



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

OPNAVINST 5530.13C
N09N3
CMC (PS)
26 September 2003

OPNAV INSTRUCTION 5530.13C

From: Chief of Naval Operations
Commandant of the Marine Corps

To: All Ships and Stations

Subj: DEPARTMENT OF THE NAVY PHYSICAL SECURITY INSTRUCTION FOR
CONVENTIONAL ARMS, AMMUNITION, AND EXPLOSIVES (AA&E)

Ref: (a) DOD 5100.76-M, "Physical Security of Sensitive
Conventional Arms, Ammunition, and Explosives"
of Aug 2000 (NOTAL)
(b) SECNAVINST 5212.5D, Subj: Navy and Marine Corps
Records Disposal Manual (NOTAL)

Encl: (1) Department of the Navy Physical Security Instruction
for Conventional Arms, Ammunition, and Explosives
(AA&E)

1. Purpose. To issue policies set forth in reference (a) and provide additional Department of the Navy (DON) policy and guidance for the protection of conventional AA&E against loss or theft.

2. Cancellation. OPNAVINST 5530.13B.

3. Scope. This instruction applies to all conventional AA&E owned by or contracted by DON and maintained on a permanent basis.

4. Discussion. This instruction is a complete revision and must be reviewed in its entirety. Conventional 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 officer's responsibility to ensure that the command AA&E security posture is accurately assessed and resources are appropriate to execute security programs.

26 September 2003

5. Responsibilities. The following command responsibilities are established:

a. Commanding Officers. Commanding officers are responsible for the physical security of AA&E within their authority.

b. Echelon 2 and Subordinate Commands. DON Echelon 2 and subordinate commanders are responsible for overseeing implementation of this instruction via inspections and inventory effectiveness reviews.

c. Chief of Naval Operations (CNO) (N09N). The Special Assistant for Naval Investigative Matters (N09N) will oversee management and coordination of the AA&E physical security program in the Navy, and will:

(1) Develop Navy AA&E physical security policy and oversee its implementation.

(2) Advise and assist Navy commanders in developing and maintaining effective AA&E security programs.

(3) Evaluate adequacy of security provided to Navy AA&E and support funding requirements via the Baseline Assessment Memorandum (BAM) process.

(4) Ensure that DON AA&E in the custody of contractors is protected to the level prescribed here.

d. Commandant of the Marine Corps (CMC) (PS). CMC (PS) manages the AA&E physical security program for the Marine Corps, requesting support from the Navy as required. CMC (PS) will make decisions affecting the Marine Corps AA&E physical security program except that CMC (LFT) will make transportation requirements.

e. Commander, Naval Sea Systems Command (COMNAVSEASYSCOM). COMNAVSEASYSCOM (and as further delegated to Naval Ordnance Safety and Security Activity) is assigned as the program manager for the Navy's AA&E physical security and ordnance transportation security programs. Tasks include:

(1) Evaluate the Navy AA&E physical security posture and develop cost effective upgrades.

26 September 2003

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

(3) Assist Navy and Marine Corps commands to determine funding and manpower requirements and by providing technical direction needed to meet AA&E security responsibilities.

f. Commanding Officer, Space and Naval Warfare Center (SPAWAR), Charleston. SPAWAR will provide management, engineering, and technical support for ESS installations at Navy and Marine Corps AA&E sites when requested.

g. Commander, Naval Facilities Engineering Command (COMNAVFACENGCOM). COMNAVFACENGCOM provides engineering design and construction criteria including military handbooks, standard construction drawings, and specifications for secure structures including magazines for AA&E facilities.

h. Commander, Naval Supply System Command (COMNAVSUPSYSCOM).

(1) Based on policy requirements established by Naval Ordnance Safety and Security Activity and higher authority, COMNAVSUPSYSCOM manages AA&E transportation programs including second destination transportation. That 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 act as Department of Defense (DOD) agent for the joint service Defense Transportation Tracking System (DTTS).

(3) Implement Navy policy and guidance for the Ordnance Inventory Accuracy Management Program.

i. Commanding Officer, Naval Ordnance Safety and Security Activity (NAVORDSAFSECACT).

(1) Except for Electronic Security Systems (ESS), budget and program for all AA&E physical security program funding and provide CNO (NO9N1) with Navy-wide resource requirements and related 6 year plans.

26 September 2003

(2) Assist Navy commands by providing technical direction on security related issues.

j. DON Contracting Activities. DON contracting activities must:

(1) Ensure that contracts involving Risk Category AA&E at contractor facilities describe the standards of protection required by this instruction and ensure by contractual clause access to prime and subcontractor facilities to enable the government to conduct security surveys, inspections, and investigations.

(2) Provide, at the time of the contract award and at renewal, cognizant Defense Investigative Service (DIS) industrial security offices copies of each AA&E contract or pertinent extracts (contract physical security standards) that involve risk category AA&E. Include a listing of Government Furnished Equipment (GFE) as part of the pertinent extracts.

(3) Notify the cognizant DIS industrial security office when pre-award surveys are conducted to allow for their participation in the survey (see appendix D for list of offices and addresses).

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

(5) Ensure that AA&E is identified by risk category in all applicable prime and subcontracts, to guarantee correct identification and complete understanding by DIS industrial security inspectors, the Administrative Contracting Officer (ACO), and prime and subcontractors concerned.

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

6. Action. Compliance with this instruction and enclosure (1) is mandatory for all DON personnel concerned with security, storage, and transport of conventional AA&E.

7. Forms. DD 1348-1A (DOD Single Line Item Release/Receipt Document) S/N 0102-LF-115-3800 (white), S/N 0102-LF-115-3800

26 September 2003

(yellow), S/N 0102-LF-115-3800 (pink); and DD 1907 (Signature and Tally Record) S/N 0102-LF-010-0400 are available through normal Navy supply channels under NAVSUP P-2002. Standard Form 361 (Transportation Discrepancy Report) NSN 7540-00-965-2403 and Standard Form 364 (Report of Discrepancy) NSN 7540-00-159-4442 are available from GSA.

8. Report. Symbol DD-C3I(AR)1358 has been assigned to the reporting requirement contained in chapter 7, and is approved for 3 years from the date of this directive.

9. Records. Retention and disposition guidance for records cited in this instruction are provided for in reference (b).

E. R. BEDARD
Deputy Commandant for
Plans, Policies, and Operations

DAVID L. BRANT
Special Assistant for
Naval Investigative Matters
and Security

Distribution:
SNDL Parts 1 and 2
MARCORPS PCN 71000000000 and 71000000100

OPNAVINST 5530.13C
26 September 2003

Department of the Navy
Physical Security Instruction For
Conventional Arms,
Ammunition, and Explosives

Enclosure (1)

TABLE OF CONTENTS

Table of Contents
References
Definitions and Acronyms

CHAPTER 1 - GENERAL

- 0100 - Scope
- 0101 - Policy
- 0102 - Planning
- 0103 - Waivers and Exceptions
- 0104 - Inspections and Audits
- 0105 - ROTC/Gun Club/Reserve Unit Prohibitions
- 0106 - Disciplinary Action
- 0107 - Personnel Screening
- 0108 - Classified AA&E
- 0109 - AA&E at Contractor-Owned Facilities
- 0110 - Non-Government AA&E.

CHAPTER 2 - APPLYING TO ALL RISK CATEGORY AA&E

- 0200 - General
- 0201 - Intrusion Detection Systems
- 0202 - Security Forces
- 0203 - Security Lighting
- 0204 - Ready for Issue (RFI) AA&E Storage
- 0205 - Locks
- 0206 - Keys
- 0207 - Restricted Area Posting
- 0208 - Security Surveys

CHAPTER 3 - ARMS

- 0300 - General
- 0301 - Storage Facilities
- 0302 - Construction Exemptions
- 0303 - Storage in Naval Vehicles
- 0304 - Arms Parts
- 0305 - Access Control
- 0306 - Custody Receipt for Small Arms
- 0307 - Navy and Marine Corps Resale Facilities and Exchanges
- 0308 - Navy and Marine Corps Museums and Unit Displays

CHAPTER 4 - AMMUNITION AND EXPLOSIVES

26 September 2003

- 0400 - Storage Structures
- 0401 - IDS
- 0402 - Security Patrols
- 0403 - Locks
- 0404 - Fences
- 0405 - Access Control
- 0406 - Communications
- 0407 - Access Control

CHAPTER 5 - ACCOUNTABILITY, DISPOSAL, AND DEMILITARIZATION

- 0500 - General
- 0501 - Training in Accountability
- 0502 - Missiles and Rockets (Category I, II and III)
- 0503 - Arms
- 0504 - Ammunition and Explosives
- 0505 - AA&E Accountability Officer
- 0506 - Inventory Adjustments and Verifying Requisitions
- 0507 - Disposal and Demilitarization
- 0508 - Fleet Return Documentation

CHAPTER 6 - TRANSPORTATION

- 0600 - General
- 0601 - Responsibilities
- 0602 - Standards
- 0603 - Special Considerations for Category I Items
- 0604 - Special Considerations for Water Shipments
- 0605 - Special Considerations for Air Movements
- 0606 - Special Considerations for Small Quantity Shipments
- 0607 - Organic and Unit Movements/Training
- 0608 - Movements by Commercial Carrier
- 0609 - Reports
- 0610 - Overseas In-Theater Movements
- 0611 - Foreign Military Sales (FMS) Shipments
- 0612 - Contract Movements
- 0613 - Security of Commercial Shipments at DON
Installations
- 0614 - Report of Shipment (REPSHIP)
- 0615 - Shipper Duties and Responsibilities
- 0616 - Transportation Discrepancy Reporting (TDR)
- 0617 - On-Station Movements and Accountability
- 0618 - Movements within a Restricted Area
- 0619 - Temporary Storage in Vehicles, Vans, and Railcars

CHAPTER 7 - REPORTS AND INVESTIGATIONS

26 September 2003

- 0700 - General
- 0701 - Reports
- 0702 - Command Investigation

- CHAPTER 8 - LOW RISK AA&E

- 0800 - General
- 0801 - Security Measures

- CHAPTER 9 - AA&E STORAGE AFLOAT

- 0900 - General
- 0901 - Protection Priorities
- 0902 - General Requirements for Armory, Magazine, and
Topside Locker Storage
- 0903 - Structural Requirements for Armories and Magazines
- 0904 - Requirements for Doors and Hatches of Armories and
Magazines
- 0905 - Requirements for Small Arms Racks, Lockers, and
Containers
- 0906 - Requirements for AA&E Emergency Escape Scuttles and
Hatches
- 0907 - Requirements for AA&E Elevators
- 0908 - Openings in AA&E Storage Spaces
- 0909 - Locking Systems and Key Control
- 0910 - Storage of Crew and Ship's Marine Detachment AA&E
- 0911 - Storage of Embarked Troops' AA&E
- 0912 - Storage Aboard Submarines
- 0913 - AA&E Inventories
- 0914 - Access Control
- 0915 - Custody Receipt for Small Arms
- 0916 - Response Force and Ready for Issue (RFI) AA&E
Storage
- 0917 - Quarterdeck Sentries
- 0918 - AA&E Surveys
- 0919 - Special Requirements for MSC Ships

- APPENDIX A - Security Risk Categories
- APPENDIX B - Surveillance Requirements for AA&E Storage
- APPENDIX C - Physical Security at Military Terminals
- APPENDIX D - Approved Locking Devices
- APPENDIX E - AA&E Physical Security Checklist for Forces Afloat
- APPENDIX F - AA&E Physical Security Checklist for Forces Ashore

REFERENCES

- (a) DOD 6055.9-STD, July 1999, Subj: DOD Ammunition and Explosives Safety Standards (authorized by DOD 6055.9, 29 July 1996) (NOTAL)
- (b) SECNAVINST 5510.30A, Subj: DON Personnel Security Program
- (c) OPNAVINST 5530.14C, Subj: Navy Physical Security Manual
- (d) MCO P5530.14, Subj: Marine Corps Physical Security Program Manual (NOTAL)
- (e) SECNAVINST 5510.36, Subj: DON Information Security Program Regulation
- (f) MCO 3574.2J, Subj: Marksmanship Training with Entry Level and Sustainment Level to the M16A2 Service Rifle and M9 Service Pistol
- (g) SECNAVINST 5500.29B, Subj: Use of Deadly Force and the Carrying of Firearms by Personnel of the Department of the Navy in Conjunction with Law Enforcement, Security Duties and Personal Protection (NOTAL)
- (h) MCO 5500.6F, Subj: Arming of Law Enforcement and Security Personnel and the Use of Deadly Force (NOTAL)
- (i) MCO 4340.1A, Subj: Reporting of Missing, Lost, Stolen, and Recovered Government Property (NOTAL)
- (j) MIL-HDBK-1013/1A, Subj: Military Handbook, Design Guidelines for Physical Security of Facilities of Dec 15, 1993
- (k) NAVSEAINST 4570.1A, Subj: Demilitarization and Disposal of Excess, Surplus, and Foreign Excess Ammunition, Explosives and Other Dangerous Articles (AEDA) and Inert Ordnance Material (NOTAL)
- (l) NAVFAC P-73, Volume II, Subj: Natural Resources Management Procedural Manual (NOTAL)
- (m) DOD 4160.21-M, August 1997, Subj: Defense Reutilization and Marketing Manual (NOTAL)

26 September 2003

DEFINITIONS

1. 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.
2. 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, fuses and detonators.
3. ANTI-INTRUSION BARRIER (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. ARMED. A person with a loaded firearm on his or her person, ready for immediate use.
5. ARMORY. A building, or arms room within a building or ship, meeting the criteria of this instruction, where firearms and their parts are stored.
6. ARMS. Weapons designed to expel projectiles or flame by the action of an explosive.
7. AUTOMATIC WEAPON. A weapon which automatically shoots more than one shot by a single function of the trigger.
8. CABLE SEAL. A serialized seal in which a cable is put through locking hardware (e.g., of a truck or railcar) with its bullet nose inserted and locked into a barrel end.
9. CLASS 1 DIVISION .1, .2, .3, .4, .5, and .6 EXPLOSIVES. United Nations and Department of Transportation classifications based upon the character and predominance of hazards and potential casualties or property damage.

26 September 2003

10. 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.
11. CONTAINER EXPRESS (CONEX). A reusable container for shipment of troop support cargo, quasi-military cargo, household goods, or personal baggage.
12. 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 jamb. 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.
13. DEFENSE TRANSPORTATION SYSTEM (DTS). Military-controlled terminal facilities, Airlift Mobility Command (AMC)-controlled airlift, Military Sealift Command-controlled or arranged sealift, and government-controlled air or land transport.
14. DEMILITARIZATION. Irreversibly destroying items (by mutilation, cutting, crushing, melting, burning, alteration, etc.) to prevent their further military or lethal use. Limited or minimum demiliterization 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 demiliterization or inspected the residue.
15. DEPOT LEVEL. Activities that store AA&E for use by unit-level activities.
16. ELECTRONIC SECURITY SYSTEM (ESS). That part of physical security concerned with the safeguarding of personnel and property by use of electronic systems. These systems include, but are not limited to, intrusion detection systems, automated entry control systems, and video assessment systems.
17. EXCLUSIVE USE. A vehicle used exclusively for one shipment, without transfer of lading. This permits locking/sealing the unit so that none, even the carrier, may gain access during transit.
18. EXCEPTION. A written, approved deviation from a specific provision of this instruction; it may be long-term (36 months or longer) or permanent. Aboard Marine Corps installations and at

26 September 2003

Marine Corps activities, exceptions will be granted for no longer than 36 months.

19. EXPLOSIVES. A chemical compound or device whose purpose is to explode. Includes land mines, demolition charges, and blocks of explosives (dynamite, TNT, C-4, etc.).

20. HIGH SECURITY PADLOCK. A key-operated padlock with a shrouded shackle, conforming to military specification MILP43607 (latest series), or as otherwise listed in appendix D. Designed to resist forced entry for 5 minutes, surreptitious entry for 15.

21. INDEPENDENT POWER SOURCE. A self-contained power source, normally a battery.

22. INTRUSION DETECTION SYSTEM (IDS). A security alarm system consisting of various types of alarms to detect the unauthorized intrusion into a room, structure, facility, or area.

23. KEYING 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."

24. LOW SECURITY PADLOCK. A key-operated padlock conforming to established specifications (see appendix D) 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.

25. MAGAZINE. A securable structure or space used to store ammunition and explosives.

26. 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.

27. 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.

28. MILITARY VAN (MILVAN). Military-owned demountable container, conforming to U.S. and international standards,

26 September 2003

operated in a centrally controlled fleet for movement of military cargo.

29. READY FOR ISSUE (RFI) STORAGE. Storage as specified in this instruction 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.

30. REFUGE LOCATION. A DOD activity that meets statutory requirements for storing SECRET, CONFIDENTIAL, or sensitive material (excluding 1.1, 1.2, and 1.3 - Class A and B - explosives) and that can provide security for such shipments in emergencies.

31. RESPONSE FORCE. Armed security personnel capable of responding to the scene of security alerts involving AA&E.

32. RISK CATEGORIES. 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.

33. SAFE HAVEN. Temporary storage and refuge accorded commercial carriers moving government-owned AA&E on Government Bills of Lading (GBL) or Commercial Bills of Lading annotated for conversion to a GBL, when such shipments are near civil unrest, natural disasters, or other emergencies and cannot continue on to destination.

34. SATELLITE MOTOR SURVEILLANCE SERVICE (SM). A service used in the commercial truck movement of selected DOD AA&E which provides truck location reports, in transit status changes, and emergency situation notification to the Defense Transportation Tracking System (DTTS) a computer-based system at the Navy Material Transportation Office (NAVMTO).

35. SEAL. A device used to show if a container or shipment has been opened. Serially numbered seals are normally called "security seals." "Traceable seals" normally refers to a soft metal seal crimped with the impression of a unique symbol.

36. SEA VAN (SEAVAN). Commercial or Government-owned (or leased) shipping container which is moved via ocean transportation without bogey wheels attached.

26 September 2003

37. SECURITY FORCES. Law enforcement and/or security personnel under the operational control of the security officer/provost.

38. SENSITIVE AA&E. Arms, ammunition, and explosives which fall within one of the four risk categories delineated in appendix A.

39. SMALL ARMS. Arms which are hand-held or shoulder-braced while being fired, normally less than 20mm.

40. UNIT LEVEL. Units are activities that use AA&E as the end user. A security department located on a depot would be a unit.

41. WAIVER. Temporary written relief, normally for 1 year, from a requirement of this instruction.

CHAPTER 1

GENERAL

0100 SCOPE

a. This instruction 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, U.S. prototyped arms, and illegally manufactured weapons in the DON inventory are also included.

(2) Ammunition: in addition to appendix A see stock list of Navy ammunition TW010-AA-ORD-010 (formerly OD 12067) NAVAIR 11-1-116A.

(3) Explosives: In addition to the categorized explosives in appendix A, also uncategorized class 1.1, 1.2, 1.3, and 1.4 explosives when being transported (chapter 6) or stored (chapter 8).

b. This instruction does not cover:

(1) nuclear weapons;

(2) devices charged with chemical agents (unless specified in appendix A);

(3) blank, .22 caliber, and inert ammunition;

(4) artillery, tank, mortar shells 90mm and larger and naval gun ammunition 3 inches, 76mm and larger; and

(5) non-lethal ammunition.

(6) Security criteria in this instruction do not apply to procurements of commercially available Risk Category III and IV AA&E while at a commercial production facility. However, once such items are placed in transit to a DoD activity, all pertinent requirements of chapter 6 apply.

c. The criteria in this instruction are intended for sites where AA&E is maintained on a permanent basis during daily

26 September 2003

peacetime conditions, not for contingency sites or operations such as wartime, force generations, exercises, or operational readiness inspections.

d. This instruction does not authorize actions inconsistent with explosive safety standards of DOD 6055.9-STD (reference (a)).

0101 POLICY

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

b. Installation physical security plans shall address the protection of AA&E. The host installation/activity shall assume responsibility for coordinating tenant AA&E protective measures.

c. Consolidate AA&E in as compact an area possible to minimize the cost of physical security and inventory control and 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 risk category and provide the different levels of protection appropriate for each category. Demilitarize or dispose of obsolete and unserviceable AA&E to avoid unnecessary storage, security, and inventory costs.

d. 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. The goal for structurally secure facilities is to provide at least 10 minutes resistance to forced entry.

0102 PLANNING

a. Plan for effective use of security, tailored to local needs. Consider: NCIS local threat assessment, types of AA&E maintained; location, size, and vulnerability of storage facilities, including theft by employees; and responsiveness of the security force. Also consider security aids such as perimeter barriers, security lighting, communications, key and lock controls, structurally secure storage buildings, personnel and vehicular entry control, administrative inspections at entry/exit points, security training programs, Intrusion Detection Systems (IDS), and Closed Circuit Television (CCTV).

b. Prepare contingency plans for increased physical security measures for AA&E storage areas during periods of

26 September 2003

special vulnerability such as natural disasters, emergencies, or increased terrorist or criminal threat.

c. Barriers and locks are merely delay devices; they must be supported by means to detect and quickly react to an attempted intrusion. The security force must be alerted to attempted intrusions as early as possible and be capable of responding before access to AA&E can be gained.

0103 WAIVERS AND EXCEPTIONS.

a. This instruction is intended to provide adequate security for AA&E stored at most DON activities. However, if circumstances at any location warrant treatment different than what is required herein, waivers or exceptions should be requested using the instructions in reference (c) or (d). Navy activities must direct waiver and exception requests to CNO (N09N3) via chain of command plus Naval Ordnance Safety and Security Activity, and must specify the Risk Categories of the AA&E affected (include on line 4 of the format specified, along with "location"). Note: deficiencies that will be corrected within 90 days do not require a waiver, but compensatory measures must be taken during the interval.

b. Waiver and exception requests involving commercial transport of AA&E must be coordinated with the Military Traffic Management Command, and approved waivers and exceptions sent to them at: ATTN: MTIN, 5611 Columbia Pike, Falls Church, VA 22041-5050.

0104 INSPECTIONS AND AUDITS. Security measures, including theft or loss reporting and inventory and accountability procedures for AA&E, will be examined during appropriate inspections and audits. The status of existing waivers and exceptions will be examined for compliance and continuing necessity.

0105 ROTC/GUN CLUB/RESERVE UNIT PROHIBITIONS. Reserve Officers Training Corps (ROTC/JROTC) units and gun clubs are not authorized possession of Category I or Category II AA&E. ROTC units may use Category II AA&E during authorized training with active DON components. Reserve units may not store Category I AA&E, but may be given temporary custody of Category I AA&E for training on military installations, following specific security instructions provided by the commander of the installation.

26 September 2003

0106 DISCIPLINARY ACTION. Under the requirements of applicable laws and regulations, appropriate action will be taken against persons responsible for violating procedures and requirements imposed under this instruction. Action may include court-martial.

0107 PERSONNEL SCREENING.

a. Activities must be selective in assigning personnel to duties involving control of or unescorted access to AA&E. Such persons must be mature, stable, and have shown a willingness and capability to perform assigned tasks dependably. As a minimum, the security officer, AA&E accountability officer or AA&E officer, weapons officer, or other designated officer or civilian will examine service records of those being screened and discuss the duties to be assigned with the person and/or the person's present supervisor. Enter dates of screening, re-screening, and associated interviews in the person's personnel record and maintain for at least 6 months after termination of the person's assignment (or 6 months after the final interview if the person is disqualified). Determination of which traits and actions are disqualifying is at the discretion of the commanding officer (contact CNO (N09N3) OR CMC (PS) for guidelines). Re-screen personnel annually or when circumstances indicate a review would be prudent.

b. At each screening read the following statement to the person being screened and have him/her sign a copy of this statement:

"I understand that my behavior on duty as well as off duty is expected to reflect mature, stable judgment and that I may be removed from my duties involving control of arms, ammunition and explosives, or other administrative action taken, if my behavior does not reflect high standards. I further understand that serious harm can come from my failure to properly carry out my duties. I am aware that my improper actions or failure to carry out my duties may result in criminal prosecution, fines, and imprisonment. I understand and accept the responsibility to safeguard arms, ammunition and/or explosives."

c. Marine Corps personnel who account for, maintain, distribute, dispose of, and provide security for AA&E in the performance of their primary duties will be screened using either NAVMC 11386 (Rev 4-98) or the Qualification and Certification Program. Screening will be conducted annually and

26 September 2003

documented in Individual Training Records (ITR). For personnel who do not meet screening requirements, commanders will notify CMC (MMEA/MMOA (Manpower Management Enlisted Assignments and Officer Assignments)) to request retraining or reassignment.

d. Civilian government employees assigned custody, operating a vehicle or providing security to a vehicle transporting AA&E will as a minimum have a favorable National Agency Check with Written Inquiries and Credit Check. Military and contractor personnel will have a National Agency Check, Local Agency Check, Credit Check as set forth in reference (b), except as provided for U.S. flag carriers. Officers of U.S. flag carriers will be licensed in accordance with U.S. Coast Guard requirements.

e. 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 (b), and carrier-issued identification.

0108 CLASSIFIED AA&E

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

b. A GSA-approved Class 5 vault door, or a door as required for armories secured with a high security hasp and padlock, will be used on structures housing classified AA&E. SECRET or CONFIDENTIAL AA&E will receive protection equivalent to that provided for Risk Categories II and III respectively (or higher if required by the Risk Category).

0109 AA&E AT CONTRACTOR-OWNED FACILITIES. See appendix 2 of DoD 5100.76-M.

0110 NON-GOVERNMENT AA&E

a. Storage of personal weapons on an installation will be authorized by the Commanding General/Commanding Officer or designated representative in writing. 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.

OPNAVINST 5530.13C

26 September 2003

b. Commanding Officers, or designated representative, 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 OPNAVINST 5530.14C (reference (c)) or MCO P5530.14 (reference (d)), whichever is applicable. The waiver and exception provisions of this instruction do not apply to non-government AA&E.

c. Report loss of non-government AA&E to the Naval Criminal Investigative Service (NCIS), or to the Provost Marshal's Office (PMO) aboard Marine Corps installations.

26 September 2003

CHAPTER 2

APPLYING TO ALL RISK CATEGORY AA&E

0200 GENERAL. This chapter includes security requirements which apply to arms as well as to ammunition and explosives (chapters 3 and 4 further prescribe requirements which apply particularly to each of these two groupings).

0201 INTRUSION DETECTION SYSTEMS

a. Before acquiring any electronic security system the appropriate command below must approve the proposed project.

For Navy sites:

Chief of Naval Operations (N09N3)
716 Sicard Street SE, Suite 2000
Washington, DC 20388-5380
Telephone (202)433-9077/DSN 288-9077

For Marine Corps sites:

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

b. IDS must include a continuously manned alarm control center where alarms annunciate and from which a response force can be dispatched (local alarms (i.e., 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, except for Marine Corps Electronic Security System (MCESS) Operators, who will be military police personnel possessing MOS 58XX. They may be armed at the discretion of the commanding officer, except for MCESS Operators, who must be armed.

c. Maintain a daily log of all alarms, including the nature of the alarm (e.g., intrusion system failure or nuisance alarm),

26 September 2003

date and time, location, and response made. Keep these logs for 3 years and review them to identify IDS reliability problems.

d. Sensors, related equipment, and signal transmission wire 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. If line supervision is unavailable, two independent means of alarm signal transmission to the monitoring location must be provided.

NOTE: IDS that transmits alarm signals over a shared network (such as a local area network (LAN), wide area network (WAN), public switched telephone network (PSTN), 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 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. Maintenance personnel should not be given unescorted entry to AA&E spaces unless they have been screened in accordance with chapter 1.

f. Provide protected, backup, independent power of at least 4 hours.

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. Activity personnel must test IDS systems upon installation, and quarterly thereafter. For Marine Corps activities, testing of the IDS system will be as prescribed in MCO P5530.14 (reference (d)).

(1) Tests should include "walk" testing of each volumetric sensor as well as testing point sensors and duress switches. Keep records of IDS tests for 3 years; they must contain the dates of the tests, names of persons performing the

26 September 2003

tests, results, and any corrective action taken. Also test temporary interruption of 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 to set off an alarm so that alarm monitor and response force reactions and procedures can be exercised and evaluated. Frequency and procedures of tests are at the discretion of the security officer/provost marshal.

i. An Anti-Intrusion Barrier (AIB) must be installed as an IDS component on all Risk Category I and II ammunition and explosives storage facility active doors equipped with high security padlocks and hasps. An AIB should also be installed on armory active doors if the AIB is compatible with the door and locking system. Installation of AIBs for Marine Corps armories and magazines will be approved by CMC (PS).

0202 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. Note: personnel patrolling ROTC or Naval Reserve units need not be armed if there is no Risk Category AA&E stored and they have means to immediately call for assistance.

b. Entry and exit points into magazines and holding areas where vehicles, rail cars, or aircraft with missiles, rockets, ammunition, or explosives are parked must be controlled by guards or working party personnel. At Marine Corps installations, entry and exit points into magazines and holding areas will be controlled by armed guard. When guards or working party personnel are not present or IDS or Closed Circuit Television (CCTV) are not used, security patrols must physically inspect each aircraft, rail car, or vehicle at a frequency based on the highest risk category 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

26 September 2003

threat or vulnerability. Increase inspections and guard checks at night, on weekends and holidays to provide deterrence and early detection of loss. Conduct checks with irregular timing to avoid establishing a predictable pattern.

d. Guard checks must include physical checks of all doors and locks, and windows. Record guard checks and keep the records for 3 years.

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, U.S. Marshall's Service, State, local, or campus law enforcement authorities as appropriate.

g. Train and qualify the security force with the small arms they carry as delineated in reference (c) or MCO 3574.2H (reference (f)). Document this training in each person's training record.

h. Train the security force in the use of deadly force under SECNAVINST 5500.29A (Use of Force by Personnel Engaged in Law Enforcement and Security Duties, reference (g)) or MCO 5500.6F, reference (h). 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 for 3 years.

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.

26 September 2003

1. 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.

0203 SECURITY LIGHTING. Provide enough light to allow observation of people (a minimal 0.2 foot candles) at exterior doors of all storage rooms and structures containing arms or Category I or II A&E. Emergency lighting and standby power are not required, but should be considered when threat and vulnerability warrant. Light switches must not be accessible to unauthorized persons.

0204 READY FOR ISSUE (RFI) AA&E STORAGE. 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 the following conditions are met:

a. The minimum amount of weapons and ammunition necessary for the mission are stored in the RFI, and they are kept in a locked container, standard or locally-made arms rack, or area.

b. An armed guard or watchstander, with communication equipment to summon assistance, is within sight of the storage container or area(s) at all times;

c. The guard or watchstanders' other duties, such as monitoring alarms, must not interfere with the ability to control access to the weapons;

d. The weapons storage container or area is inventoried at each change of watch or whenever the container is opened; and

e. Access to the area is strictly limited.

0205 LOCKS

a. Entry doors to armories and magazines must be secured with high security locking devices (see appendix D). Interior doorways may use GSA-approved Class 5 or 8 vault doors. Keyed-alike locks may be used on arms racks.

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.

26 September 2003

c. Doors not normally used for entry must be secured from the inside with locking bars, dead bolts, or padlocks. Panic hardware, when required, must be installed so as to prevent opening the door by drilling a hole and/or fishing from the outside. Panic hardware must meet safety, fire, and building codes and be approved by the Underwriters Laboratory or, when applicable, meet host country requirements.

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

e. Naval Surface Warfare Center Division (NAVSURFWARCENDIV), Crane, IN issues, repairs, and replaces cylinders, locks, and keys for high security locks. Send damaged or malfunctioning locks and requests for cylinder and key replacement by registered mail to Commanding Officer, Naval Surface Warfare Center Division, Crane, Indiana 47522-5010 (Code 4044).

f. High security locks or lock cores should be rotated annually to allow preventive maintenance. Secure replacement or reserve locks, cores, and keys to prevent access by unauthorized individuals.

g. The S&G model 6804 and LaGard model 2233 changeable key-operated lock are authorized for use on response/security force lockers.

h. Seals referred to in this instruction must be serially numbered, tamperproof, and must be safeguarded when stored. The serial number of a seal must be shown on the GBL. 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 specification. Further information may be obtained from the Naval Facilities Engineering Services Center (NFESC), ESC 66, Port Hueneme, CA 93043-1212. Telephone is DSN 551-1212/commercial (805) 982-1212.

0206 KEYS

a. The commanding officer or designee must appoint in writing an AA&E key and lock or access control custodian who will assure proper custody and handling of AA&E keys and locks.

26 September 2003

He/she may be assigned responsibility for all locks and keys, or just those to AA&E spaces. Key custodians shall not be unit armorers or other persons responsible for the AA&E storage facilities.

b. Maintain keys to AA&E and IDS(s) separately from other keys 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. Keep the number of keys to a minimum.

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 Category I and II AA&E must be stored in General Services Administration (GSA)-approved Class 5 security containers or weapons storage containers. Keys to Category 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, a built-in combination lock meeting UL Standard 768 Group I, or a GSA-approved key-operated padlock.

d. When arms and ammunition are stored near one another, keys to those storage areas may be maintained together.

e. For afloat commands, keys to ammunition and explosives spaces must be kept on separate welded or brazed rings from rings with keys to weapons storage spaces. The purpose is to prevent theft or loss of one key ring which could provide access to both weapons and ammunition. RFI AA&E lockers for response forces are exempt from this requirement.

f. If keys are lost, misplaced, or stolen, replace the affected locks or cores immediately. Also secure replacement or reserve locks, cylinders, and keys to prevent unauthorized access to them.

g. Inventory keys and locks semiannually and keep inventory records for 3 years.

h. Maintain a key control register to ensure continuous accountability of keys. Register must contain the name and signature of the individual receiving the key, date and hour of issuance, serial number or other identifying information of the key, signature of the person issuing the key, date and hour key

26 September 2003

was returned, and the signature of the individual receiving the returned key. Retain completed registers for 3 years.

i. When individuals, such as duty officers, are charged with the responsibility for safeguarding or otherwise having keys immediately available, they may sign for a sealed container of keys when an unbroken seal is evidence that the keys have not been disturbed. 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 are verified. For Marine Corps activities, after-hour transportation and storage of AA&E keys will be as prescribed in MCO P5530.14 (reference (d)).

j. Keys to armories, racks, containers, or magazines may not be removed from the installation or ship except to provide for protected storage elsewhere. 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 (United States Code, Section 1386 of Title 10).

k. Locks protecting AA&E spaces may not be part of a master key system.

0207 RESTRICTED AREA POSTING. Post areas where Risk Category AA&E is stored as restricted areas (see reference (c) or (d), as applicable).

0208 SECURITY SURVEYS. Activities must conduct AA&E security surveys every 12 months (6 months for ships) and maintain records for 3 years for review during assistance visits, command inspections and explosive safety inspections. For Marine Corps activities, the conduct of physical security surveys will be as prescribed in MCO P5530.14 (reference (d)). At Navy activities, surveys will include:

a. Reviewing status of any corrective action taken on security deficiencies noted during previous surveys, assistance visits, or command inspections;

b. Reviewing guard orders, security force procedures, and AA&E security regulations to ensure all changes have been entered and documents are current;

c. Ensuring waivers and exceptions for AA&E security have been requested where appropriate, and copies of approved current waivers and exceptions are on file;

d. Comparing a random selection of AA&E inventory records with the designated magazine storage locations of those items;

e. Comparing a random selection of AA&E items with the listed inventory quantities; and

f. Marine activities must ensure Missing, Lost, Stolen, and Recovered (MLSR) AA&E is reported as required by MCO 4340.1A (reference (i)).

26 September 2003

CHAPTER 3

ARMS

0300 GENERAL. This chapter, along with chapter 2, prescribes requirements for protecting DON arms, including those in rod and gun club facilities. (Category I missiles and rockets are covered in chapter 4 with ammunition and explosives.)

0301 STORAGE FACILITIES

a. Structures. Armories will be built to the construction standards of MIL-HBK 1013/1A (reference (j)), or magazines constructed as directed in chapter 4 may be used. Also acceptable are modular vaults meeting Federal Specification AA-V-2737, and portable explosives magazines as specified in Naval Facilities Engineering Service Center Technical Data Sheet 82-12. Existing facilities may continue to be used if they provide 10 minutes of forced entry delay (use reference (j) to meet this design goal).

b. Doors. Doors will be constructed of 1 3/4-inch thick solid or laminated wood with a 12-gauge steel plate on the outside face, or of 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. Large doors for vehicle access to large bays will be hardened per reference (j).

(1) 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.

(2) 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.

(3) 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.

26 September 2003

(4) 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 (use reference (j) for guidance). Weapon issue points will not exceed 190 square inches when open, and when not in use will be secured with material comparable to that forming the adjacent walls.

d. Safes, Arms Racks, and Storage Containers. Arms in an armory will be stored in banded crates, standard or locally made arms racks, or a Class 5 GSA-approved container.

(1) Secure arms racks with low security padlocks (see appendix D). In facilities not continuously manned, arms racks and containers weighing under 500 pounds (with weapons) will be fastened to the structure (or fastened together in groups totaling over 500 pounds) with chains secured with bolts or low security padlocks (spot weld, peen or otherwise secure the bolts). 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, NSN 4010-00-149- 5583, NSN 4010-00-149-5575, or NSN 4010-00-171-4427.

(2) Hinged locking bars for racks will have the hinge pins welded or otherwise secured to prevent easy removal. Racks must prevent removal of a weapon by disassembly.

(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.

e. IDS. 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, and area (or volumetric) sensors covering the interior.

26 September 2003

f. Security Lighting, Locks and Keys and Security Patrols are covered in chapter 2 (also see appendix B).

g. Facilities Located Off a Military Installation. Remove bolts of Risk Category II arms and secure in a separate building or separate Class V container under any of these conditions:

- (1) Facility does not meet structural criteria;
- (2) Increased threat conditions;
- (3) Inoperative IDS;
- (4) During periods of annual field training if arms are left in the facility; or
- (5) At the decision of the commander having direct security responsibility for the facility.

Note: Bolts so removed 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.

0302 CONSTRUCTION EXEMPTIONS

a. Containers. On a military installation, small numbers of arms (generally, the number that can be accommodated in a single container) may be stored in a Class 5 security container or weapons locker with a GR 1 combination lock providing forced entry protection as approved by GSA (Federal Specification AA-F-363 (latest series)). The container must be under continuous surveillance or protected by an IDS including volumetric sensor, and the facility checked by a security patrol at least once every 24 hours. Containers weighing under 500 pounds must be secured to the structure.

b. Existing Facilities on a Military Installation. Existing substandard facilities (those used continuously as an armory from before 18 December 1981) located on a military installation may continue to be used if determined to be adequate by CNO (N09N3) or CMC (PS). This instruction's requirements for arms racks, storage containers, security lighting, IDS, and 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.

26 September 2003

c. Ready-For-Issue (RFI). See paragraph 0204 in chapter 2. Other exemptions may be granted by CNO (N09N3) or CMC (PS).

0303 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, or aircraft to which assigned, or in other configurations within the security philosophy set forth herein and by the activity concerned. Security may consist of armed guards at entry/exit points, a roving patrol inside a holding 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, or aircraft will apply.

0304 ARMS PARTS. Store and protect major arms parts (barrels, major subassemblies, frame or receiver) according to the proper category of the complete weapon (for example, the receiver of a .30 caliber machine gun must be stored as a Category II arm).

0305 ACCESS CONTROL. Unaccompanied access to arms storage spaces will be limited to those personnel needed for associated operations. Those persons must be designated in writing by the commanding officer only after a favorable National Agencies Check (NAC) or Entrance National Agency Check (EntNAC) is completed, and they have been screened as required in paragraph 0107. At Marine Corps activities the Commanding Officer has the authority to grant a 6-month waiver to the NAC/EntNAC requirement, as long as the 2-man rule is enforced and both personnel have been favorably screened per paragraph 0107. Visitors will be approved by the commanding officer or his/her designated representative, escorted, and their entry logged.

0306 CUSTODY RECEIPT FOR SMALL ARMS. Individuals receiving subcustody of small arms, including man-portable hand-launched missile systems in ready-to-fire configuration - or easily made ready to fire - must obtain authorization from the commanding officer or his/her designated representative and sign a custody receipt listing serial number and type of item(s) received. If the receiver is unable to provide adequate physical security as outlined in this chapter, he/she may check out small arms and related ammunition only as an immediate need exists and must return them to the original responsible activity (Marine Corps personnel will be qualified by either reference (f) or (h)).

26 September 2003

0307 NAVY AND MARINE CORPS RESALE FACILITIES AND EXCHANGES.

Minimum standards for Exchange Resale Facilities are:

- a. Store AA&E per this instruction.
- b. Use only empty ammunition boxes for display.
- c. Keep arms in display racks that are locked with low security locking devices (see appendix D) 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 armory after open hours.
- d. Take 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.

0308 NAVY AND MARINE CORPS MUSEUMS AND UNIT DISPLAYS. AA&E will be safeguarded per this instruction unless it is certified as demilitarized under OPNAVINST 8020.14 and NAVSEAINST 4570.1A (reference (k)). However, historically significant items must be protected without damaging their operational or aesthetic value. No museum AA&E item will be permanently altered by cutting, welding, or any other means without the written approval of CNO (N09BH) or CMC (HDM), as appropriate.

- a. Storage: Secure arms in an armory or appropriate container (see chapter 3). Secure ammunition per chapter 4.
- b. Display: Only antique or unique items may be displayed. Current AA&E items (live ammunition and weapons which use self-primed metal cartridges) may not be displayed if they are still functional. They may only be displayed if they are modified to render them temporarily inoperable, such as by removal of firing pins and/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 Balanced Magnetic Switches (BMS)) on all doors and other man-passable

OPNAVINST 5530.13C

26 September 2003

openings, and area (volumetric) sensors covering weapons display areas;

(3) For items exhibited in static outdoor displays, remove minor caliber weapons (up to 25mm) 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.

CHAPTER 4

AMMUNITION AND EXPLOSIVES

0400 STORAGE

a. See reference (a) for construction standards. The High Performance Magazine and Security System, designed by Naval Facilities Engineering Service Center, is also approved for use. Category III and IV A&E may be stored in prefabricated magazines (specified in Naval Facilities Engineering Services Center Technical Data Sheet 82-12) if operationally necessary. Structural upgrades to existing facilities must provide 10 minutes of forced entry delay; use MIL-HDBK-1013/1 to meet this requirement.

b. All categories shall normally be stored in original containers, banded, and sealed to reflect the integrity of the contents. Generally, containers weighing less than 500 pounds shall be fastened to the structure, or fastened together in groups, which have a total weight exceeding 500 pounds with bolts or chains secured with padlocks meeting Commercial Item Description (CID) A-A-1927. Where such fastenings hinder operational requirements, the facility manager may waive this requirement.

0401 IDS. Protect Category I and II storage facilities with IDS unless they are continuously manned or under constant surveillance (see chapter 2 and appendix B). IDS for Category III and IV storage facilities is not required; however, if IDS is used, security checks of these facilities may be eliminated, except at Marine Corps activities, where security checks will be conducted once every twelve hours during non-duty hours.

0402 SECURITY PATROLS. Storage facilities must be checked periodically, preferably at irregular intervals during non-duty hours, by a security patrol as dictated in appendix B (except for Navy Category III and IV storage facilities protected with IDS, which do not require patrols).

0403 LOCKS. High security locks and hasps are required on all AA&E storage structures.

0404 FENCES. Category I and II A&E storage areas must be fenced; follow the guidelines in reference (c) or (d), whichever

26 September 2003

is applicable, for fences and clear zones, except that existing 6-foot fences are acceptable.

0405. LIGHTING. Exterior building and door lighting shall be provided for all structures storing Category I and II items. The lighting shall be of sufficient intensity to allow detection of unauthorized activity. Switches for exterior lights shall be installed in such a manner that they are accessible only to authorized individuals.

0406. COMMUNICATIONS. Storage areas shall have a primary and backup means of communications that permit notification of emergency conditions. The backup system shall be a different mode than the primary. Radio may be one of the modes of communication. The communication system shall be tested daily.

0407 ACCESS CONTROL. Strict access control will be maintained at all gates leading into A&E storage areas. Use a pass, badge, access roster, or sign in/out system to properly identify authorized personnel. Maintain entry records for 3 years. Privately-owned vehicles are prohibited; exceptions may be allowed at Navy sites only at the discretion of the commanding officer. General recreation is prohibited; however, hunting and fishing for control of game populations or other wildlife controls (see NAVFAC P-73, Volume II (reference (1))) may be authorized by the commanding officer.

a. Security force personnel will check property passes of vehicles entering or leaving and perform routine or random inspections of vehicles entering, within, or departing.

b. Unaccompanied access to AA&E storage spaces must be limited to persons required for essential operations, and their entry must be limited to what is required for these operations. The Commanding Officer (CO) must approve personnel with unescorted access and a list of these persons must be kept. The CO may delegate authority to approve escorted visitors of persons authorized access. (Note: personnel assigned to escort others in ammunition and explosives spaces must themselves meet the requirements for unescorted entry to those spaces, to include being on the appropriate authorized access list.)

26 September 2003

CHAPTER 5

ACCOUNTABILITY, DISPOSAL, AND DEMILITARIZATION

0500 GENERAL.

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, and destruction/demiliterization as required by DoD 4140.1-R, the DoD Material Management Regulation. This regulation's requirements are summarized in the following paragraphs.

b. For boxed and banded items, inventories may consist of 100% counts as reflected by the number of items listed on the boxes. Perform a complete count of the contents of any box if there is any evidence of tampering. At unit level, annually one of the inventories required below must be performed by a disinterested third party officer, senior enlisted, or civilian equivalent (not in the inventory chain of responsibility and not with normal access, but may be from within the command).

0501 TRAINING IN ACCOUNTABILITY. Activities possessing AA&E must establish a training program for personnel responsible for the accountability of AA&E items. Include training in the importance of accurate receipt, dispatch and inventory records and adherence to required scheduled inventories. Include, as appropriate, procedures for processing inventory adjustment gains and losses as prescribed in DoD 4140.1-R. Include disciplinary actions that may be taken against individuals responsible for violating the security requirements in this instruction. Give refresher briefs to ensure these concerns are not forgotten.

0502 MISSILES AND ROCKETS (Category I, II and III)

a. Records of Category I missiles and rockets (i.e., in ready-to-fire configuration or stored with its launcher or gripstock) must provide continuous accountability by serial number (or unique item identifier (UII)) as indicated here:

(1) Unit level: 100 percent count monthly; 100 percent serial number (or UII) inventory quarterly.

26 September 2003

(2) Station/installation level: 100 percent count semiannually.

(3) Depot level: 100 percent annual inventory by serial number (or UII).

b. Category II and III missiles and rockets will be inventoried quarterly with a 100% count. For all missiles and rockets, include items issued for training, and require the return of unexpended missiles and expended residue. Conduct stock point inventories semiannually according to procedures in NAVSUP P-724 Conventional Ordnance Stockpile Management.

0503 ARMS

a. Unit Level - 100 percent monthly count; 100 percent quarterly inventory by serial number (or UII).

(1) Marine Corps activities will physically inventory weapons not boxed, banded, and sealed with tamper-proof devices (long term storage) upon opening and closing any armory, and records will be kept for 3 years. Weapons in long term storage (boxed, banded, and sealed with tamper-proof devices) will be counted and inventoried by the number of items listed on the boxes. Weapons will only be placed in long term storage after they have been inventoried by serial number. Any evidence of tampering will be cause for that box to be opened and inventoried by serial number. In addition, a monthly inventory of serialized weapons will be conducted by a disinterested third party using an extract of the current, signed armory/weapons storage area Consolidated Memorandum Receipt (CMR). Organizations storing small arms and conducting monthly serialized inventories should maintain the following for 3 years:

(a) Inventory officer letter of assignment;

(b) CMR extract utilized for inventory;

(c) Written results of inventories, to include that the seals were verified on packed weapons, that there was adequate supporting documentation for weapons not on hand (e.g., receipt copy of EROs, NAVMC 10520), and commanding officer's instructions concerning any discrepancies.

b. Station/installation Level - Semiannual 100 percent inventory by serial number (or UII).

26 September 2003

c. Depot Level - 100 percent inventory by serial number (or UII) annually.

d. Maintain records that do not reflect discrepancies for 2 years; maintain records that reflect discrepancies for 4 years. Note: The DON registry at Crane Division, Naval Surface Warfare Center maintains a registry of DON arms. Refer questions to the Navy Registry, Navy Small Arms Management at:

Commander
Code 4086
NAVSURFWARCENDIV
300 Highway 361
Crane, IN 47522-5001

0504 AMMUNITION AND EXPLOSIVES

a. The Conventional Ammunition Integrated Management System (CAIMS) is the central records repository for worldwide Navy non-nuclear expendable ordnance. In addition to CAIMS reporting of all Navy munitions, all units will maintain stock records that provide continuous accounting in accord with DoD 4140.1-R, "DoD Material Management Regulation" of May 1998 (NOTAL) and OPNAVINST 8015.2A, "Conventional Ordnance Inventory Accountability"; at unit level perform a 100 percent count monthly; at station or installation level perform a 100 percent count semiannually. Retain records for 2 years, 3 years at Marine Corps activities.

b. Commanding General, Marine Corps Research, Development, and Acquisition Command (Code AM) is the central record repository for Marine Corps ground non-nuclear expendable (Class V(W)) ordnance and will issue appropriate guidance to Marine Corps units.

c. When custody of keys are transferred to a new key custodian, both out-going and in-coming key custodians will perform an inventory entailing a 100 percent count of ammunition and explosives.

0505 AA&E ACCOUNTABILITY OR AA&E OFFICER. Commanding officers will designate in writing an individual - military or civilian - in this position with responsibility for all AA&E accountability matters, and to ensure command-wide compliance with this chapter. He or she may also serve as weapons officer and/or inventory accuracy officer, and must maintain close liaison with

26 September 2003

the security and inventory accuracy officers. Responsibilities include:

- a. Assist the security officer, provost marshal, Naval Criminal Investigative Service (NCIS), auditors, etc. in investigating AA&E losses.
- b. Regularly report to the commanding officer 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 two years, except at Marine Corps activities, records will be maintained for three years.
- c. Monitor performance and reporting of all AA&E inventories.

0506 INVENTORY ADJUSTMENTS AND VERIFYING REQUISITIONS. When making inventory adjustments, no AA&E loss shall be attributed to an accountability or inventory discrepancy unless investigation has determined that the loss was not the result of theft. Requisitions for AA&E, to ensure their validity, will be signed by a designated individual (AA&E accountability officer, weapons officer, or armorer, as applicable) before processing out of the activity. Maintain internal controls to reject excess or unauthorized requisitions.

0507 DISPOSAL AND DEMILITARIZATION. Disposal of AA&E (Foreign Military Sales, transfer to law enforcement agencies, etc.) is governed by DoD 4160.21-M (reference (m)). Demilitarization of AA&E must be accomplished under NAVSEAINST 4570.1A, (reference (k)). Such AA&E must be transported and stored in accordance with this instruction until demilitarization is completed or accountability transferred. Note:

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

- b. Arms altered as detailed in DoD 4160.21-M-1 Defense Demilitarization Manual of October 1991 to make them incapable of firing may be used as "dummy rifles" for drill purposes, with marksmanship training systems, or for display purposes. The Small Arms Program Manager must approve the altering of arms for these purposes. An approved small arms allowance is required and they must still be reported to the Navy Registry.

26 September 2003

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

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.

0508 FLEET RETURN DOCUMENTATION. The responsible individual at the receiving activity will verify Fleet Return Documentation (DD 1348-1) for accuracy when accepting custody of material. Quantity discrepancies will be annotated and corrected on the document. The ship's accountable officer will ensure appropriate stock record adjustments and Ammunition Transaction Reports are processed in accordance with procedures in NAVSUP P-724, chapters 3 and 4.

26 September 2003

CHAPTER 6

TRANSPORTATION

0600 GENERAL

a. This Chapter prescribes transportation security standards and procedures used in safeguarding categorized AA&E, as described in Appendix A, and for safeguarding uncategorized 1.1, 1.2, and 1.3 ammunition and explosives. Classified AA&E must be stored and transported as required by this instruction and references (c) and (e). 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. Commanding officers 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 Naval Ordnance Safety and Security Activity (NOSSA, Code N714) to assist in reevaluating the applicable security standard and to determine if a change is in order. Nothing in this chapter relieves the commanding officer from the responsibility for safeguarding AA&E in transit.

c. Commanding officers may direct additional protection based on threat determinations and evaluations of a particular movement.

d. Transportation protective service for conventional ordnance items is described in DOD 4500.9-R, "Defense Transportation Regulation (Cargo Movement)." Safety, security and traffic management guidance and direction concerning the transportation of Ammunition and Explosives (A&E) is addressed in NAVSEA SW020-AG-SAF-010, Navy Transportation Safety Handbook for Ammunition, Explosives and Related Hazardous Materials.

0601 RESPONSIBILITIES

Enclosure (1)

26 September 2003

a. The theater Unified Commander's Naval Component Commander, with support from Military Traffic Management Command (MTMC) and Military Sealift Command (MSC), will:

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

(2) Negotiate with commercial carriers for establishment of transportation protective 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, MTMC:

(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 Airlift Mobility Command (AMC) 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 AMC.

d. The Military Sealift Command (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 property.

0602 STANDARDS. The following transportation security policy and standards for AA&E by category, as set forth in Appendix A, are required to adequately protect such items during shipment. On the basis of threat determination and evaluation of the movement itself, AA&E may be given additional protection, but not less than that required by the category assigned to the

26 September 2003

item. Use of commercial transportation services outside of CONUS will adhere as closely as practicable to the requirements contained in paragraphs 0603 through 0616. When such services cannot be obtained, compensatory measures must be taken to achieve equivalent security standards.

a. Every effort will be made to consolidate shipments into Truckload (TL) or Carload (CL) quantities. Less Than Truckload (LTL) shipments are considered more vulnerable to theft.

b. Small arms repair technicians may travel to support facilities and perform on-site repairs instead of shipping small arms for repair.

c. When commercial carriers are used to transport sensitive weapons and ammunition of the same caliber, they will not be combined in the same package or on the same pallet. A shipment consisting of only one pallet is excepted. When practicable, arms and ammunition of the same caliber will not be shipped in the same MIL-VAN/ISO container or conveyance.

d. 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.

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

f. When feasible, and in consideration of item design, manufacturing and packaging specifications, missile main body sections will be shipped separately from launch and guidance and control sections. See paragraph 0603 for special instructions concerning CAT I missiles.

g. 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 MTMC.

h. Shipments must be checked immediately upon receipt to ensure that the seals are intact and for any signs of damage or tampering. If there are such signs, perform an immediate inventory to verify quantities received and to determine the extent of any damage or tampering. If the seals are intact, perform quantity verification on security risk Category I and II

26 September 2003

AA&E within 24 hours, on security risk Category III and IV AA&E within 48 hours. The requirement to check seals and verify quantities received includes shipments of all categories of AA&E and uncategorized hazard class 1.1, 1.2, and 1.3 ammunition and explosives.

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

j. Uncategorized hazard class/division 1.1, 1.2, 1.3 ammunition and explosives shipped by all modes will be afforded the same protection as Categories III and IV.

k. Transportation security measures will be established commensurate with the established Force Protection Condition (FPCON). FPCON policy and procedure is defined in DoD 0-2000.12-H, Protection of DoD Personnel and Activities Against Acts of Terrorism and Political Disturbance of February 1993.

l. For AA&E shipments arriving at a destination during other than normal delivery hours, consignees capable of securing the shipments will accept the vehicle on their facility and secure it with the level of transportation protection required for the applicable category. Refer to Table 6-1 for secure holding area physical security.

0603 SPECIAL CONSIDERATIONS FOR CATEGORY I ITEMS

a. Shipments of Category 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-man certification is required; that is, each container must be checked by two responsible agents of the shipper, and sealed and locked in their presence before delivery to the carrier. This rule applies at transshipment points and terminals whenever the 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, Category I material will be placed in the custody of a commissioned or warrant officer, enlisted person E-6 or above, government service employee GS-6 or above, wage leader-1, or wage supervisor.

26 September 2003

c. When item design and manufacture specifications for personnel portable CAT I ordnance indicate separate packaging for main body sections, launchers, and guidance and/or control components, these sections/components will be transported separately, i.e., in separate freight containers (MILVAN/ISO) and/or separate motor vehicles. The Stinger Weapon round, CAT I, and the Stinger Gripstock, CAT III, will be shipped on separate containers (MILVAN/ISO) and/or separate motor vehicles. Movements aboard Military Prepositioned Ships (MPS) are excepted.

d. At overseas commands, local nationals may accompany U.S. personnel when Status of Forces Agreements prohibit arming of U.S. personnel.

0604 SPECIAL CONSIDERATIONS FOR WATER SHIPMENTS

a. AA&E will be transported via the Defense Transportation System 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 the above are not available, MSC may approve use of foreign flag chartered vessels if:

(1) The carrier and ship's personnel are reasonably vetted in accordance with MSC-established guidelines,

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

(3) There will be no port calls between departure port and port of destination, and

(4) 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. Commanders at all levels will assess the threat and vulnerability to AA&E that will transit through their AOR (Area Of Responsibility). They should consider the type of sealift assigned to the mission (government-owned/government-operated (GO/GO), government-owned/contract-operated (GO/CO), contract-owned/contract-operated (CO/CO) and foreign or US flag time or voyage charter). Also consider the security risk Category of the AA&E, the threat level(s), and the Force Protection Condition(s). Commanders at all levels will then employ appropriate actions such as: crew screening, use of electronic seals, transponders or other technology solutions, embarked

26 September 2003

security (Mobile Security Force (MSF), Fleet Antiterrorist Support Team (FAST), embarked security detachments, combatant escort).

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

0605 SPECIAL CONSIDERATIONS FOR AIR MOVEMENTS. See latest DOD 4500.9-R, Chapter 205.

0606 SPECIAL CONSIDERATIONS FOR SMALL QUANTITY SHIPMENTS

a. Arms. Small quantities, 15 or fewer, CAT IV small arms may be sent via registered mail (return receipt requested) when the size and weight meet U.S. Postal Service requirements. Small quantities, 15 or fewer, CAT IV small arms may also be shipped via DoD CIS regardless of FPCON threat conditions. Arms returned to Central Navy Storage should be shipped to:

Receiving Officer
Code 20
Naval Surface Warfare Center, Crane Division
Bldg. 2522
300 Highway 361
Crane, IN 47522-5001.

b. Ammunition. Small quantities, less than 200 pounds gross weight, of CAT IV small arms ammunition, Class/Division 1.4S, may be shipped via DoD CIS regardless of FPCON. Shipments of CAT IV small arms ammunition, Class/Division 1.4S, may also be transported via the DoD blanket purchase agreement (BPA) awarded carriers under the GSA schedule provided the shipments are within the contract's size and weight limitations.

26 September 2003

c. Inert Non-hazardous Components. Inert, non-hazardous, ordnance components may be sent by registered mail (return receipt requested) when the shipment size and weight meet U.S. Postal Service requirements.

0607 ORGANIC AND UNIT MOVEMENTS/TRAINING. Movements will adhere as closely as practical to the commercial standards set forth in DOD 4500.9-R, Chapter 205, except that SM is not required. The level of physical security protection varies with the FPCON status at origin and/or at destination. Note that CAT I and CAT II movements off-station require the accompaniment of a security escort vehicle (SEV) under all FPCON conditions. Consult Appendix C for direction concerning physical security for movements that take place on military transshipment terminals. Two explosive drivers, or one explosive driver and one assistant driver are required for all AA&E movements off-station. For AA&E movements off-station, the drivers must maintain 2-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 above, 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; however, an armed guard is required aboard Marine Corps installations for the movement of any amount of AA&E greater than individual issue.

a. Off-station transport of small quantities of explosives by Explosive Ordnance Disposal (EOD) personnel and in the transportation of Military Working Dog (MWD) explosives training aids is authorized. These evolutions will normally not require armed guard surveillance unless otherwise directed by the commanding officer in response to heightened threat conditions. The explosives must be in the custody of designated EOD or MWD personnel or secured in designated vehicles. Use of privately-owned vehicles may be authorized by the commanding officer.

b. Commanding officers may authorize transportation of small arms and associated ammunition to facilities on or near a military installation for marksmanship training, competition, or other requirements on a case-by-case basis. The commanding officer's authorization may also include CONUS transport of .30-06 and .30 caliber ammunition of up to 12,000 rounds for Director of Civilian Marksmanship affiliated clubs. Weapons and ammunition must be in the custody of a designated individual.

26 September 2003

Use of privately-owned vehicles (POV) for this purpose may be authorized by the commanding officer. 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. The arms and ammunition must be under constant surveillance during stops enroute to destination.

0608 MOVEMENTS BY COMMERCIAL CARRIER. See DOD 4500.9-R, Chapter 205. Carrier employees will also meet the personnel requirements in Chapter 2.

0609 REPORTS. Overages, shortages, damages must be reported per SECNAVINST 4355.18A and NAVSUP P-723. Refer to paragraph 0614(b) for reporting of transportation discrepancies.

0610 OVERSEAS IN-THEATER MOVEMENTS. Commanding officers 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, transportation protective services 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.

0611 FOREIGN MILITARY SALES (FMS) SHIPMENTS

a. DON officials authorized to approve an FMS transaction that involves the delivery of sensitive or classified U.S. AA&E and uncategorized 1.1, 1.2, and 1.3 explosives to a foreign purchaser will, at the outset of negotiations or consideration of proposals, consult with DOD transportation authorities (MTMC, MSC, AMC, or other, 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 Defense Transportation System (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 CONUS point of origin to the final destination and return shipment when

26 September 2003

applicable. Security officials of the DON activity that initiates the FMS transaction will evaluate the plan to determine whether it adequately ensures protection of the most sensitive category AA&E involved. Unless the DON 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 DD Form 1513, "DOD Letter of Offer and Acceptance."

b. Shipment will be made according to this Chapter, until released to an authorized representative (as delineated in DOD 4000.25-8-M, "Military Assistance Program Address Directory (MAPAD) System" of July 1995) of the purchasing government at the Port Of Embarkation (POE) or Port of Debarkation (POD) as appropriate.

c. Shipments of classified AA&E to foreign governments will be performed in accordance with references (c) and (e).

d. During FMS negotiations, the purchasing government will be advised of the applicability of this instruction 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 instruction, and that shipment manifests are available at the POE and POD before shipments are delivered and released to the recipient country agent in CONUS.

e. For overseas movement, Category 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. Category I shipments returning from overseas will be placed under U.S. security control upon arrival at Customs Territory of the U.S. (CTUS).

0612 CONTRACT MOVEMENTS.

a. DON contracts that procure AA&E requiring transportation protective service will normally be written to require Free On Board (FOB) origin only. For contractor-to-contractor shipments, contracts will be written to require transportation security equivalent to DOD standards contained in DOD 4500.9-R,

26 September 2003

Defense Transportation Regulation, Chapter 205. Contracts must also specify contractor involvement in emergency response procedures in accordance with 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 instruction. All such shipments are further restricted to military-controlled ports or commercial ports approved by the DoD Explosives Safety Review Board and security approved by MTMC. The requirements are also applicable to contracts involving foreign procured (OCONUS) AA&E.

c. For deliveries of AA&E to DON or DON 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.

0613 SECURITY OF COMMERCIAL SHIPMENTS AT DON INSTALLATIONS

a. In the interests of safeguarding shipment security and public safety, DON activities involved in the receipt, storage, and issue of DoD-owned AA&E are required to assist commercial carriers by providing temporary parking and secure holding 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 Force Protection Condition (FPCON), the security risk Category (SRC/CAT) of the AA&E, the level of security offered by the DoD activity, and the existing Explosive Safety Quantity-Distance (ESQD) limits of record for the activity's secure holding area.

b. Secure Holding Area. A secure holding area is a location within an activity's 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

26 September 2003

security criteria detailed in DOD 4500.9-R, Chapter 205 and NAVSEA SW020-AG-SAF-010, Navy Transportation Handbook for Ammunition, Explosives and Related Hazardous Materials, Chapter 2. Secure holding areas used for temporary parking of ammunition and explosives (A&E)-laden motor vehicles must also comply with the ESQD requirements of DoD 6055.9-STD (reference a) and NAVSEA OP 5. Marine Corps activities shall also comply with MCO 8020.10 (Ammunition Management and Explosives Safety Policy Manual). The size of the lot, ESQD net explosive weight (NEW) capacity, and physical security accommodations will vary per each activity depending on local requirements and the volume and velocity of in-bound/ outbound A&E traffic.

c. Secure Holding of CAT I and CAT II AA&E. To provide secure holding of CAT I and CAT II AA&E, the holding area must be under constant surveillance (CS). Constant surveillance means that the shipment must be under continuous full-time observation while the motor vehicle is parked in the holding area. The CS requirement can be met in either of three ways: (1) the area can be equipped with either an intrusion detection system or closed circuit TV; (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/motor vehicle while maintaining full unobstructed view thereof; (3) subject to activity Commanding Officer/Officer In Charge discretion as reflected in local directives, driver(s) or other qualified carrier representative can remain in the cab of the vehicle, if he/she 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. The ESQD criteria discussed in paragraph 0613(b) apply. Note that AA&E materials that are shipped with a SECRET security risk code will be afforded the same physical security protection as CAT I and CAT II AA&E.

d. Safe Haven. Safe Haven is the act of permitting a motor carrier engaged in the transport of DoD AA&E and related hazardous material or other sensitive items to park an impacted motor vehicle in a designated parking area on a DoD activity in response to emergency conditions. Emergency conditions may include civil disturbances, natural disasters, mishaps, vehicle breakdowns, terrorist threats, driver illness or other emergent contingencies. Under these conditions, the DON activity in closest proximity to the scene of the emergency shall permit the AA&E-laden motor vehicle to gain expedited access to the appropriate secure holding area on the station for temporary parking. In the event that the quantity and HC/D of the

26 September 2003

impacted shipment exceeds the ESQD limits in effect for the sited secure holding area or if the nearest DON activity does not have a sited secure holding area, the activity CO/OIC will provide temporary parking at an alternate site on-station that affords ESQD protection to the maximum possible extent in accordance with the principle of acceptable risk. CAT I and CAT II AA&E will be afforded the level of physical security protection detailed in paragraph 0613(c).

e. MUNITIONS CARRIER ACCESS TO DOD INSTALLATIONS IN RESPONSE TO VARYING FPCON LEVELS. FPCON B, C, and D contingencies may arise that will cause a carrier to seek secure holding for the impacted A&E shipment at the nearest DoD activity. Under these circumstances, the motor vehicle carrying the A&E cargo will be allowed access to the activity's secure holding area and will remain parked in that area pending diminution of the existing threat. This principle applies regardless of whether the A&E cargo is or is not destined for delivery to the activity from whom the carrier is requesting assistance. Secure holding area access in response to FPCON B, C, and D requests for assistance will follow the same safety and security criteria applicable to holding area access in response to Safe Haven emergency requests as explained in paragraph 0613(d). Activity A&E shipping and receiving instructions should include FPCON alert and response procedures and provide requirements for security guards, motor vehicle inspectors, field operations personnel, supervisors and traffic managers. FPCON levels are defined in DoD O-2000.12-H (Protection of DoD Personnel and Activities Against Acts of Terrorism and Political Turbulence of February 1993).

f. NON-EMERGENCY IN-TRANSIT TEMPORARY PARKING. The origin transportation officer must schedule shipments to arrive at the destination within normal receiving hours, making every effort to avoid the layover of shipments during weekends, holidays, and non-receiving hours. However, circumstances may arise, separate from the emergency considerations discussed in paragraph 0613(d), when an activity may be called upon to provide temporary secure holding for an A&E shipment that is destined for another DoD activity. This in-transit condition may be attributed to any one of a number of varying routing and dispatching circumstances including consignee's lack of a secure holding area; occasions when, in a stop-off situation, the ESQD limits for the consignee's secure holding area are not commensurate with the total quantity and type of A&E lading aboard the motor vehicle that may be intended for other destinations; operational contingencies in effect at the

26 September 2003

intended consignee preclude delivery and require diversion of the A&E shipment to an alternate DoD activity. In-transit temporary parking of A&E-laden motor vehicles must be in compliance with the ESQD and physical security requirements cited in paragraphs 0613(b) and (c).

g. OCONUS Security. For deliveries of AA&E to DON or DON 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.

0614 REPORT OF SHIPMENT (REPSHIP)

a. The shipping activity is responsible for notifying the receiving activity that a shipment is enroute. Shippers will notify the designated receiver no later than 2 hours after a shipment's departure. Refer to DOD 4500.9-R, Chapter 205 for additional FPCON-related REPSHIP requirements. The REPSHIP will be prepared in accordance with DOD 4500,9-R and NAVSEA SW020-AG-SAF-010. REPSHIP notifications will be sent via facsimile machine or other electronic means and will be confirmed by a REPSHIP message to consignee. Telephonic REPSHIP notifications must be confirmed via written report. The receiving activity must establish and maintain suspense lists to ensure timely receipt of the material and to plan and prepare for expeditious on-station dispatch of in-bound AA&E shipments.

b. When a classified or Category I or II shipment is not received within 12 hours of estimated time of arrival (24 hours for Category 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.

0615 SHIPPER DUTIES AND RESPONSIBILITIES

a. The duties and responsibilities of the point-of-origin transportation officer are defined in Chapters 1 and 2 of NAVSEA SW020-AG-SAF-010.

b. Loss, theft, unlawful disposition, or breach of AA&E accountability must be reported immediately in accordance with NAVSUP P-723, SECNAVINST 4355.18A and Chapter 8 of this instruction.

26 September 2003

c. Shipments will be traced immediately upon notification of non-delivery.

d. Bills of Lading (BL) will be annotated to indicate type of protective service requested (e.g., Protective Security Service (PSS), Dual Driver Protective Service (DDP), Dual Driver with National Agency Check (DDN), Security Escort Vehicle Service (SEV), Satellite Motor Surveillance (SNS), Mission Need Statement (MNS), Rail Armed Guard Surveillance Service (ARG), Rail Inspection Service (RIS), Military Traffic Expediting Service (MTX), and Constant Surveillance Service (CIS), 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 BL (Bill of Lading), "Notify consignor and consignee (enter-24 hour telephone numbers immediately if shipment is delayed enroute." The BL will contain instructions for drivers to seek a safe haven on a U.S. military installation in the event of an emergency (paragraph 0613(d) pertains). Contract host nation drivers may also be instructed to seek refuge on a host nation military installation. For rail shipments of Category I through IV items, the carrier must advise the consignee of the shipment's arrival at the yard serving the consignee and of its arrival at the consignee's activity. The BL should also reflect this requirement.

e. When Signature and Tally Record service is used, 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 DDP/DDN/PSS, both drivers must sign the DD Form 1907.

f. The shipper must notify the consignee within 2 hours of a shipment's departure (see REPSHIP requirements per paragraph 0614).

g. An approved numbered seal must be used for all applications specified in DOD 4500.9-R, 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 ammunition and explosives.

0616 TRANSPORTATION DISCREPANCY REPORTING (TDR)

26 September 2003

a. Shipment discrepancies shall be documented via completion of a TDR using Standard Form (SF) 361 per instructions in DOD 4500,9-R and NAVSEA SW020-AG-SAF-010. The TDR will be used to report excessive delays in-transit, damaged shipments, security irregularities and other deficiencies. Upon discovery of a discrepancy in shipment, the receiving activity action officer will:

(1) If the cited deficiency indicates an actual or suspected breach or compromise of security, immediately notify the local security office or provost marshall.

(2) In CONUS, notify the Commander, MTMC, Attn: MTMC Operations Center, Ft. Eustis, VA 23604-5000 or call comm 757-878-7555/8141 DSN 826-7555/8141. In OCONUS, the Airlift Mobility Command or Military Sealift Command will be notified.

0617 ON-STATION MOVEMENTS AND ACCOUNTABILITY

a. Movements via Commercial Vehicles. All transportation security criteria apply except that SM is not required. However, drivers of commercial vehicles must ensure that all DTTS (Defense Transportation Tracking System) obligations are satisfied with respect to shipment status -- e.g. arrival, departure, safe haven, refuge. 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 SM 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 outside of restricted areas must be under constant surveillance.

c. Accounting for Movements of CAT I and CAT II AA&E. On station movement of arms and CAT 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/issue forms have been completed. The unit of measure will be the designated unit of issue for each AA&E item. Receipt/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/issue documents, production records containing receipts, or log books. All documentation will include the quantity and type of CAT I and II

26 September 2003

AA&E, date and time of transfer, and signature of person receiving custody.

d. Accounting for Movements of Ammunition and Explosives During Manufacturing and Renovation Processing. For ammunition and explosives 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.

0618 MOVEMENTS WITHIN A RESTRICTED AREA. All transportation security criteria apply except that SM is not required. However, drivers of commercial vehicles must ensure that all DTTS obligations are satisfied with respect to shipment status. Organic movements of AA&E via motor vehicle may be conducted with one explosive driver. CAT I and II AA&E movements must be conducted with conveyance seals in place. Movements of other than CAT I and II may be conducted without conveyance seals in place.

0619 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 numbered seal that meets specification FF-S-2738, "Seals Anti-Pilferage" (latest revision), Type 11 or 12. 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. 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), or else each vehicle, van, and railcar will be physically inspected by a security patrol every hour.

c. Details regarding security standards for AA&E secure holding areas on DoD installations are listed in Table 6-1.

26 September 2003

Table 6-1

SECURITY STANDARDS FOR SECURE HOLDING AREAS FOR AA&E ON AN
INSTALLATION OR CONTRACTOR FACILITY

1. Minimum physical security standards for secure holding of CAT III/IV and UNCAT HD 1.1, 1.2, and 1.3 AA&E at DOD installations or DOD contractor facilities are as follows:

a. Incorporate the secure holding area into the comprehensive facility security plan, approved by the installation commander 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 below standards. Components include:

- (1) Access control.
- (2) Guard force standards, qualification, training, equipment.
- (3) Perimeter fencing.
- (4) Lighting.
- (5) Barriers at entry control points, e.g., jersey concrete barriers, etc. for FPCON CHARLIE and DELTA.
- (6) Key and lock control.
- (7) Emergency communications.
- (8) Emergency power.
- (9) Emergency response forces.
- (10) Response plan for terrorism/criminal threats or other emergencies.

b. General. AA&E will be afforded double barrier protection. Secure holding areas will have access controlled and be within an area surrounded by a perimeter fence to limit access (perimeter fence may be the installation/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.

26 September 2003

Table 6-1 (continued)

SECURITY STANDARDS FOR SECURE HOLDING AREAS FOR AA&E ON AN
INSTALLATION OR CONTRACTOR FACILITY

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 controlled area. Warning signs will be posted in intervals not to exceed 100 feet.

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

e. Fencing. Where used to delineate a secure holding area, all fencing will be in accordance with Service security standards.

f. 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/silhouette guards or other personnel to targeting by criminal/terrorist elements. Lighting will illuminate the area beyond the perimeter to the outer edge of the clear zone that extends 25 feet beyond the secure holding area. The installation commander or facility director will insure a professional lighting survey is conducted for each facility, and a lighting plan will be approved by the commander or 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/cut.

h. Key and Lock Control. A formal key and lock control system will be established per Service guidelines.

Table 6-1 (continued)

26 September 2003

SECURITY STANDARDS FOR SECURE HOLDING AREAS FOR AA&E ON AN
INSTALLATION OR CONTRACTOR FACILITY

i. Communications. Communications will provide a means of alerting local law enforcement and/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.

j. Guards. Guard patrols will check secure holding areas at a minimum interval of once each hour. The guard force will provide around-the-clock coverage. The guards will be professionals, normally members of an existing installation/facility security force. They will be aware of the location and nature of classified, hazardous and sensitive equipment or material in the holding 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/patrols of the surroundings.

2. Additional Minimum Physical Security Standards for Secure Holding of CAT I and II AA&E.

a. Dedicated, 24-hour surveillance by a guard or IDS/CCTV coverage will be expanded to include the secure holding area.

b. 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.

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

3. Protection for Classified Shipments. Classified SECRET shipments will be afforded the same physical security protection as for CAT I and II AA&E. Classified CONFIDENTIAL or CCI shipments will be provided the same security as CAT III/IV/UNCAT Hazard Class/Division 1.1, 1.2, and 1.3 AA&E.

CHAPTER 7

REPORTS AND INVESTIGATIONS

0700 GENERAL

a. A thorough investigation will be made of missing, lost, or stolen AA&E to determine the circumstances and to fix responsibilities as appropriate. Inventory and accountability losses must be investigated thoroughly. BEFORE ANY LOSS CAN BE ATTRIBUTED TO AN INVENTORY OR ACCOUNTABILITY DISCREPANCY, IT MUST BE DETERMINED THROUGH INVESTIGATION THAT THE LOSS WAS NOT THE RESULT OF THEFT 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 Naval Criminal Investigative Service (NCIS) or command investigation so indicates. Note: this chapter does not apply to privately-owned weapons.

b. Navy and Marine Corps units will promptly submit appropriate information relating to theft or suspected theft of AA&E to the local NCIS office per reference (i). NCIS will make National Crime Information Center (NCIC) report entries and also notify the Navy Registry (NAVSURFWARCENDIV Crane (Code 4086)), when applicable. Information will also be submitted to the NCIC and Navy Registry for recovery of DON or other DoD arms. NCIS offices will report significant losses of AA&E (see paragraph 0701b below) 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 FBI.

0701 REPORTS

a. MLSR Reports. Though the MLSR program is eliminated within the Navy. As required by reference (i), Navy activities holding Marine Corps Class V(W), and Marine Corps activities will submit reports of all missing, lost, stolen, or recovered (MLSR) AA&E to CMC (LPC-3/PS) with copies to the chain of command, NAVSURFWARCENDIV Crane (Code 4044), and MARCORSSYSCOM (AM-IMS) for ammo items. (Note: other reports such as the OPREP-3 referred to next may also be required for Navy funded Marine Corps aviation items that meet the reporting criteria for Navy reportable items). MLSR reports are required only if actual gains or losses may have occurred. If causative research can, within a reasonable amount of time (15 days), prove that

26 September 2003

discrepancies are due to errors in records and not actual loss, then an MLSR report should not be submitted (unless to correct an earlier mistaken MLSR report).

b. OPREP-3 Navy Blue incident Reports. Per OPNAVINST 3100.6G, Special Incident Reporting Procedures (OPREP-3, NAVY BLUE, UNIT SITREP) (NOTAL), for significant incidents involving AA&E, DON activities will send message reports within 48 hours detailing the circumstances surrounding such incidents to CNO (N09N3) or CMC (PS), as appropriate, with copies to the chain of command and NAVSURFWARCENDIV Crane. CNO (N09N3) and CMC (PS) will in turn notify DoD (Director of Security, OASD(C3I) DASD(S&IO)) not later than 72 hours after occurrence or discovery. Losses of the following will be considered significant and will be reported:

- (1) One or more Category I or II missiles or rockets;
- (2) One or more machine guns;
- (3) One or more automatic fire weapons;
- (4) 25 or more manually operated or semi-automatic weapons (e.g., revolvers and semi-automatic pistols);
- (5) 5000 rounds or more of ammunition smaller than 40mm;
- (6) 20000 rounds or more of .38 caliber ammunition;
- (7) Five rounds or more of 40mm and larger ammunition;
- (8) Any fragmentation, concussion, or high explosive grenades;
- (9) One or more mines (antipersonnel and antitank);
- (10) Ten pounds or more of demolition explosives including detonation cord, blocks/sticks of explosives (C-4, dynamite, etc.);
- (11) Armed robberies or attempted armed robberies;
- (12) Forced entries or attempted forced entries;
- (13) Evidence of terrorist involvement;

26 September 2003

(14) Incidents that cause significant news coverage, or appear to have the potential to cause such coverage; and

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

c. NAVSURFWARCENDIV Crane will promptly report loss, theft, or recovery of arms to the DoD Central Registry.

0702 COMMAND INVESTIGATION. When NCIS declines to investigate missing AA&E, it will immediately notify the security officer or provost marshal of the accountable or host command, who will perform an investigation. The AA&E Accountability Officer will ensure all applicable documents and personnel are available. The security officer/provost marshal 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/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 commanding officer. 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. Keep the report for 3 years.

26 September 2003

CHAPTER 8

LOW RISK AA&E

0800 GENERAL. Physical security measures in this chapter are minimum standards for AA&E which does not fit within an established security risk Category. This may include large naval weapons (e.g., aircraft-mounted 20-30mm cannons), Marine artillery pieces or non-lethal weapons. Level of risk can be determined for any ammunition or explosive item by using the Decision Logic Table in appendix A. Commanding officers must evaluate the need to protect low risk AA&E according to the local threat and changing risk factors.

0801 SECURITY MEASURES

a. As a minimum, commanding officers will designate AA&E storage areas as Level One Restricted Areas as defined in reference (c), or as Level Two Restricted Areas as defined in reference (d) (whichever is applicable), 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 (e). At a minimum, low risk ammunition and explosives classified SECRET or CONFIDENTIAL will receive protection at least equivalent to that provided for security risk Categories II and III respectively.

c. The security force will patrol open storage areas containing low risk AA&E at irregular intervals, often enough to assure the commanding officer that the munitions are secure.

26 September 2003

CHAPTER 9

AA&E STORAGE AFLOAT

0900 GENERAL

a. Physical security measures in this chapter are minimum standards for each ship while in port during Force Protection (FP) Condition Alpha. Physical security measures will be increased during increased FP Conditions commensurate with port requirements. When underway, a lower level of security, consistent with the ship's mission, is acceptable.

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 instruction pertains to nuclear munitions, which are covered in OPNAVINST C8126.1A, Navy Nuclear Weapon Security (NOTAL).

c. Approved ship alterations (SHIPALT) have been issued for IDS installations for AA&E spaces on CV, LCC, and LPH type ships. No other IDS SHIPALTs are presently planned or programmed for Navy combatants. However, they will be considered for Category I AA&E storage spaces if adequate guard manpower is not available. Shipboard emergency power meets the requirement of a backup independent power source.

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.

e. For storage of non-government AA&E (e.g., privately-owned) see chapter 2.

0901 PROTECTION PRIORITIES. Priorities for protection of AA&E, including response force priorities, are:

Enclosure (1)

26 September 2003

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

b. Armories and lockers containing small arms;

c. Magazines and lockers containing classified ordnance or grenades and demolition explosives;

d. Topside ordnance 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 paragraph 0900d);

f. Magazines and lockers containing pyrotechnics and ammunition 40mm and smaller; and

g. Magazines not covered above containing explosive items or ammunition larger than 40mm.

0902 GENERAL REQUIREMENTS FOR ARMORY, MAGAZINE, AND TOPSIDE LOCKER STORAGE. Armories, magazines, and topside lockers aboard ship will be constructed as indicated in the next paragraphs and be capable of being secured to meet storage requirements for Category II AA&E. All AA&E assigned a security risk category will be stored in armories, magazines, or topside lockers as appropriate. Category I 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. Ready For Issue (RFI) AA&E may be secured as specified in the RFI paragraph in chapter 3 in lieu of the structural requirements detailed in this chapter.

b. All ammunition and explosives for use during exercises and operations at sea, including that used for safety or life saving (except that which is a permanent element of life saving equipment, e.g., life raft pyrotechnics) stored in ready service lockers without high security features will be returned to secure storage upon return to port.

c. Storage of all ammunition and explosives is subject to established explosive safety and compatibility requirements contained in NAVSEA OP 4 "Ammunition Afloat."

26 September 2003

0903 STRUCTURAL REQUIREMENTS FOR ARMORIES AND MAGAZINES. As 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 type 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. On board submarines, patrol gunboats, hydrofoils, mine sweepers, and patrol and utility-type craft, construction in accordance with current ship's plans is acceptable. Security hardware and locking devices, consistent with this instruction will be included in new ships construction. These security related items will be included in ships drawings.

0904 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 COMNAVSEASYS COM standard drawings. They will be constructed of a minimum 14-gauge steel except for the following:

(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 COMNAVSEASYS COM standard drawings; and

(3) On mine sweepers, existing doors may be retained.

c. A non-removable observation port will be provided in entry doors of manned armory spaces. Such doors will be fitted with an interior locking device (e.g., hook and staple, or dead bolt) which will be locked when the armory is manned. New observation ports and replacements will follow NAVSEA Drawing No. 805-1400055.

26 September 2003

d. Main personnel entrances to AA&E spaces will be provided with normal and emergency lighting (may be relay/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.

e. 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.

f. 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).

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

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

0905 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 D). 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 may not be used.

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

c. Small arms within lockers on submarines or other ships, which are designated as RFI to response forces, do not require rack locking devices if the locker is fitted with high security hardware or the space in which the locker is located is manned 24 hours a day.

26 September 2003

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. Existing 1/8 inch aluminum topside ordnance lockers may be retained provided they are not used to store grenades, demolition material or incendiary material. All will have high security locks, hasps, and two hinge security brackets (or a continuous strip). Note: a 1300 series hasp, when used with a medium security lock, is acceptable as a high security locking system.

0906 REQUIREMENTS FOR AA&E EMERGENCY ESCAPE SCUTTLES AND HATCHES

a. Under no circumstances will emergency escape scuttles and hatches be padlocked from the inside.

b. Outside locking devices for emergency scuttles and hatches with permanently installed quick acting double (top and bottom) handwheels 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 will be secured with an approved high security padlock/locking device (see appendix D). That method is also approved for scuttles/hatches with removable handwheels or flush scuttles/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."

0907 REQUIREMENTS FOR AA&E ELEVATORS

26 September 2003

a. Commands will 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. Power or manual doors controllable only from within the secured area do not require locking systems.

c. Where "J" doors are installed in lieu of hatches, the elevator platform will be secured and controls outside the secure spaces will either be made inoperable or locked to prevent unauthorized use (elevators which do not access AA&E storage areas do not require security controls).

d. Elevator "J" doors will be secured at the lowest level with the end interlocking device locked with an approved lock (see appendix D).

0908 OPENINGS IN AA&E STORAGE SPACES. Each opening or duct of 96 square inches or more with the least dimension greater than 6 inches will be protected by steel bars (minimum 3/8-inch steel rods with maximum 4-inch spacing) or 6-gauge wire mesh. Bars and wire mesh will be welded to steel frames securely anchored to the structure by smooth head bolts or welding.

0909 LOCKING SYSTEMS AND KEY CONTROL. Locking systems will be complete and compatible, i.e. locks, hasps, etc. will 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 following apply:

a. AA&E storage space entrances, unless secured from inside, will be secured with a high security locking system (see appendix D). Local tender-constructed hasps are not authorized;

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

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

26 September 2003

d. 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;

e. Topside ordnance lockers used to store high explosive or white phosphorus grenades, demolition material, or incendiary rockets will be secured with a high security locking system. Other topside lockers will use either a high security locking system or a medium security padlock with a hasp fabricated of minimum 1/4 inch 300 series stainless steel per MIL-H-43905;

f. Appendix D and the Naval Ships Technical Manual S9086-UK-STM-010 (NOTAL), Chapter 604 (Locks, Keys, and Hasps) provide further helpful details; and

g. Key control will be as delineated in chapter 3.

0910 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 commanding officer.

b. GSA-approved Class 5 security containers are authorized for storage of small arms in lieu of small arms lockers/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 3).

d. Small arms (including Very 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.

0911 STORAGE OF EMBARKED TROOPS' AA&E

a. A ship's ammunition and explosives allowance may be stored with Landing Force Operational Reserve Material (LFORM) 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

26 September 2003

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. To allow for damaged locks and lock rotation, spare lock cylinders totaling 10 percent of the total number of locks will be kept. Keys will be stored in a locked key cabinet or repository in the ship's armory. 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 commanding officer 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.

0912 STORAGE ABOARD SUBMARINES

a. Torpedoes in submarine torpedo rooms are exempt from the security requirements contained here. So too are arming devices stored in appropriately secured lockers within a torpedo room, provided they are inventoried before entering port and transferred to a tender or shore base for secure storage while in port. Arming devices may also be stowed in the small arms ammunition locker in lieu of off-loading them.

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 instruction (see chapter 1), 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.

26 September 2003

0913 AA&E INVENTORIES

a. The ship will conduct scheduled inventories of AA&E as required in chapter 5. Additionally, inventories of arms and Category I items will be conducted upon relief of the commanding officer; upon relief of the department head responsible for the items; 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.

0914 ACCESS CONTROL

a. Unaccompanied access to armories, magazines, and other AA&E storage spaces will be limited to those persons necessary for performance of essential operations. Persons with access to arms or ammunition or explosives must be designated in writing by the commanding officer only after a favorable National Agencies Check (NAC) or Entrance NAC (ENTNAC) has been completed. Before persons are assigned duties involving access to or use of AA&E, they will be screened as delineated in chapter 1.

b. The commanding officer is responsible for approving unescorted access. Escorted access may be approved by his/her designated representative. The command will maintain a list of authorized personnel, one copy kept by the ship's duty section and one copy posted inside the armory. An access log will be maintained listing the name of the person(s) allowed access, the person authorizing access, the time of access, and the purpose.

c. Personnel assigned to escort others in AA&E spaces must themselves meet the requirements for unescorted entry to those spaces, including being on the proper authorized access list.

0915 CUSTODY RECEIPT FOR SMALL ARMS. Individuals receiving custody of small arms, weapons, and man-portable hand-launched missile systems in ready-to-fire configuration must obtain authorization from the commanding officer or his or her designated representative and sign a custody receipt listing the serial number and type of item received. If the receiver cannot provide adequate physical security as outlined in this chapter, he or she may check out small arms and related ammunition only

26 September 2003

for immediate needs and must return them to the original responsible activity for storage.

0916 RESPONSE FORCE AND READY-FOR-ISSUE (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 5 minutes of an alarm.

b. The response force will be drilled at a frequency prescribed by Fleet or Type Commanders, but as a minimum, within 1 week after assignment of new personnel to the response force. 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 OPNAVINST 3591.1C "Small Arms Training and Qualification." 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 circumstance 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 deadly force, in accordance with reference (g) or reference (h), as applicable. 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.

26 September 2003

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 as delineated in chapter 1.

j. Ready For Issue (RFI) AA&E storage will meet the requirements of chapter 2.

0917 QUARTERDECK SENTRIES. In foreign ports, posted quarterdeck sentries will be armed. However, commanding officers may temporarily waive, on a case-by-case basis, the arming of posted quarterdeck sentries when in foreign ports if in his or her 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 commanding officer.

0918 AA&E SURVEYS. Each ship will conduct AA&E security surveys as required in chapter 2 with the difference that surveys will be at least every 6 months and records of the surveys will be maintained for 3 years.

0919 SPECIAL REQUIREMENTS FOR MSC SHIPS.

a. Intrusion Detection Systems (IDS) and Closed Circuit TV (CCTV) will be installed on all MSC government-owned government-operated (GO-GO), government-owned contract-operated (GO-CO), pre-positioned ships, and long term charters. These systems must allow monitoring of hatches and doors that access AA&E from the bridge while underway, and from the quarterdeck while in port. If monitoring systems are unavailable, containers 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 staffs) in a small arms security container. Ships that have an armory may store arms and ammunition in a reaction force ready-for-issue locker, and relocate it to the armory during in-port/low manning periods. Deployed security teams' arms and ammunition on Pre-positioned Ships, primarily MPS (Marine Pre-positioned Ships) and LMSRs (Large Medium-Speed Roll-on/Roll-off ships), will also be stowed in appropriate security containers or racks.

26 September 2003

c. AA&E cargo carried onboard Naval Fleet Auxiliary Force ships will be protected according to the requirements of this instruction for Naval Combatant Ships.

d. Special Mission ships that carry Signal Underwater Sensor (SUS) charges (security risk Category IV) for underwater surveys will stow them in above-deck lockers that can be ejected from the ship.

e. On MSC Pre-positioned ships, containers will be placed in the center of the holds with access only via the closed overhead hatches. On LMSRs 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 and in-port quarterdeck. If electronic security seals are unavailable, containers will be checked randomly every 8 hours at sea and hourly in port.

f. 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 CFR (Code of Federal Regulations) requirements and monitored with visual and audible alarms.

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) and/or military personnel may be used.

26 September 2003

APPENDIX A

SECURITY RISK CATEGORIES

A100 GENERAL. This appendix lists specific AA&E items in security risk Categories I through IV and provides table for categorizing ammunition and explosive items not specifically listed (an exception to applying this Decision Logic Table is when there is Tri-service agreement to place an item in a different security risk category than that indicated by the table).

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 Category I will be included automatically in that category as they come into the inventory.

A101 MISSILES AND ROCKETS

a. Category I. Missiles and rockets in a ready-to-fire configuration, or jointly stored or transported with the launcher tube and/or gripstock and the explosive round, for example: Redeye, Stinger, Dragon, Javelin, Light Antitank Weapon (LAW) (66mm), shoulder-launched multi-purpose assault weapon (SMAW) rocket (83mm), M136 (AT4) anti-armor launcher and cartridge (84mm).

b. Category 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) and Hydra-70.

c. Category III. Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function, such as the Hellfire missile.

A102 ARMS

a. Category II. Light automatic weapons up to and including .50 caliber and 40mm MK 19 machine guns. Note: Marine Corps activities will treat 25mm M242 (Bush Master) chain guns (and similar newly-developed weapons) as Category II arms if they are not mounted on secured vehicles.

26 September 2003

b. Category III

- (1) Stinger missile launch tube and gripstock.
- (2) Redeye missile launch tube, sight assembly, and gripstock.
- (3) Dragon missile tracker.
- (4) Mortar tubes up to and including 81mm.
- (5) Grenade launchers.
- (6) Rocket and missile launchers, unpacked weight of 100 pounds or less.
- (7) Flame throwers.
- (8) TOW launcher, missile guidance set and optical sight.

c. Category IV

- (1) Non-automatic shoulder-fired weapons, other than grenade launchers.
- (2) Handguns.
- (3) Recoilless rifles up to and including 106mm.

A103 AMMUNITION AND EXPLOSIVES

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

b. Category II

- (1) Hand or rifle grenades - high explosive and white phosphorus.
- (2) Mines, antitank or antipersonnel (unpacked weight of 50 pounds or less each).
- (3) Explosives used in demolition, C-4, military dynamite, and TNT with an unpacked weight of 100 pounds or less.

26 September 2003

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

(5) The binary intermediates "DF" and "QL" when stored separately from each other and from the binary chemical munition bodies in which they are intended to be employed (see DoD Directive 5210.65 of 15 October 1986 (NOTAL) for security requirements for other chemical agents).

Note: Weapon components such as silencers, mufflers, and noise suppression devices will be treated as Category II items.

c. Category III

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

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

(3) Blasting caps.

(4) Supplementary charges.

(5) Bulk explosives.

(6) Detonating cord.

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

d. Category IV

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

(2) Fuses, except for high explosives as addressed above).

(3) Illumination, smoke, and CS grenades.

(4) Incendiary destroyers.

(5) Riot control agents, 100 pound package or less

(6) Ammunition not in another Risk Category above.

26 September 2003

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

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

A104 DECISION LOGIC TABLE. This table helps apply physical security risk category codes to ammunition and explosives not already categorized. Rate the ammunition or explosive item in each of the four risk factors listed here, obtaining a number value for each factor. Then add these numbers to determine the appropriate security risk category using the rankings shown here.

Total of Risk Factor Numbers	Physical Security Risk Category Code	Evaluation
4-5	II	High Sensitivity
6-8	III	Moderate Sensitivity
9-12	IV	Low Sensitivity
13-16	--	Non-sensitive

a. Utility

Numeric Value	Utility	Description
1	High	High explosive, concussion and fragmentation devices.
2	Moderate	Small arms ammunition.
3	Low	Ammunition items not described above--NONLETHAL, civil disturbance chemicals, incendiary devices.
4	Impractical	Practice, inert, or dummy munitions; small electric explosive devices; fuel thickening compound; or items possessing other characteristics which clearly and positively negate potential use by terrorist, criminal, or dissident factions.

b. Casualty/Damage Effect

26 September 2003

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

c. Adaptability

Numeric Value	Adaptability	Description
1	Without Modification	Usable as is; simple to function without use of other components.
2	Slight Modification	Other components required; or can be used with slight modification.
3	Major Modification	Requires the use of other components which are not available on the commercial market; or can be used with modification that changes the configuration.
4	Impractical to modify	Requires specific functions or environmental sequences which are not readily reproducible, or construction makes it incapable of producing high order detonation; for example, gas generator grains, and impulse cartridges.

d. Portability

26 September 2003

Numeric Value	Portability	Description
1	High	Items which easily can be carried by one person and easily concealed.
2	Moderate	An item whose shape, size and weight allows it to be carried by one person for a short distance.
3	Low	Items whose shape, size and weight requires at least two persons to carry.
4	MHE Required	The weight, size and shape of these items preclude movement without MHE.

APPENDIX B

SURVEILLANCE REQUIREMENTS FOR AA&E STORAGE

NOTE: Substandard storage is only allowable under preexisting circumstances. Surveillance may be by operational or security personnel, or it may be via CCTV if also accompanied by IDS.

Security Risk Category	Storage Location	IDS Status	Physical Checks
CATEGORY I MISSILES AND ROCKETS	All storage locations ashore and afloat.	-Without IDS.	-Constant surveillance. Afloat: each 4 hrs at sea; each hour in port.
		-With IDS.	-Each 24 hrs.
CATEGORY II (HIGH RISK) AMMUNITION AND EXPLOSIVES	Approved storage locations afloat.	-Without IDS but with high security locks/hasps.	-Each 24 hrs.
		-With IDS.	-Each 24 hrs.
	Approved Navy magazines.	-Without IDS.	-Constant surveillance.
		-With IDS.	-Patrol each 24 hrs.
	Temporary storage in open areas; vehicles, inadequately secured structures, aircraft ready service magazines & lockers, rooms, RDT&E test ranges/ areas, production buildings.	-Without IDS.	-Constant surveillance by station or security personnel.
		-With IDS.	- Each 8 hrs.
ALL SMALL ARMS (RISK CATEGORIES II THROUGH IV, ASHORE)	All types of storage.	-Without IDS.	-Constant surveillance.
		-With IDS, including volumetric.	-Patrol each 24 hrs for Category II; no patrol for Category III & IV.

26 September 2003

Security Risk Category	Storage Location	IDS Status	Physical Checks	
CATEGORY III (MODERATE RISK) AMMUNITION AND EXPLOSIVES, ASHORE.	On-station reinforced concrete construction.	-Without IDS.	-Patrol each 24 hrs.	
		-With IDS.	-No patrol required	
	On-station frame construction.	-Without IDS.	-Each 12 hrs.	
		-With IDS.	-Patrol each 24 hrs.	
	Temporary storage in open areas, railcars, vehicles, aircraft, etc.	-Without IDS.	-Continuous surveillance by activity personnel during operating hours; one patrol per hour during non- operating hours.	
		-With IDS.	-Each 24 hrs.	
	Temporary storage in ready service magazines and lockers, rooms, RDT&E test ranges/areas, production buildings.	-Without IDS.	-Each 4 hrs during non-operating hours.	
		-With IDS.	-Each 24 hrs.	
	CATEGORY IV (LOW RISK) AMMUNITION AND EXPLOSIVES, ASHORE.	On-station reinforced concrete or frame construction.	-Without IDS.	-Patrol each 24 hrs. and check each 48 hrs.
			-With IDS.	-No patrol required.
Temporary storage in open areas, railcars, vehicles, aircraft, etc.		-Without IDS.	-Continuous surveillance by activity personnel during operating hrs; one patrol per hour during non- operating hrs.	
		-With IDS.	-Each 24 hrs.	
Temporary storage in ready service magazines and lockers, rooms, production buildings.		-Without IDS.	-Each 24 hours.	
		-With IDS.	-24-hour patrol.	

TEMPORARY STORAGE IN BARGES AT ANCHORAGE OR AT AMMUNITION PIERS

Security Risk Category	IDS Status	Physical Checks
CATEGORY I (HIGH RISK)	Without IDS	24-hour armed guard.
	With IDS.	-Each 8 hours.
CATEGORY II (HIGH RISK)	Without IDS	24-hr surveillance during operating hours. Armed guard during non-operating hours.
	With IDS.	-Each 8 hours.
CATEGORY III (MODERATE RISK and CATEGORY 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.

26 September 2003

APPENDIX C

PHYSICAL SECURITY AT MILITARY TERMINALS

C100 GENERAL. This appendix prescribes standards for protecting AA&E at military trans-shipment terminals. For terminals with a separate, long-term storage mission, storage criteria of chapters 2, 3 and 4 of this instruction apply to the long-term storage areas. AA&E cargo will be protected with priority given to higher Risk Category AA&E.

C101 RISK CATEGORY IDENTIFICATION. To provide appropriate security protection, terminals will establish procedures to ensure prompt identification of the risk categories of arriving cargo. When cargo cannot be immediately identified upon arrival, it will be secured as Category I pending identification.

C102 TEMPORARY STORAGE

a. Category I and II cargo may be stored outside in fenced and lighted areas dedicated to cargo storage. The fencing and lighting requirements of this instruction apply.

b. Category I through IV temporary storage areas or individual conveyances will be provided with IDS, CCTV, or constant surveillance. When IDS or CCTV is used, patrols must be made during non-working hours.

C103 CARGO MOVEMENT

a. Category I and IV. 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). Where the terminal area is physically separated from a long-term storage area, movement between the areas will be under continuous surveillance by an armed guard (for Category II this may be by an unarmed employee) and there will be two drivers for each conveyance.

b. Category 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

26 September 2003

be under continuous surveillance of at least one terminal employee or contractor for each conveyance.

C104 TERMINAL AREA SECURITY

a. Waterfront and Ships at Berth. When ships are at berth, piers will be patrolled by armed guard at irregular intervals not to exceed 30 minutes. When IDS or CCTV is used, patrol frequency may extend to 8 hours, performed during non-duty hours.

b. Terminal Gates. Gates will be continuously guarded or locked. Hinge pins will be welded or otherwise secured.

C105 SEALS AND TWISTS. Terminals will install an MTMC-approved seal on all AA&E conveyances on which the original shipper's seal is removed. Additionally, all conveyances will have a No. 5 steel wire twist installed on door openings if the first seal does not provide equivalent protection. 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 Category I and II AA&E will be verified by number once each 8 hours during non-duty hours.

C106 GUARD COMMUNICATION. Guards will be provided with two-way radios and back-up communication.

C107 TERMINAL ENTRY CONTROLS. Piers, waterfronts, AA&E storage and processing areas shall be posted as "RESTRICTED AREAS." Pedestrian and vehicle control systems shall be implemented within these areas. Entry records shall be maintained for a minimum of 90 days. Pedestrians and vehicles shall be subject to random inspection. Where feasible, entry to the AA&E storage and processing areas shall be separately controlled from the terminal administrative areas. Unless allowed by the terminal commander, privately owned vehicles shall not be permitted into AA&E storage and processing areas.

26 September 2003

APPENDIX D

APPROVED LOCKING DEVICES

Use the latest series of the specifications (e.g., MIL-SPEC).

HIGH SECURITY LOCKS

<u>NOMENCLATURE</u>	<u>NSN</u>	<u>MIL-SPEC</u>	<u>NOTES</u>
S&G 833C padlock	5340-01-217-5068	MIL-DTL-43607	
SMILS (MK6 MODS 0,1,& 2)	N/A	N/A	(1)
Internal Locking Device	N/A	N/A	(2)

NOTE: The 831B padlock, TUFLOC, and Hi Shear LK1200 padlock no longer meet the specifications for high security locks. Those in use must be replaced when they fail or when new keys are needed. TUFLOC may still be used in applications on topside lockers and other shipboard spaces that are too small to use a SMILS or ILD.

HIGH SECURITY HASPS

MK II MOD IX Style 1 (NAPEC)	5340-01-196-2547	MIL-DTL-29181	(3)
MK II MOD IX Style 2 (NAPEC)	5340-01-235-6907	MIL-DTL-29181	(4)
1300 SERIES	5340-01-281-7938	MIL-H-24653	
1300 SERIES-accessories	5340-01-282-8275	MIL-H-24653	(5)
MK II MOD VIII (NAPEC)	N/A	MIL-DTL-29181	(6)

NOTES

- (1) Shipboard Internal Locking System Module (SMILS) is installed as part of the door, making a hasp unnecessary.
- (2) Available from NFESC, Port Hueneme, CA (telephone (805)982-1567; DSN 551-1567).
- (3) For use on sliding or hinged doors which open on right.
- (4) For use on sliding or hinged doors which open on left.
- (5) These are additional parts needed for styles 3, 5, or 6.
- (6) Older four-piece version for sliding or hinged doors opening on the right or left.

AUTHORIZED USES

- a. All magazines and AA&E storage areas.
- b. All arms storage facilities.
- c. Aboard ships as specified in this instruction, including topside lockers containing grenades, demolition material or incendiary rockets.

OPNAVINST 5530.13C

26 September 2003

NOTE: The specification for medium security locks (MIL-P43951) was canceled on 20 May 1994.

SECONDARY LOCKS

<u>DESCRIPTION</u>	<u>NSN</u>	<u>COMMERCIAL ITEM</u>	
		<u>DESCRIPTION</u>	<u>NOTES</u>
ABLOY FS 656 padlock	5340-01-380-9430 or 2	FF-P-2827	(7)
Padlock	5340-00-158-3805 or 7	CID-AA-1927	(8)

NOTES

(7) This general field service padlock is the more superior lock in this category. The NSN ending "-9430" has a $\frac{3}{4}$ inch shackle; the NSN ending "-9432" has a $\frac{1}{2}$ inch shackle.

(8) The NSN ending "-3805" is a padlock; the NSN ending "-3807" has the padlock plus a chain, steel case and shackle.

Note: Most laminated and brass padlocks available from Servmarts, ships stores, and the supply system are secondary locks.

AUTHORIZED USES

- a. On gates to AA&E storage areas or in-process/production facilities.
- b. On arms racks within an armory.

APPENDIX E

AA&E PHYSICAL SECURITY CHECKLIST FOR FORCES AFLOAT

This checklist is provided to help afloat commands assess their overall AA&E security posture, but note that not every requirement in this instruction is addressed. Therefore, successful completion of this checklist should not be considered complete compliance with this instruction.

Yes answers indicate compliance.

1. Does IDS include a continuously manned central control station where alarms annunciate and from which a response force can be dispatched?
2. Does the central control station maintain a daily log of all alarms, including the cause, date and time received, location, and action taken?
3. Are these logs kept for 3 years and reviewed to identify and correct reliability problems?
4. Are alarm transmission lines electronically supervised or otherwise protected from undetected tampering?
5. Are visible transmission lines inspected periodically?
6. Are the IDS sensors tested upon installation and at least quarterly thereafter, and records of the tests maintained for 3 years with dates of the tests, names of persons performing the tests, results, and any action taken to correct deficiencies or malfunctions?
7. Are there periodic unannounced openings of alarmed spaces to set off alarms so that reaction of the central control station alarm monitor and the response force can be evaluated?
8. Are Category I AA&E spaces with IDS secured with high security hasps and locks?
9. Is the AA&E Accountability Officer designated in writing?
10. If AA&E items are kept as souvenirs, decorations, or display items, are they demilitarized and so certified in writing?

26 September 2003

11. Is a thorough investigation conducted to determine the circumstances surrounding loss or theft of AA&E, and to fix responsibility where appropriate?
12. Is a thorough investigation conducted when a loss attributed to an inventory or accountability discrepancy is noted, to ensure the loss is not due to theft or misappropriation?
13. Is information relating to lost or stolen AA&E submitted to the appropriate investigative agency for inclusion in National Crime Information Center (NCIC) records and to the Navy Registry?
14. Is information on theft or suspected theft of AA&E submitted to the local NCIS office?
15. Do records reflect final disposition of the investigation, to include recoveries and disciplinary action taken (if appropriate), and are these records kept for 3 years?
16. Are requests for waivers and exceptions thoroughly screened and submitted only when all other avenues for compliance have been exhausted?
17. Are all requests for waivers, waiver extensions, and exceptions submitted in the required format, via chain of command, to the applicable approval authority?
18. Do requests for waivers and exceptions identify compensatory security measures?
19. Has a number been assigned to each waiver or exception request?
20. Are approved waivers and exceptions reviewed for continuing need as well as for compliance with this instruction?
21. Is non-government AA&E stored in designated armories or magazines in a manner that will not interfere with any AA&E-related operation?
22. Are records for privately owned AA&E maintained separately from government AA&E records?

26 September 2003

23. Is loss of privately-owned AA&E reported to the Naval Criminal Investigative Service (NCIS)?
24. Are installed shipboard non-nuclear weapons systems with pre-positioned ordnance provided with positive measures to prevent unauthorized tampering, arming, launching, or firing?
25. Do all armories, magazines, and topside ordnance lockers meet Category II storage requirements?
26. Are Category I AA&E spaces without IDS randomly checked at least once every 4 hours while at sea?
27. Are Category I AA&E spaces randomly checked at least once each hour while in port?
28. Are bulkheads to armories and magazines constructed of at least 14 gauge steel (except for ships with aluminum superstructures)?
29. On ships with aluminum superstructures, are superstructure bulkheads at least 1/8-inch thick?
30. Are bulkheads to AA&E storage spaces continuously welded?
31. Are dissimilar metals in AA&E storage space bulkheads fastened with solid core rivets or mechanical fasteners of minimum 1/4-inch diameter?
32. Are doors to AA&E spaces constructed of or sheathed with at least 14-gauge steel?
33. Do armory entry doors have non-removable observation ports?
34. Are interior locking devices provided on all armory doors?
35. Are interior locking devices placed in the locked position when the armory is manned?
36. Is there normal and emergency lighting that will illuminate locking devices for examination during periods of reduced visibility?
37. Are spaces in which AA&E is stored, including armories, designated and posted as restricted areas?

26 September 2003

38. Are main entrances, other than those opening onto weatherdecks, properly posted with signs reading "RESTRICTED AREA -- KEEP OUT" (or "SECURITY AREA -- KEEP OUT") and "AUTHORIZED PERSONNEL ONLY"?
39. Are door hinges to AA&E storage spaces located on the interior of secure spaces or, if outside, provided with hinge security brackets?
40. Within armories are small arms stored in required lockers, gun racks, or GSA containers?
41. In armory spaces which also serve as divisional work spaces, are small arms stored in approved arms lockers or GSA containers (no gun racks) and secured with high security locks?
42. Are exterior locking devices on emergency escape scuttles and hatches to AA&E spaces removed whenever the spaces are occupied?
43. Has the command ensured unauthorized access to AA&E storage areas cannot be gained by way of elevator trunks?
44. If "J" doors are installed, are elevators to AA&E storage spaces secured?
45. Where "J" doors are installed, are elevator controls located outside the secured space and protected in a manner to preclude unauthorized use?
46. Are openings into AA&E spaces of 96 square inches or more protected by 3/8 inch steel bars spaced not more than 4 inches apart, or by six gauge expanded wire mesh?
47. Are topside ordnance lockers used for storage of high explosive or white phosphorous grenades, demolition material, or incendiary rockets protected with a high security hasp and padlock?
48. Are other topside ordnance lockers protected with either a high security locking system or a medium security padlock with a hasp fabricated of minimum 1/4 inch 300 series stainless steel?

26 September 2003

49. Are keys to AA&E storage spaces kept on at least two separate welded or brazed rings which do not mix keys to arms spaces with keys to ammunition and explosives spaces?
50. Are keys either in the physical possession of authorized personnel or in approved storage?
51. Is master keying of keys to AA&E spaces prohibited?
52. Are AA&E keys stored and protected in the same manner as required for the protection of at least Confidential information?
53. Are persons authorized access to keys of AA&E spaces identified by name on a published list?
54. Is this list kept out of public view?
55. Are lock cylinders replaced immediately when associated keys are lost, misplaced, or stolen?
56. Are spare locks, cylinders, and keys secured to prevent unauthorized access to them?
57. Is the lock and key custodian designated in writing?
58. Is a key control register maintained to ensure accountability of keys?
59. Does the key control register contain all of the required information?
60. Are key control registers retained in ship's files for 3 years after the last entry date?
61. Are locks and keys inventoried semiannually?
62. Are lock and key inventory records kept for 3 years?
63. Are keys to racks and lockers for small arms storage in ship's Marine detachment berthing spaces under the control of the detachment commanding officer?
64. At RFI AA&E spaces not meeting high security hardware and construction standards, do guards or watchstanders have equipment to summon assistance or to defend themselves?

26 September 2003

65. Are the contents of RFI AA&E storage areas not meeting high security hardware and construction standards inventoried at each change of watch or guard shift?
66. Are RFI AA&E storage areas not meeting high security hardware and construction standards constantly manned?
67. Do guards or watchstanders of RFI AA&E storage areas not meeting high security hardware and construction standards have an unobstructed view of the entrance or container?
68. Are small arms (including Very pistols unless required at anchorage for drills or actual use) that are stored in ready service racks or boxes while at sea, returned to the ship's armory upon entering port?
69. If the ship's ammunition and explosives allowance is stored with LFORM (Landing Force Operational Reserve Material), are the containers marked "ship's allowance?"
70. Are locks to rifle racks in embarked troop berthing areas keyed differently from one another?
71. Are records of the three most recent surveys kept for review during assistance visits and command inspections?
72. To allow for damaged locks and lock rotation for security reasons, do spare lock cylinders equal 10 percent of the total number of locks available?
73. If no secure space is available for the storage of any portion of embarked troops' AA&E, is it stored in metal containers in a designated restricted area under 24-hour armed guard?
74. Are there monthly physical count inventories and quarterly inventories by serial number of all arms aboard?
75. Are inventories of arms and Category I items conducted upon relief of the commanding officer or responsible department head?
76. Is a training program conducted for personnel with AA&E duties, covering the particular procedures of AA&E accountability which relate to each person's work?

26 September 2003

77. Does the training program include, as applicable, the following:
 - a. Inventory and accountability procedures, including instructions for completing required documentation;
 - b. Reporting requirements;
 - c. Physical security requirements;
 - d. Identification of persons and billet titles with AA&E responsibilities;
 - e. AA&E shipment accountability procedures;
 - f. Explanation of disciplinary actions taken as a result of breaches of AA&E regulations, accountability procedures, or security;
 - g. A program emphasizing the individual's responsibility for the control and safeguarding of AA&E; and
 - h. Instruction on the use of deadly force?
78. Is the AA&E accountability officer charged with all of the required responsibilities?
79. Are records of monthly and quarterly inventories kept for 3 years?
80. Are Risk Category II, III, and IV ammunition and explosives inventories performed annually and the records kept for 2 years?
81. Are AA&E inventories made available for review during scheduled assistance visits and command inspections?
82. Are requisitions for AA&E signed by the AA&E accountability officer, weapons officer, or armorer (as applicable) before processing off of the ship?
83. Is accountability documentation for all inventory adjustments retained?
84. Does the ship maintain a current inventory of all AA&E on board?

26 September 2003

85. Is unescorted entry to AA&E storage spaces limited to those needed for essential operations?
86. Is the access list to arms and Category I signed by the commanding officer?
87. Are persons granted entry to AA&E spaces identified in the access log, with the required information?
88. Do persons with escort duties in AA&E spaces meet the requirements for unescorted entry, including being on the appropriate access list?
89. Is sub-custody of small arms, weapons, and man-portable hand-launched missile systems recorded using a signature receipt with weapons serial numbers?
90. Is a response force of at least two duty personnel capable of responding armed within 5 minutes of the sounding of the alarm?
91. Is the response force drilled within 1 week of assignment of new personnel?
92. Are records which provide date, time, and results (including deficiencies) of all response force drills kept for 3 years?
93. Is the response force trained and qualified with the specific weapon(s) type issued, and is such training documented in each person's training folder?
94. Does the response force know response priorities by compartment for key areas, weapon systems, and critical AA&E?
95. Are response force personnel trained in the use of deadly force?
96. Does the response force know duress code procedures?
97. Do duty supervisors conduct periodic unscheduled visits to all security posts, spaces, and patrols at least once each watch?
98. Are crew members with AA&E security duties screened to ensure they have records of maturity, good judgment,

26 September 2003

trustworthiness, and positive attitudes toward the Navy and national security?

99. Are dates of screening, re-screening, and associated interviews entered in the crew members' training record and maintained as required?
100. Are crew members with AA&E security duties re-screened at least annually?
101. Are quarterdeck sentries armed while in foreign ports?
102. Are AA&E security surveys conducted at least every 6 months?

26 September 2003

APPENDIX F

AA&E PHYSICAL SECURITY CHECKLIST FOR FORCES ASHORE

This checklist is a tool to help shore commands assess their overall AA&E security posture. Not every requirement in this instruction is addressed, so successful completion of this checklist should not be considered compliance with this instruction. Note: Item #107 does not apply to Marine Corps units.

Yes answers indicate compliance.

1. Is the storage of AA&E consolidated as much as possible, consistent with operational, safety, and training requirements?
2. Is the quantity of AA&E removed from secure storage as small as practical to support specific missions or projects?
3. Are persons with AA&E security-related duties screened to ensure they have records indicating maturity, good judgment, trustworthiness, and a positive attitude toward the Department of the Navy and national security?
4. Are persons with AA&E security-related duties re-screened annually?
5. Are dates of screening, re-screening, and associated interviews entered in the persons' training record and kept for at least 6 months after termination of his or her assignment?
6. Is non-government AA&E stored in designated armories or magazines and in a manner which will not interfere with government AA&E related operations?
7. Is privately owned AA&E stored in separate containers from government AA&E?
8. Is loss of privately-owned AA&E reported to the Naval Criminal Investigative Service (NCIS)?
9. Do security patrols increase security checks during civil unrest, natural disasters, or other emergencies?

26 September 2003

10. Do contingency plans, confrontation management instructions, and disaster preparedness plans include additional security protection for AA&E?
11. Are all IDS components installed, calibrated, and maintained to manufacturer's specification?
12. Does the IDS include a continuously-manned control station where alarms sound and from which a response force can be dispatched?
13. When IDS is used in civilian communities, have arrangements been made to connect alarms to civil law enforcement headquarters, campus police headquarters, private security companies, or a monitoring service from which immediate response can be directed?
14. Does the control station maintain a daily log of all alarms, including all the required information?
15. Are these logs kept for 3 years and reviewed to identify and correct IDS reliability problems?
16. Are alarm transmission lines electronically supervised or otherwise protected from undetected tampering?
17. Are visible transmission lines inspected periodically?
18. Is a backup independent power source of 4 hours minimum duration provided for IDS protecting AA&E?
19. Does the command ensure trustworthy personnel are used to maintain IDS, or else escorted?
20. Are IDS systems tested upon installation and at least quarterly thereafter, and records of the tests kept for 3 years with dates, names of persons performing the tests, results, and any action taken to correct deficiencies?
21. Are there periodic unannounced openings of alarmed spaces to evaluate reactions of the control station alarm monitor and the security force?
22. Are entry doors of all armories and facilities which have IDS and which store Category I and II ammunition and explosives equipped with an AIB?

26 September 2003

23. Are guard checks of AA&E facilities conducted on an irregular basis?
24. Are inspections and guard checks increased at night?
25. Are all guard checks recorded, and do they consist of an inspection of the building or facility including all doors and windows?
26. Are locks on buildings physically checked and attempts made to open doors?
27. Are records of building checks maintained for 3 years?
28. Are guard procedures reviewed at least semiannually and revised when necessary, with emphasis on guard post placement and guard orientation?
29. Are law enforcement patrol plans coordinated with security plans?
30. Is an armed response force able to respond to AA&E storage areas within 15 minutes of an alarm?
31. Do security patrols at NROTC/NJROTC and Naval Reserve units have the means to call for help immediately?
32. Is the security force drilled at least semiannually in their response to threats to AA&E storage areas?
33. Are dates, times, and results of security force drills, including deficiencies and corrective action, recorded and kept for 3 years?
34. Is the security force trained and qualified with their weapons, and do they know response priorities for key areas and critical AA&E?
35. Is small arms training documented in each person's training folder?
36. Is the security force trained in the authorized use of deadly force?

26 September 2003

37. Is a statement acknowledging deadly force training signed by each member of the security force and filed in their training folder?
38. Does the security force know duress procedures?
39. Do duress code words or gestures use common language or motions, and are they changed frequently?
40. Do duty supervisors conduct periodic unscheduled visits to all security posts, spaces, and patrols?
41. Is a reliable radio and at least one other back-up means of communication available at AA&E storage sites?
42. Is security lighting provided for all armories and category I and II A&E storage magazines?
43. Is the light bright enough to allow adequate observation by guards at night?
44. Are switches to security lights inaccessible to unauthorized persons?
45. Are RFI AA&E spaces which do not meet high security hardware and construction standards constantly manned by armed guards or watchstanders with communication equipment?
46. Are the contents of RFI AA&E storage areas (if they don't meet high security hardware and construction standards) inventoried at each change of watch or guard shift?
47. Are entrance doors to arms storage facilities equipped with high security locking systems?
48. Has security protection been established for arms stored on Navy vehicles, aircraft, and small craft?
49. Do doors other than entrance doors have interior locking devices or bars which secure the space when unmanned?
50. Are damaged or malfunctioning locks and requests for cylinder and key replacements sent to Commanding Officer, Naval Surface Warfare Center Division, Crane?
51. Are keys either in the physical possession of authorized personnel or in approved storage?

26 September 2003

52. Is master keying of keys to AA&E spaces prohibited?
53. Are persons authorized access to keys of AA&E spaces identified on a published list?
54. Are access lists kept out of public view?
55. Are cores to locks replaced immediately when associated keys are lost, misplaced, or stolen?
56. Are replacement or spare locks, cores, and keys secured to prevent unauthorized access to them?
57. Is the lock and key custodian designated in writing?
58. Is a key control register containing all required information maintained to ensure accountability of keys?
59. Are key control registers kept for 3 years after the last entry date?
60. Are locks and keys inventoried semiannually?
61. Are inventory records for locks and keys kept for 3 years?
62. Is a complete inventory of contents conducted whenever seals on AA&E key containers are found broken?
63. Are risk category storage areas designated restricted areas in the activity security plan and posted accordingly?
64. Are AA&E security surveys conducted yearly?
65. Are records of the past 3 years of surveys kept for review during assistance visits and command inspections?
66. Do walls, ceilings, and floors of arms storage facilities meet structural requirements?
67. Do arms storage facility doors meet structural requirements?
68. Are door bucks, frames, and keepers rigidly anchored and provided with anti-spread space filler reinforcement to prevent disengagement of the lock bolt by prying or jacking of the door frame?

26 September 2003

69. Are frames and locks for both interior and exterior doors designed and installed to prevent removal of the frame facing or the built-in locking mechanism sufficiently to disengage the lock bolt from outside of the secure room when the door is closed and locked?
70. Are hinges of the fixed pin security type or equivalent and, where possible, are they located on the inside?
71. Are exterior doors with exposed hinges provided with appropriate devices to prevent opening of the door by removal of the hinge pin or destruction of the exposed portion of the hinge?
72. Are armory windows, ducts, vents, or other openings 96 square inches or more with the least dimension greater than 6 inches sealed with material comparable to the adjacent walls?
73. Within armories, are arms stored in safes, banded crates, containers, or arms racks which meet requirements?
74. Are arms racks or containers locked with at least low security padlocks?
75. In facilities not continuously manned, are rifle racks and containers weighing less than 500 pounds securely fastened to the structure or fastened together in groups weighing more than 500 pounds?
76. Are bolts which secure racks spot welded, peened, or otherwise secured to prevent easy removal?
77. Do chains which secure arms racks meet the requirements of his instruction?
78. Do arms racks prevent removal of a weapon by disassembly?
79. Are Category I and II AA&E storage facilities which are not protected by IDS continuously manned or under constant surveillance?
80. At activities not on a military installation, are bolts to automatic weapons removed and secured in separate buildings when:

26 September 2003

- a. Facility does not meet structural requirements for the risk category of AA&E stored there;
 - b. A threat is received;
 - c. IDS is inoperative for 24 hours or more;
 - d. Arms are left in the facility during periods of annual field training; or
 - e. Desired by the commanding officer?
81. When bolts are removed, are they tagged (etching is prohibited) with the individual weapon's serial number to ensure return of the bolt to the same weapon?
82. Are major arms parts, at a minimum, stored and protected as Category IV arms?
83. Are single containers which contain enough arms parts to perform the basic function of the end item categorized and safeguarded as is the end item itself?
84. Is unescorted entry to AA&E storage spaces limited to those persons required for essential operations?
85. Are all magazines storing risk category AA&E constructed in accordance with applicable construction requirements?
86. Are Category I and II ammunition and explosives storage areas surrounded by fencing?
87. Are fence posts, braces, and other structural members located inside of the fence fabric? (OPNAVINST 5530.14C/MCO P5530.14)
88. Is fence height at least 6 feet (7 feet for new fence)?
89. Is the bottom of the fence fabric within 2 inches of firm ground? (OPNAVINST 5530.14C/MCO P5530.14)
90. Are concrete footings, gravel, or other measures used to compensate for shifting soil which leaves openings beneath fences? (OPNAVINST 5530.14C/MCO P5530.14)
91. Does the fence contain the fewest number of vehicle and pedestrian gates necessary?

26 September 2003

92. Are the gates as structurally resistant to penetration as the adjacent fence? (OPNAVINST 5530.14C/MCO P5530.14)
93. When not manned, are gates secured with a low security padlock, with hinge pins and mounting hardware welded or otherwise secured to prevent easy removal? (OPNAVINST 5530.14C/MCO P5530.14)
94. Are drainage and water passages under the fence barred to provide protection equivalent to the fence itself? (OPNAVINST 5530.14C/MCO P5530.14)
95. Do clear zones extend 20 feet outside and 30 feet inside the perimeter fence? (OPNAVINST 5530.14C/MCO P5530.14)
96. Are clear zones free of obstacles, topographical features, and vegetation exceeding 8 inches in height? (OPNAVINST 5530.14C/MCO P5530.14)
97. Are topographical features and vegetation which are retained in clear zones (for erosion control, passive defense, or legal reasons) trimmed, or checked by security patrols at irregular intervals? (OPNAVINST 5530.14C/MCO P5530.14)
98. Is hunting and fishing properly controlled and other forms of recreation prohibited within A&E restricted areas?
99. Do guards perform routine, random inspections or searches of vehicles entering, within, or departing the restricted area?
100. Is a pass, badge, entry roster, or sign-in/out system used for restricted areas?
101. Are entry rosters or sign-in/out sheets kept for 3 years?
102. Do persons with escort duties in AA&E spaces meet the requirements for unescorted entry, including being on the appropriate access list?
103. Does the activity maintain a current inventory of all AA&E?
104. Are records of continuous accountability maintained for man-portable hand-launched missile systems?

26 September 2003

105. Does the command perform physical count inventories and inventories by serial number of all arms at the proper time periods?
106. Are Risk Category II, III, and IV ammunition and explosives inventories performed annually and records kept for 2 years (3 years for Marine Corps)?
107. Is a training program conducted for personnel with AA&E duties, covering the particular procedures of AA&E accountability which relate to each person's work?
108. Does the training program include, as applicable, the following:
 - a. Inventory and accountability procedures, including instructions for completing required documentation;
 - b. Reporting requirements;
 - c. Physical security requirements;
 - d. Identification of persons and billet titles with AA&E responsibilities;
 - e. AA&E shipment accountability procedures;
 - f. Explanation of disciplinary actions resulting from breaches of AA&E regulations, accountability procedures, or security;
 - g. A program emphasizing the individual's responsibility for the control and safeguarding of AA&E; and
 - h. Instruction on use of deadly force?
109. Is the AA&E Accountability Officer designated in writing?
110. Is the AA&E Accountability Officer charged with these responsibilities:
 - a. Assisting the Security Officer, NCIS agents, auditors or others investigating AA&E losses;
 - b. Reporting the status of the command's compliance with accountability controls, AA&E inventory versus allowance,

26 September 2003

and AA&E requisition status to the commanding officer routinely;

c. Keeping copies of these reports for at least 2 years (3 years for Marine Corps); and

d. Monitoring performance and reporting of all AA&E inventories?

111. Are requisitions for AA&E signed by the AA&E Accountability Officer, Weapons Officer, or Armorer (as applicable) before processing out of the command?
112. Are AA&E items which are kept as souvenirs, decorations, or display items demilitarized and so certified in writing?
113. If applicable, are there procedures to increase protection of AA&E in transit during periods of increased vulnerability?
114. Are arms and ammunition of the same caliber shipped off-station in separate containers or conveyances?
115. Is the security provided for AA&E in transit commensurate with the security risk category?
116. Is the installation prepared to provide safe haven to commercial carriers transporting government AA&E in the event of civil unrest, natural disaster, or other emergencies?
117. Are safe haven procedures in accord with NAVSUPINST 4600/MCO P4600.14B and NAVSEA OP 2165, vol. 1?
118. Are AA&E in vehicles or staged in the open either secured or attended when outside of restricted areas?
119. Is AA&E which has been removed from secure storage not left overnight or during weekends in conveyances outside of a restricted area?
120. Is a thorough investigation conducted to determine the circumstances surrounding loss or theft of AA&E, and to fix responsibility where appropriate?
121. Is a thorough investigation conducted when a loss attributed to an inventory or accountability discrepancy is

26 September 2003

- noted, to ensure the loss is not caused by theft or misappropriation?
122. Is information relating to lost or stolen AA&E submitted to the local NCIS office for inclusion in National Crime Information Center (NCIC) records and to the Navy Registry?
 123. Do records reflect final disposition of investigative action, to include recoveries and disciplinary action taken (if appropriate), and are the records kept for 3 years?
 124. Are requests for waivers and exceptions thoroughly screened, and submitted only when all other avenues for compliance have been exhausted?
 125. Do requests for waivers and exceptions identify compensatory security measures?
 126. Are all requests for waivers, waiver extensions, and exceptions submitted in the required format via the chain of command to the appropriate approval authority?
 127. Has an appropriate waiver or exception number been assigned to each request?
 128. Are approved waivers and exceptions reviewed for continuing need as well as for compliance with this instruction?
 129. Are Category I storage spaces with IDS protection checked by security patrols irregularly at least every 24 hours? (appendix B)
 130. Are Category I storage areas not meeting construction criteria or not protected by IDS, constantly manned or kept under constant surveillance? (appendix B)
 131. Are arms storage spaces or containers which are protected by IDS checked by security patrols irregularly at least every 24 hours? (appendix B)
 132. Are arms in storage spaces with IDS checked by security patrols irregularly at least every 24 hours? (appendix B)
 133. Are Category II ammunition and explosives approved storage spaces with IDS protection checked by security patrols irregularly at least every 24 hours? (appendix B)

OPNAVINST 5530.13C

26 September 2003

134. Are Category II ammunition and explosives in substandard storage spaces checked by security patrols irregularly at least every 8 hours? (appendix B)