickness when used with an approved steel trap seal, can be used to secure conveyance doors when bolt and cable seals are not available or when a door closure mechanism does not accommodate use of bolt or cable seals. Checking seals and twists for evidence of breakage or tampering will be made a part of regular patrol or surveillance procedures and of pier loading procedures. Seals on SRC I and II AA&E will be verified by number once each 8 hours during non-duty hours.

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

8. Terminal Entry Controls. Piers, waterfronts, AA&E storage and processing areas must be appropriately designated and posted as "RESTRICTED AREAS." Pedestrian and vehicle control systems must be implemented within these areas. Entry records must be maintained for a minimum of 90 days. Pedestrians and vehicles must be subject to random inspection and a visitor control system must be implemented. Where feasible, entry to the AA&E storage and processing areas must be separately controlled from the terminal administrative areas. Unless allowed by the terminal commander, POV must not be permitted into AA&E storage and processing areas.

APPENDIX A
REFERENCES

- (a) DoD Manual 5100.76, Physical Security of Sensitive Conventional Arms, Ammunition and Explosives (AA&E), 17 April 2012
- (b) Defense Explosives Safety Regulation 6055.09, Edition 1, 13 January 2019
- (c) SECNAVINST 5510.36B
- (d) NAVSEA OP 4 Twelfth Revision, Ammunition and Explosives Safety Afloat, 15 July 2019
- (e) NAVSEA OP 5, Volume 1, Seventh Revision, Ammunition and Explosives Safety Ashore, 15 January 2001
- (f) SECNAV M-5510.30 of June 2006
- (g) CNO NAVADMIN 234/04 (Navy message 201606Z Oct 04) Subject: Implementation of the Domestic Violence Misdemeanor Amendment to the Gun Control Act for Military Personnel
- (h) OPNAVINST 5530.14E
- (i) NAVSUP P-724 Revision 24 Conventional Ordnance Stockpile Management Policies and Procedures, 8 May 2020
- (j) OPNAVINST 8015.2C
- (k) SECNAVINST 5500.37
- (l) NAVSEAINST 8370.2D
- (m) OPNAVINST 3591.1F
- (n) DoD Manual 4160.21 Vol 1 Defense Demilitarization: Disposal Guidance and Procedures, 22 October 2015
- (o) MIL-HDBK-1013/1A, Military Handbook, Design Guidelines for Physical Security of Facilities, 15 December 1993
- (p) FF-L-2937, Federal Specification Combination Lock, Mechanical, 31 January 2005
- (q) FF-L-2740B, Federal Specification Locks, Combination, Electromechanical, 15 June 2011
- (r) UFC 4-022-03, Security Fences and Gates, 1 October 2013
- (s) FF-P-2827A, Federal Specification: Padlock, Key Operated, General Field Service, 27 November 2002
- (t) FF-S-2738A, Federal Specification: Seals, Antipilferage, 30 March 1999
- (u) Underwriters Laboratories, Inc. Standard UL 768, Standard for Combination Locks, January 6, 2006
- (v) DTR 4500.9-R Part II, Cargo Movement, May 2019
- (w) NAVSEA SW020-AG-SAF-010 Eleventh Revision, Navy Transportation Safety Manual for Ammunition, Explosives and Related Hazardous Materials, 1 February 2017
- (x) OPNAVINST F3100.6J

APPENDIX B
SURVEILLANCE REQUIREMENTS FOR AA&E STORAGE

1. Surveillance may be by operational or security personnel or it may be via CCTV if also accompanied by IDS. If a facility does not meet the security construction requirements as detailed in this manual, there must be an approved waiver or exception in place to stow SRC I-IV AA&E. Note: Approved storage facilities must provide security resistance as detailed by reference (o). Concrete construction, if thickness and reinforcing are not correct, may not meet security standards. Frame construction can be “hardened” to increase its attack resistance and thus meet the minimum standards.

<u>SRC Category</u>	<u>Storage Location</u>	<u>IDS Status</u>	<u>Physical Checks</u>
SRC I Missiles, Rockets and Electronic Countermeasures	All storage locations ashore and afloat.	-Without IDS.	-Constant surveillance. Afloat: randomly every 4 hours at sea; each hour in port.
		-With IDS.	-Each 24 hours.
SRC II (HIGH RISK) AA&E	Approved storage locations afloat.	-Without IDS but with high security locks and hasps.	-Each 24 hours.
		-With IDS.	-Each 24 hours.
	Approved Navy magazines.	-Without IDS.	-Constant surveillance.
		-With IDS.	-Patrol each 24 hours.
	Temporary storage in open storage areas, railcars, vehicles, aircraft, inadequately secured structures, ready service magazines & lockers, rooms, research, development, test and evaluation test ranges or areas, production buildings.	-Without IDS.	-Constant surveillance by station or security personnel.
-With IDS.		- Each 8 hours.	

All Small Arms (SRC's II through IV) Ashore	All types of storage.	-Without IDS.	-Constant surveillance.
		-With IDS.	-Patrol each 24 hours for SRC II; no patrol for SRC III & IV.
SRC III (MODERATE RISK) AE, Acoustic Countermeasures Ashore	On-station reinforced concrete construction. (or other approved storage)*	-Without IDS.	-Patrol each 24 hours.
		-With IDS.	-No patrol required
	On-station frame construction.* (substandard construction)	-Without IDS.	-Each 12 hours.
		-With IDS.	-Patrol each 24 hours.
	Temporary storage in open storage areas, railcars, vehicles, aircraft, etc. (Also see chapter 6 paragraph 21 and chapter 9)	-Without IDS.	-Continuous surveillance by activity personnel during operating hours; one check every 4 hours during non-operating hours.
		-With IDS.	-Each 24 hours.
	Temporary storage in inadequate physical security storage for ready service (lockers, rooms, research, development, test and evaluation test ranges or areas, production buildings, etc. that do not meet physical security construction standards)	-Without IDS.	-Each 4 hours during non-operating hours.
		With IDS	-Each 24 hours
SRC IV (LOW RISK) AA&E Ashore.	On-station reinforced concrete or frame construction.	-Without IDS.	-Patrol each 24 hours and check each 48 hours.
		-With IDS.	-No patrol required.

	Temporary storage in open storage areas, railcars, vehicles, aircraft, etc.	-Without IDS.	-Continuous surveillance by activity personnel during operating hours; one check every 4 hours during non-operating hours.
		-With IDS.	-Each 24 hours.
	Temporary storage in inadequate physical security storage for ready service (lockers, rooms, research, development, test and evaluation test ranges or areas, production buildings, etc. that do not meet physical security construction standards)	-Without IDS.	-Each 24 hours.
		-With IDS.	-24 hour patrol.

Table B-1 SRC I–IV AA&E Surveillance Requirements for Storage

<u>SRC</u>	<u>IDS Status</u>	<u>Physical Checks</u>
SRC I (HIGH RISK)	Without IDS	24 hour armed guard.
	With IDS.	-Each 8 hours.
SRC II (HIGH RISK)	Without IDS	24-hr surveillance during operating hours. Armed guard during non-operating hours.
	With IDS.	-Each 8 hours.
SRC III (MODERATE RISK) and SRC IV (LOW RISK)	Without IDS	-Physical check each 4 hours (by boat when at anchorage) during operating and non-operating hours.
	With IDS.	-Each 12 hours.

Table B-2 SRC I–IV AA&E Surveillance Requirements for Temporary Storage in Barges at Anchorage or at Ammunition Piers

APPENDIX C
APPROVED LOCKING DEVICES

1. HIGH SECURITY LOCKS. Use the latest series of the references identified in Tables C-1 through C-3.

<u>NOMENCLATURE</u>	<u>NSN</u>	<u>REFERENCE</u>	<u>NOTES</u>
Sargent and Greenleaf (S&G) 951 Padlock	5340-01-510-2351	MIL-DTL-43607J	(1)(12)
S&G 833C Padlock	NA	MIL-DTL-43607J	(12)
Shipboard modular internal locking system (MK 6 MODS 0, 1, & 2)	NA	NA	(2)
ILD	NA	NA	(3)
S&G 6804; LaGard 2233 and 2270	NA	NA	(4)
TUFLOC	NA	NA	(5)(12)

Table C-1 High Security Locks

a. The S&G 831B and Hi-Shear LK1200 padlocks are no longer in production and are not authorized as high security for AA&E. Those still in use must be replaced.

b. The NAPEC Model 1382 Dual Control Padlock is not authorized for security of conventional AA&E.

2. HIGH SECURITY HASPS.

<u>NOMENCLATURE</u>	<u>NSN</u>	<u>REFERENCE</u>	<u>NOTES</u>
MK 2 MOD 9 Style 1 (NAPEC)	5340-01-196-2547	MIL-DTL-29181D	(6)
MK 2 MOD 9 Style 2 (NAPEC)	5340-01-235-6907	MIL-DTL-29181D	(7)
1300 Series (NAPEC)	5340-01-281-7938	MIL-H-24653	(8)
1300 Series-accessories Kit	5340-01-282-8275	MIL-H-24653	(9)
MK 2 MOD 8 (NAPEC)	NA	MIL-DTL-29181D	(10)
NAPEC 1332	NA	NAVSEA Drawing 53711-5532340	(11)

Table C-2 High Security Hasps

a. To order the high security padlock, submit a military standard requisitioning and issue procedure requisition with remarks. Remarks must include the shipping address, point of contact with phone number and e-mail (if applicable) and the nomenclature of hasp to be used with the padlock (see Table C-2).

b. Shipboard modular internal locking system is installed as part of the door, making a hasp unnecessary.

c. Ashore use only. The ILD is installed as an integral part of the door making a hasp unnecessary. Available from NAVFAC EXWC, Port Hueneme, CA, (805) 982-1212, DSN 551-1212.

d. Locks meeting Underwriters Laboratories UL-437 Type II changeable key operated locks are approved only on shipboard reaction force lockers and security alert team arms lockers meeting NAVSEA drawings 804-5184218, 53711-5184218 or 53711-5532339.

e. The TUFLOC may be used only on shipboard applications. Available from NAVFAC EXWC, Port Hueneme, CA, (805) 982-1212, DSN 551-1212.

f. For use on sliding or hinged doors which open to the right.

g. For use on sliding or hinged doors which open to the left.

h. The NAPEC 1300 series hasp can be used (only for special applications) for ashore security where the MK 2 MOD 9 series hasps are not compatible (e.g., GOLAN type containers).

i. These are the additional components needed for the Style 3 (raised hatches), Style 5 (inward swinging quick acting water tight doors) or the Style 6 (inward swinging non-quick acting water tight doors).

j. Older four-piece version of the ashore high security hasp for sliding or hinged doors.

k. When used with an approved high security padlock, the NAPEC 1332 Universal Security System is an approved high security locking system even if the IDS is not connected. When the IDS is connected, it satisfies the requirement for high security hasp, lock and IDS, negating the need for an AIB. The 1332 is for use on magazines with large sliding doors (e.g., missile motor magazines).

l. Each high security padlock is supplied with two operator keys and one control key. Each TUFLOC is supplied with two operator keys. Additional keys are available upon request.

m. AUTHORIZED USES.

(1) All magazines, AA&E storage areas and arms storage facilities as noted.

(2) Aboard ships as specified in this manual, including topside lockers containing grenades, demolition material or incendiary rockets.

3. SECONDARY LOCKS (Low security locks).

<u>DESCRIPTION</u>	<u>NSN</u>	<u>REFERENCE</u>	<u>NOTES</u>
S&G 826 Padlock	NA	NA	(13)
General Field Service Padlock	5340-01-380-9432	FF-P-2827	(14)
General Field Service Padlock	5340-01-380-9430	FF-P-2827	(14)
Padlock (Laminated Body)	5340-00-158-3805	CID-A-A-59487D	(15)
Padlock (Laminated Body with 9 inch chain)	5340-00-158-3807	CID-A-A-59487D	(15)

Table C-3 Secondary Locks

a. The specification for medium security locks previously identified in MIL-P-43951A Padlock, Key Operated, Medium Security Regular Shackle 18 February 1989 such as the S&G Model 826 was cancelled on 20 May 1994. Locks purchased to this specification can no longer be used in a high security application for security of AA&E. They can still be used for mechanical rooms and other special applications afloat.

b. The general field service padlock is the more superior lock in this category. The NSN ending: “9430” has a 3/8-inch shackle; the NSN ending “9432” has a 1/2 inch shackle.

c. The NSN ending “-3805” is a padlock; the NSN ending “-3807” is a padlock plus a chain, steel case and shackle. Note: Most laminated and brass padlocks available from ships stores and the supply system qualify as low security or secondary locks.

d. Authorized uses are annotated within Appendix C subparagraphs 3d(1) through 3d(3).

(1) On gates to SRC III and IV AA&E storage areas. Perimeter gates and fences to SRC I and II storage areas must be secured with the general field service padlock meeting requirements of reference (s). Padlocks used to secure gates may be keyed-alike.

(2) On arms racks within an armory.

(3) Stored aircraft or vehicles with ammunition aboard (see chapter 3, subparagraph 3b).

APPENDIX D
DEFINITIONS

1. 100% Physical Inventory. The physical inventory of every asset residing in all storage locations.
2. Access. Proximity to AA&E close enough to allow theft of or tampering with it, especially if such action could go undetected. Normally, this is different from "supervised access" where an escort or a guard is provided for either the person or the AA&E.
3. Accountability. The duty to physically safeguard, timely and accurately process, record and report asset transactions including the ability to "account for" and explain physical movements, condition code changes, custodial changes, losses or gains by inventory or record discrepancies.
4. AE. Any non-nuclear ordnance, ammunition, explosive or explosive material, item, device, hazardous waste classed or being developed to be classed as a United Nations Organization HC/D 1 through 6 item.
3. AIB. An alarmed, steel, box-like cover installed over a high security padlock and hasp to prevent unauthorized access to that lock and hasp (older versions are an alarmed metal bar across the door). It is held in place by two jackscrews, one of which has a sensor which alarms upon removal of the screw.
4. Ammunition. A device charged with explosives, propellants, pyrotechnics, initiating composition, riot control agents, chemical herbicides, smoke or flame for use in connection with defense, offense or demolition. Includes cartridges, projectiles, bombs, missiles, grenades, mines, pyrotechnics, bullets, shot, primers, propellants, fuzes and detonators.
5. Armed. A person with a loaded firearm on their person, ready for immediate use.
6. Armory. A building, or arms room within a building or ship, meeting the criteria of this manual, where firearms and their parts are stored.
7. Arms. A weapon that will be or is designed to expel a projectile or flame by the action of an explosive and the frames or receivers of any such weapon.
8. Automatic Weapon. A weapon which automatically shoots more than one shot by a single function of the trigger.
9. Balanced Magnetic Switch. Mechanical contacts that use a magnetic field to determine if an alarm signal is initiated (for example, if an access portal such as a door, window or roof hatch has been opened).

10. Bill of Lading. A contract for carriage of cargo made with a TSP that also operates as a receipt of the goods and documentary evidence of title to the goods. A common transportation term for the basic agreement that underlies shipment of goods. A document issued by a TSP to a shipper, listing and acknowledging receipt of goods for transport and specifying terms of delivery. For government traffic, this term is used interchangeably with Government Bill of Lading or Commercial Bill of Lading. The Bill of Lading is the primary document used to contract for transportation and related services from commercial TSP, including freight forwarders.

11. 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 must strengthen the connection. Removal requires destruction of the seal.

12. Clear Zones. Areas established around the fence to provide an unobstructed view to enhance detection and assessment around fences. When required, dimensions of clear zones vary depending on asset being protected and level of protection. Outer clear zones must be 30 feet wide and inner clear zones must be 20 feet wide for perimeter fences and a minimum of 12 feet on the outside and 30 feet on the inside for all SRC I and II AE storage areas (or to the maximum extent within available land space if minimum requirements cannot be met).

13. Compensatory Measures. Measures taken to offset or be equivalent to requirements for safeguarding AA&E; e.g., additional guard checks, electronic or biometric access controls.

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

15. Constant Surveillance. Maintaining continuous visibility of an item(s) or area or of all means of access to the item(s) or area, directly by personnel. To accomplish constant surveillance indirectly through use of cameras, an intrusion detection device must be used as well.

16. Construction Standards. Minimum prescribed DoD security construction requirements for vaults and strong rooms; sensitive compartmented information facilities; and arms, ammunition and explosives facilities including penetration delay times. Required to achieve an effective integrated security system design including building layout, access control, interior intrusion detection system and CCTV.

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

18. Conventional Ammunition. Encompasses all munitions not classified as nuclear or biological.
19. Deadbolt Lock. A solid bolt, not spring loaded, which can extend at least 1 inch from the door into the strike plate of the door jam. It must be manually turned or pushed (usually horizontally) to lock or unlock. Regularly used to secure doors not used for entry from the outside.
20. Demilitarization. Irreversibly destroying items (by mutilation, cutting, crushing, melting, burning, alteration, etc.) to prevent their further military or lethal use. Limited or minimum demilitarization renders items unserviceable, but their overall shape or look is retained for use or display. A demilitarization certificate is required as proof, signed by two technically qualified U.S. government officials who witnessed the demilitarization or inspected the residue.
21. Depot Level. Activities that store AA&E for use by Installations. Primary Stock Point.
22. Deviation. Many situations involving contingency, readiness or operational requirements can be satisfied only by deviating from established criteria. The Secretary of the Navy, recognizing this need, has delegated authority to CNO to approve deviations.
23. DTS. Military-controlled terminal facilities, Airlift Mobility Command controlled airlift, Military Sealift Command controlled or arranged sealift and government-controlled air or land transport.
24. DTTS. A joint military service system that processes data shipment tracking data to ensure in transit safety and security command and control that is hosted by SDDC. The DTTS provides 24-hour continuous command and control of the DoD arms, ammunition and explosive shipments moving in the public domain. The primary mission of the DTTS are emergency response and in transit security of these shipments.
25. Duress. Forcing someone to perform a task under forcible restraint or coercion.
26. Duress Code. The use of code words or gestures with common language or motions to alert personnel of a security violation.
27. Electronic Security System. That part of physical security concerned with the safeguarding of personnel and property by use of electronic systems. The integrated electronic system that encompasses interior and exterior Intrusion Detection Systems, Closed Circuit Television systems for assessment of alarm conditions, Access Control Systems, Data Transmission Media and alarm reporting systems for monitoring, control and display.
28. Exception. An approved deviation from this manual's required standards when those standards cannot be met; it may be up to 3 years. When standards cannot be met, compensatory measures are required to provide security equivalent to the standards mandated herein.

29. Exclusive use. A vehicle used exclusively for one shipment, without transfer of lading. This permits locking and sealing the unit so that no one, even the carrier, may gain access during transit.
30. Explosives. Any chemical compound, mixture or device, the primary or common purpose of which is to function by explosion. The term includes, but is not limited to, individual landmines, demolition charges, blocks of explosives (dynamite, TNT, C-4 and other high explosives) and other explosives consisting of 10 pounds or more (e.g., gunpowder or nitro guanidine).
31. Forced Entry. Unauthorized entry into a facility or security container using hand, power or thermal tools to create an opening for the purpose of gaining access to contents within.
32. FPCON. A Chairman of the Joint Chiefs of Staff-approved standard for identification of and recommended responses to terrorist threats against United States personnel and facilities.
33. Government Bill of Lading. The bill of lading utilized to transport freight of the U.S. government, to procure transportation of freight and related services from commercial TSP for movement at government expense.
34. HC/D 1.1 through 1.6 Explosives. United Nations and Department of Transportation classifications based upon the character and predominance of hazards and explosives and articles containing explosives in their transportation and storage configuration.
35. High Security Hasp. A high-security hasp is an approved shrouded hasp that meets the military specification of Military Detail Specification MIL-DTL-29181D, Hasp, High Security, Shrouded, for High Security Padlocks or MIL-H-24653 Hasp, High Security, Shrouded, for shipboard doors and hatches using high security padlocks.
36. High Security Padlock. A key-operated padlock with a shrouded shackle, conforming to Military Detail Specification MIL-DTL-43607J or as otherwise listed in appendix C. Note: All high security locks and keys for DoN AA&E must be procured through NAVFAC EXWC (Code CI8) the DoD Lock Program.
37. Holding Area. A specific area separated from other facilities by the applicable quantity distance where truck or rail conveyance that is explosives-laden with a known net explosive weight and hazard classification are temporarily parked.
38. IDS. An electronic security alarm system consisting of various types of sensors and a central monitoring station to detect the unauthorized intrusion into a room, structure, facility or area. All AA&E requiring IDS must include, at a minimum, point sensors on all entry points and man-passable openings and area (or volumetric) sensors covering the interior.

39. ILD. A key-operated high-security locking system approved to SRC I and II AA&E and structures protecting chemical and nuclear weapons. Provides 10 minutes' forced entry protection against unlimited hand and battery-operated tools and 15 minutes surreptitious entry protection.
40. Independent Power Supply. A self-contained power source; normally a battery or redundant power provided by auxiliary generator.
41. Installation Level. Activities below the depot level that store AA&E for use by Units Secondary Stock Point.
42. Keyed Alike. Installing the same, identical keyway ("pinning combination") on multiple locks so that the same key will open them all. Authorized for low security applications only. Not to be confused with "master keying."
43. Loss. Unintended, unforeseen or accidental loss, damage or destruction to government property that reduces the expected economic benefits from the property. Loss includes, but is not limited to: items that cannot be found after a reasonable search; theft; damage resulting in unexpected harm to property requiring repair to restore the item to usable condition; or destruction resulting from incidents that render the item useless for its intended purpose or beyond economical repair. Loss does not include purposeful destructive testing, obsolescence, normal wear and tear, or manufacturing defects.
44. Low Security Padlock. A key-operated padlock conforming to Commercial Item Description (CID) A-A 59486 and CID A-A-59467 (see appendix C) that provides minimal resistance to forced entry and surreptitious entry. Commonly used as a secondary lock where primary security is provided by another locking device.
45. Magazine. A securable structure or space used to store ammunition and explosives.
46. Master Keying. Keying locks in a set with different keyways ("pinning combinations") so that each lock has a different key, but adding special keying so that all locks in the set can also be opened using one master key. Prohibited for high security.
47. Military Transshipment Terminal. A freight handling facility such as a military airport or water port used to transfer cargo from one vessel or vehicle to another for further transport.
48. MILVAN. Military-owned demountable container, conforming to United States and international standards, operated in a centrally controlled fleet for movement of military cargo.
49. NAPEC. Former NAVSEA design agent for high security systems and hasps.

50. NSN. The 13-digit number that identifies a stock item consisting of the 4-digit federal supply classification code plus the 9-digit national item identification number and arranged as follows: 9999-00-999-9999.
51. Nonlethal Weapons. Weapons that are explicitly designed and primarily employed to incapacitate personnel or materiel, while minimizing fatalities, permanent injury to personnel and undesired damage to property and the environment.
52. Non-Unit Level Activity. Any ammunition storage activity that does not meet the unit level definition (e.g. tenant commands).
53. Physical Inventory. The physical count of ordnance in storage at a stock point for the purpose of verifying the balance reflected in the accountable recorded stock balance. A physical inventory consists of physical counts, post-count validation, pre-adjustment research and causative research.
54. Physical Security Survey. A specific on-site examination of facilities, areas and procedures or an activity conducted to identify security weaknesses and recommend corrective measures.
55. Refuge Location. A DoD activity that meets statutory requirements for storing Secret, Confidential or sensitive material (excluding HC/D 1.1, 1.2 and 1.3 explosives) and that can provide security for such shipments in emergencies.
56. RFI. Storage as specified in this manual of a relatively small amount of weapons and ammunition for duty section police, security guards and response forces so that they are available for ready access.
57. REPSHIP. An advance notification of shipment provided by a shipper to the consignee not later than 24 hours prior to the shipment arrival. For ammunition shipments, notification must be made not later than two hours after shipment departure.
58. Response Force. Armed security personnel capable of responding to the scene of security alerts involving AA&E.
59. Restricted Area. An area (land, sea, or air) in which there are special restrictive measures employed to prevent or minimize incursions and interface, where special security measures are employed to prevent unauthorized entry. Restricted areas may be of different types, depending on the nature and varying degree of importance of the security interest or other matter contained therein. Restricted areas must be authorized by the installation or activity Commander or director, properly posted and must employ physical security measures. Additionally, controlled areas may be established adjacent to restricted areas for verification and authentication of personnel.

60. RSL. A locker (usually small) used for the storage of small quantities of certain pyrotechnics, small arms ammunition and minor hazard items of ammunition.
61. Safe Haven. A temporary storage or refuge location approved by the Installation CO for emergency parking of commercial carriers moving government-owned AA&E on a BOL, when such shipments are near civil unrest, natural disasters, experience mechanical breakdowns, driver illness or other emergencies and cannot continue on to destination.
62. Seal. A device or material that indicates tampering or entry. Seals are used to secure conveyance doors, intermodal container doors and item shipping and storage container covers and lids (e.g., wire, strap, bolt and cable and padlock seals). A number-5 American wire gauge steel wire twist or wire cable of larger or equivalent thickness when used with an approved steel trap seal, can be used to secure conveyance doors when bolt and cable seals are not available or when a door closure mechanism does not accommodate use of bolt or cable seals.
63. Secondary Ammunition Stock Points. Secondary ammunition stock points are under the control of United States Fleet Forces and Commander Pacific Fleet. These activities include Naval Stations, Naval Air Stations, Marine Corps Air Stations, fleet activities and Naval magazines. In addition, several secondary ammunition stock points are managed by Naval Air Systems Command and NAVSEASYS COM. These activities include, but not limited to, Naval Air Warfare Centers, Naval Surface Warfare Centers, Naval Undersea Warfare Centers and select Navy Munitions Command. Naval Education and Training Command and the Naval Reserve Force operate smaller secondary ammunition stock points in direct support of their training requirements.
64. Secure Holding Area. In non-emergency situations, protection provided by an installation to a TSP's vehicle transporting sensitive or classified cargo that arrives after hours or at the discretion of an installation commander. The installation commander must make the same kinds of determinations as for "secure holding location or safe haven" or "refuge."
65. SEAVAN. Commercial or government-owned (or leased) shipping container which is moved via ocean transportation without bogey wheels attached.
66. Security Forces. Includes armed personnel that can include DoD military and civilian security guards; police (including contract security personnel); and State, local and campus security officers."
66. Security Seal. A flat, metal strip bearing a stamped-on serial number and a "locking" provision.
67. Security Violation. Any breach of security regulations, requirements, procedures or guidelines, whether or not a compromise results.

68. Sensitive AA&E. AA&E which fall within one of the four security risk categories defined in chapter 8.

69. Signatures. All signatures must be an original signature in ink to be official; or can be digitally signed, using Public Key Infrastructure certificate for signature. A digital signature is a type of electronic signature. Digital signature technology encrypts data and detects if changes have been made after the document or transaction was digitally signed.

70. Signature and Tally Record Service. Required for Constant Surveillance Service, Dual Driver Protective Service and Protective Security Services and may be used for other shipments, such as pilferable items or high-value shipments.

71. Small Arms. Arms which are hand-held or shoulder-braced while being fired, .50 caliber (non high explosive) and below.

72. Small Quantity Shipments. Fifteen or fewer SRC II through IV small arms (including M4 and M16 rifles) per shipment: non-explosive SRC III missile components weighing 200 pounds or less, SRC III and IV ammunition shipments weighing 200 pounds or less.

73. SNS. A service used in the commercial truck movement of selected DoD AA&E which provides in transit safety and security by using truck location reports, in transit status changes and emergency situation notification to the Defense Transportation Tracking System a program hosted on behalf of the Military Services by the Military Surface Deployment and Distribution Command. The acronym "SNS" for this term is derived from the Defense Transportation Regulation.

74. SRC. The division of the most sensitive AA&E into four categories based upon portability, how readily usable or adaptable to misuse it is and the magnitude of potential damage or death it may cause. These categories assist in applying security measures commensurate with the risks of loss.

75. Stabilized Small Arms Mounts. A remotely operated system that provides self-defense and increased capability to counter asymmetric threats while at sea or in harbors.

76. Transportation Protective Services. A commercial transportation service provider service performed according to DoD standards that provide in-transit physical security for shipments of Secret, Confidential, or sensitive material.

77. TSP. A transportation provider who possesses legal operating authority to conduct transportation services, who also meets all established DoD requirements and has received an official notice of acceptance to transport DoD Freight by SDDC. Includes motor carriers, rail carriers, pipeline carriers, water carriers, tank truck carriers, freight forwarders, brokers and third party logistics companies.

78. UII. A set of data elements marked on items that is globally unique and unambiguous. The term includes a concatenated UII or a DoD-recognized unique identification equivalent. A permanent marking method used to give equipment a unique ID.

79. Unit Level. Units are activities that use AA&E as the end user. A security department located on an installation or depot would be a unit.

80. Volumetric Sensor. An electronic monitor typically positioned near or on the ceiling that detects the presence of an intruder by sensing motion or heat signature.

81. Waiver. Approved temporary relief, normally for not to exceed 1 year, from specific compliance requirements outlined in this manual. When standards cannot be met, compensatory measures are required to provide security equivalent to the standards mandated herein.