Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives
FOREWORD


This Manual is effective immediately. It is applicable to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as “the DoD Components”).

Recommended changes may be sent through channels to

Director of Security
Office of the Deputy Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (OASD(C3I))
Attention: Security & Information Operations (S&IO)
The Pentagon, Room 1B765
Washington, D.C. 20301-6000

DoD Components may obtain copies of this Manual through their publication offices. Other Federal Agencies and the public may obtain copies from the National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161 or via Internet at http://web7.loc.gov/ntis.htm.

Arthur L. Morey
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(d) DoD Instruction 4715.4, "Pollution Prevention," June 18, 1996
(e) DoD 6055.9-STD, "DoD Ammunition and Explosives Safety Standards," August 1997
(g) Underwriters Laboratory Standard 768, "Combination Locks"
(h) DoD 4500.9-R, "Defense Transportation Regulation, Part II, Cargo Movement," April 1, 1996
(m) Naval Facilities Engineering Service Center Technical Data Sheet 82-12, May 1985
(t) Underwriters Laboratory Standard 2050, "National Industrial Security Systems for the Protection of Classified Material"
(u) Underwriters Laboratory Standard 681, "Installation and Classification of Burglar and Holdup Alarm Systems"
(v) Underwriters Laboratory Standard 1076, "Proprietary Burglar Alarm Units and Systems"
(w) Underwriters Laboratory Standard 827, "Central Station Alarm Services"
DL1. **DEFINITIONS**

DL1.1.1. **Binary Intermediates.** The component chemicals that combine to produce binary chemical agents.

DL1.1.2. **Chemical Agent.** A chemical substance intended for use in military operations to kill, seriously injure, or incapacitate a person through its physiological effects. Excluded are riot control agents, chemical herbicides, smoke, and flame munitions.

DL1.1.3. **Constant Surveillance.** Observing or protecting a storage facility or area containing AA&E by a human, intrusion detection system, closed circuit television, or combination to prevent unobserved access, or make known any unauthorized access to the facility or area during non-duty hours.

DL1.1.4. **Container Express (CONEX).** A reusable container for shipment of troop support cargo, quasi-military cargo, household goods, or personal baggage.

DL1.1.5. **Container.** A box or other device in which cargo is stored, protected, and handled as a unit in transit; for example: CONEX, MILVAN, SEAVAN and other approved commercial containers. This term also is used interchangeably with the term "containerization" to mean shipping that uses containers that can easily be transferred between trucks, trains, or ships without handling of contents.

DL1.1.6. **Defense Transportation System (DTS).** Consists of military-controlled terminal facilities, Military Traffic Management Command (MTMC), Air Mobility Command (AMC)-controlled airlift, Military Sealift Command (MSC)-controlled or arranged sealift, and Government-controlled air or land transportation.

DL1.1.7. **Exception.** An approved deviation from this Manual that the required standards are not being met. Compensatory measures are required to provide security equivalent to the standards mandated herein.

DL1.1.8. **High Security Padlock and Hasp.** A key-operated padlock that meets military specification MIL-P-43607G (reference (b)), NSN: 5340-01-217-5068, designed to resist forced entry and surreptitious entry. It is used in conjunction with a high security hasp. A high security hasp (NAPEC hasp) is a shrouded hasp that meets military specification MIL-H-29181B (reference (c)).
DL1.1.9. **Independent Power Source.** A self-contained power source, normally a battery.

DL1.1.10. **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.

DL1.1.11. **Military Van (MILVAN).** Military-owned demountable container, conforming to U.S. and international standards, operated in a centrally controlled fleet for movement of military cargo.

DL1.1.12. **Restricted Area.** An area under military jurisdiction in which special security measures are employed to prevent unauthorized entry or to safeguard property or material.

DL1.1.13. **Seal.** A device to show whether a shipment has been opened. Seals shall be serially numbered, tamper resistant, and safeguarded while in storage. Seal serial numbers shall be entered on Government Bills of Lading (GBL). A Number 5-gauge twist wire-locking device is included within this definition. NOTE: DoD Instruction 4715.4, "Pollution Prevention," (reference (d)) states that lead seals shall not be used. The DoD Components may, however, continue to use lead seals until current stocks are depleted.

DL1.1.14. **Type II Magazines**

DL1.14.1. **Outdoor Magazines**

DL1.14.1.1. **General.** Outdoor magazines shall be bullet, fire, weather, and theft-resistant. They shall be ventilated, supported to prevent direct contact with the ground, and securely fastened to a fixed object (if less than one cubic yard in size). Semi-trailers (vehicular magazines) are classified as Type II magazines. When unattended, vehicular magazines shall have wheels removed or otherwise immobilized by kingpin locking devices or other methods approved by the Government contracting office.

DL1.14.1.2. **Exterior Construction.** The exterior and doors shall be constructed of not less than 1/4-inch steel and lined with at least two inches of hardwood. Magazines with top openings shall have lids with water-resistant seals or seals which overlap the sides by at least one inch when in a closed position.
DL1.14.1.3. **Hinges and Hasps.** Hinges and hasps shall be attached to doors by welding, riveting, or bolting (nuts on inside of door). Hinges and hasps shall be installed so that they cannot be removed when the doors are closed and locked.

DL1.14.1.4. **Locks.** Each door shall be equipped with either of the following:

DL1.14.1.4.1. Two mortise locks.

DL1.14.1.4.2. Two padlocks fastened in separate hasps and staples.

DL1.14.1.4.3. A combination of a mortise lock and a padlock.

DL1.14.1.4.4. A mortise lock that requires two keys to open.

DL1.14.1.4.5. A three-point lock (self-latching device designed to latch or lock a door at the top, bottom, and edge).

**NOTE:** Mobile outdoor magazines need only have one lock, and no hood is required. Padlocks shall have at least five tumblers and a case-hardened shackle of at least 3/8 inch diameter. Padlocks shall be protected with not less than 1/4-inch steel hoods constructed so as to prevent sawing or lever action on the locks, hasps, and staples.

DL1.14.2. **Indoor Magazines**

DL1.14.2.1. **General.** Indoor magazines shall be theft and fire-resistant. If the buildings in which they are located provide protection from the weather and from bullet penetration, the magazines need not be so constructed.

DL1.14.2.2. **Exterior Construction.** Magazines shall be constructed of wood or metal as follows:

DL1.14.2.2.1. **Wood.** Sides, bottoms, and doors shall be at least two inches of hardwood and well braced at the corners. They shall be covered with sheet metal of not less than Number 26-gauge (.0179 inches). Nails exposed to the interior of magazines must be countersunk.

DL1.14.2.2.2. **Metal.** Sides, bottoms, and doors shall be not less than Number 12-gauge (.1046 inches) metal and lined with a non-sparking material. Edges of metal covers shall overlap sides at least one inch.
DL1.14.2.3. **Hinges and hasps.** Same as above for outdoor magazines. Indoor magazines located in rooms that are locked as provided for in this subparagraph may have each door locked with one steel padlock (which need not be protected by a steel hood) having at least five tumblers and a case-hardened shackle of at least 3/8 inch diameter, if the door hinges and lock hasps are securely fastened to the magazines.

DL1.1.15. **Sea Van (SEVAN).** Commercial or Government-owned (or leased) shipping container which is moved via ocean transportation without bogey wheels attached.

DL1.1.16. **Waiver.** A 1-year approval for the temporary relief from specific standards imposed by this Manual, pending actions to conform to the standards. Compensatory measures are required.
C1. CHAPTER 1

GENERAL INFORMATION

C1.1. PURPOSE

C1.1.1. In accordance with DoD Directive 5100.76 (reference (a)), this Manual prescribes minimum standards and criteria for the physical security of DoD sensitive conventional arms, ammunition, and explosives (AA&E), including non-nuclear missiles and rockets, as categorized in Appendix 1, in the custody of any DoD Component or DoD contractor. Arms, ammunition, and explosives in the custody of contractor-owned, contractor-operated facilities (COCOs) shall be protected only in accordance with the provisions of Appendix 2 of this Manual. Any additional requirements imposed by a DoD-procuring command or activity shall be specified in Section H, "Special Clauses Section," of the contract. Implementing guidance issued by the DoD Components shall be furnished to the Office of the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (OASD(C3I)).

C1.1.2. The DoD Components may impose additional protective measures above those prescribed herein where warranted. However, such measures shall not violate or conflict with DoD 6055.9-STD (reference (e)).

C1.2. SCOPE

C1.2.1. This Manual applies to AA&E described and categorized in Appendix 1 at land-based activities and facilities. It also applies to the storage and transportation of classified Category I-IV AA&E. It does not apply to the following:

C1.2.1.1. Nuclear weapons.

C1.2.1.2. Devices charged with chemical agents, except for those specified in Appendix 1.

C1.2.1.3. Blank, .22 caliber, and inert training ammunition.

C1.2.1.4. Artillery, tank, mortar ammunition 90mm and larger, and naval gun ammunition, 3 inches, 76mm, and larger.

C1.2.1.5. AA&E aboard navy ships.
C1.2.1.6. Non-lethal ammunition.

C1.2.2. For the items enumerated in paragraphs C1.2.1.2., C1.2.1.4., C1.2.1.5., and C1.2.1.6., above, and other AA&E not categorized in Appendix 1, the DoD Components concerned shall prescribe minimum physical security requirements based on the security philosophy in this Manual. Additionally, DoD Components concerned shall prescribe minimum-security requirements for weapon systems and platforms as described in DoD 5200.8-R (reference (f)).

C1.2.3. Physical inventories of AA&E shall be conducted in accordance with Chapter 5 of this Manual. AA&E shall be transported and protected in accordance with DoD 4500.9-R, "Defense Transportation Regulation (DTR)." (reference (h)), and Chapter 6 of this Manual.

C1.2.4. This Manual is intended to provide adequate protection to AA&E stored at the Department of Defense and DoD contractor land-based activities during peacetime conditions. There may be operations unique to an activity, e.g., a Government-owned ammunition and explosives (A&E) manufacturing facility, etc., that dictate divergence from the requirements of this Manual. For such activities, the local environment and conditions must be evaluated, and the security requirements of this Manual tailored to the operating environment, based on practicality, cost, and mission performance. In these instances, waivers and exceptions to the requirements specified herein shall be submitted in accordance with the provisions of Chapter 2.

C1.2.5. The criteria in this Manual do not apply to procurements of commercially available Category III and IV AA&E while at a commercial production facility. However, when such items are placed in transit to a DoD activity, all pertinent requirements of Chapter 6 apply.

C1.2.6. The applicable Heads of the DoD Components may exempt arms and ammunition issued to flag rank officers from the requirements of this Manual (except for loss reporting). Where such exemptions are invoked, the affected arms and ammunition will be safeguarded and accounted for in a manner prescribed by the respective Heads of DoD Components.

C1.2.7. On a case-by-case basis, the applicable Heads of DoD Components may exempt arms and ammunition issued to Component criminal investigators from the provisions of this Manual (except for loss reporting) if compliance would impede mission performance. Where such exemptions are invoked, the affected arms and
ammunition will be safeguarded and accounted for in a manner prescribed by the Heads of DoD Components.

C1.3. RESPONSIBILITIES

C1.3.1. The Secretaries of the Military Departments, the Director, Defense Logistics Agency, and other Defense Activities possessing AA&E shall:

C1.3.1.1. Plan, program, and budget requisite resources to ensure that AA&E in their custody are protected in accordance with the requirements of this Manual.

C1.3.1.2. Prescribe security requirements for AA&E that are outside the scope of this Manual.

C1.3.1.3. Establish procedures to review all military AA&E storage construction and facility modification projects prior to contract award to ensure that they meet the criteria of this Manual and are consistent with reference (e).

C1.3.1.4. Ensure that solicitations and contracts involving Categories I through IV AA&E (as defined in Appendix 1) at COCO facilities contain security requirements in accordance with Appendix 2 of this Manual. Additionally, ensure that such documents contain entry authority to prime and subcontractor facilities to enable the Government to conduct security surveys, inspections, and investigations.

C1.3.1.5. Provide copies of each new contract involving AA&E Categories I through IV or pertinent extracts thereof (contract AA&E security requirements) to the office of the cognizant Defense Security Service (DSS) Regional Director, ATTN: Deputy Regional Director for Industrial Security at the time of contract award. Provide copies of existing contracts or pertinent extracts at the time of contract renewal. A list of the cognizant DSS Regions is provided as Attachment 1 to Appendix 2.

C1.3.1.6. Notify the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security when pre-award surveys are required to allow for their participation as necessary.

C1.3.1.7. Ensure that shipments of AA&E Categories I-IV to a DoD activity from a contractor or subcontractor meet the provisions of this Manual. Ensure that such shipments from a DoD activity to contractors or subcontractors meet the provisions of this Manual.
C1.3.1.8. Require that the appropriate security risk category (Category I-IV) of the end product and/or Government-Furnished Equipment/Material be reflected in all applicable AA&E prime and subcontracts to ensure complete understanding by DSS industrial security representatives, Administrative Contracting Officers (ACOs), and prime and subcontractors concerned.

C1.3.1.9. Advise the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security of actions taken by contractors, subcontractors, and Government ACOs in response to DSS reported AA&E security deficiencies and recommendations.

C1.3.2. The Director, Defense Security Service (DSS) shall:

C1.3.2.1. Conduct AA&E pre-award surveys as requested. Assess contractor compliance with the security requirements of AA&E contracts by conducting inspections of COCO facilities within the U.S. at recurring 18-month intervals, or more frequently if requested by the procuring command, to ensure compliance with this Manual.

C1.3.2.2. Provide the appropriate DoD Component procurement command or activity the results of such surveys and inspections.

C1.3.2.3. Undertake assessment of contract compliance only when DSS (or Government entry authority) is contractually provided as required by paragraph C1.3.1.4., above and the contract(s) contains requisite Appendix 2 requirements. DSS shall not inspect or enter contractor facilities if these two conditions have not been met for the purposes of the AA&E program.

C1.3.2.4. Coordinate inspections of DoD AA&E contractors manufacturing/possessing Category III and IV ammunition and explosives with the Bureau of Alcohol, Tobacco, and Firearms (BATF). Such contractors issued a BATF explosives manufacturing license or permit may be inspected by the BATF to ensure compliance with BATF storage requirements (Type II Magazine). For those licensed contractors regularly inspected by BATF, DSS shall not conduct additional inspections, but shall request copies of the inspection results from the inspecting BATF office. For those licensed contractors not regularly inspected by BATF, DSS shall conduct the inspections after notifying BATF.

C1.3.2.5. Facilitate the implementation of the aforementioned inspection policy by periodic meetings with BATF at the headquarters and field office levels.
C1.3.3. The Inspector General, DoD (IG, DoD), shall monitor Component compliance with the provisions of this Manual.

C1.4. INFORMATION REQUIREMENTS

The DoD internal reporting requirements described in Chapter 7 have been assigned Report Control Symbol DD-C3I(A&AR)1358 in accordance with DoD 8910.1-M (reference (i)). The submission of ATF Form 3270.19, "Munitions Loss Worksheet," to the Department of the Treasury, Bureau of Alcohol, Tobacco, and Firearms and the reporting of confirmed thefts, losses, and recoveries of DoD arms to the National Crime Information Center are exempt from Interagency licensing in accordance with paragraph C5.5.2.2., of reference (i).
C2. CHAPTER 2

POLICY

C2.1. GENERAL

C2.1.1. AA&E facilities shall be consolidated to the maximum extent possible consistent with operational, safety, and mission requirements to reduce protection costs.

C2.1.2. AA&E facilities to be built at land-based facilities shall be constructed in accordance with the security structural requirements of this Manual. Existing facilities shall be security upgraded in accordance with the structural requirements of this Manual. Such facilities shall be prioritized for security upgrade as follows:

C2.1.2.1. Facilities storing Category I items.

C2.1.2.2. Facilities storing Category II items.

C2.1.2.3. Facilities storing Category III and IV items.

C2.1.3. AA&E used in training/operational exercises, on display in museums, and onboard military vehicles and aircraft, shall be protected in accordance with guidance issued by the concerned DoD Component.

C2.1.4. Reserve Officers Training Corps or Junior Reserve Officers Training Corps (ROTC/JROTC) units, gun clubs, and other activities under the responsibility of the Director of Civilian Marksmanship shall not store Category I and II AA&E at their facilities. ROTC units may possess Category II AA&E during authorized training with active DoD Components. National Guard and Reserve units shall not store Category I AA&E at their facilities. However, the installation commanders provide specific security instructions and give these units temporary custody of Category I AA&E on military installations for training.

C2.1.5. Personnel assigned custody, maintenance, disposal, or security responsibilities for AA&E on military installations shall be subject to one of the following investigations as set forth in DoD 5200.2-R (reference (j)):

C2.1.5.1. Military Personnel: National Agency Check, Local Agency Check, Credit Check (NACLC).
C2.1.5.2. DoD Civilian Personnel: National Agency Check with Written Inquiries and Credit (NACIC).

C2.1.5.3. Contractor Personnel: NACLC.

C2.1.6. Prior to assumption of such duties (and at least annually thereafter), personnel responsible for the accountability of AA&E shall be made aware of the importance of accurate receipt, dispatch, and inventory records. Adherence to the requirement for scheduled inventories will be stressed, as well as procedures for processing inventory adjustment gains and losses as prescribed in DoD 4140.1-R (reference (k)).

C2.1.7. Personnel operating a vehicle or providing security to a vehicle transporting Category I and II AA&E (including contractor personnel transporting such items on military installations in direct support of installation requirements, and commercial carrier employees) shall be subject to an investigation as provided in paragraph C2.1.5., above, except as follows:

C2.1.7.1. Officers of U.S. flag carriers shall be licensed in accordance with U.S. Coast Guard requirements.

C2.1.7.2. Designated commercial carrier employees providing Protective Security Service for the transportation of items classified SECRET must possess a Government-issued SECRET clearance, as provided for in DoD 5220.22-M (reference (l)), and carrier-issued identification.

C2.1.8. Installation physical security plans required by DoD Components shall address the protection of AA&E. The host installation/activity shall assume responsibility for coordinating tenant AA&E protective measures.

C2.2. INTRUSION DETECTION SYSTEMS (IDS)

C2.2.1. Where required, as specified in Chapters 3 and 4, of this Manual, the IDS shall be either an approved DoD standardized system (Joint Services Interior Intrusion Detection System (J-SIIDS)), an Integrated Commercial Intrusion Detection System (ICIDS), an Alarm Monitor Group (AMG)), or a commercial equivalent approved by a DoD Component. IDS shall include point sensors on doors, other human-possible openings, and interior motion or vibration sensors.
C2.2.2. Approval of IDS shall be sought from the appropriate DoD Component headquarters listed below:

C2.2.2.1. For Army sites:
   Headquarters, Department of the Army
   ATTN: DAMO-ODL
   Washington, DC 20310-0440

C2.2.2.2. For Navy sites:
   Chief of Naval Operations
   ATTN: CNO (N09N3)
   Washington, DC 20399-5384

C2.2.2.3. For Air Force sites:
   Headquarters, Air Force Security Forces
   ATTN: HQ AF/SF
   Room 5D285, Pentagon
   Washington, DC 20310-3040

C2.2.2.4. For Marine Corps sites:
   Commandant of the Marine Corps
   Headquarters, U.S. Marine Corps (POS 10)
   2 Navy Annex
   Washington, DC 20380-1775

C2.2.2.5. For Defense Logistics Agency sites:
   Headquarters, Defense Logistics Agency
   Command Security Office (CAAS)
   8725 John J. Kingman Road
   Suite 2533
   Fort Belvoir, VA 22060-6221

C2.2.3. DoD standardized systems, or commercial equivalent approved by a DoD Component, shall replace non-DoD standardized or non-approved systems on a programmed, phased-in basis. Systems shall be replaced/upgraded every ten years or when no longer cost effective to maintain. All alarm signals will enunciate at a central control or monitoring station from which a response force can be dispatched. The response force shall respond to an activated alarm as soon as possible, but no later than 15 minutes after receipt of an alarm signal.
C2.2.4. Where an IDS is installed in a facility outside a military installation, arrangements shall be made to connect to local police or commercial monitoring companies from which immediate response to activated alarms can be directed. Response agreements/requirements shall be documented in applicable contracts and/or support agreements.

C2.2.5. A daily log shall be maintained of all alarms received. Logs shall be maintained for a minimum of 90 days and shall be reviewed to identify and correct IDS reliability problems. The log shall reflect the following:

C2.2.5.1. Nature of the alarm (nuisance, system failure, illegal entry).

C2.2.5.2. Date, time, and location of alarm.

C2.2.5.3. Action taken in response to the alarm.

C2.2.6. IDS transmission lines shall have line security (electronically monitored to detect evidence of tampering or attempted compromise). Any visible lines must be inspected monthly. If line security is unavailable, two independent means of alarm signal transmission from the alarm area to the monitoring station shall be provided and any visible lines must be inspected weekly. Where possible, one of the two independent means of alarm signal transmission shall be either a long-range radio or cellular telephone link. The dual transmission equipment shall continuously monitor the integrity of both the telephone wire line and cellular or long-range radio links. Upon loss of either communication path, the system shall immediately initiate notification to the monitoring facility via the other communication link. Additionally, a protected backup independent power source of four-hour minimum duration shall be provided. Provisions of telephone communication between a central control station and alarm zones to provide for controlled entry by authorized personnel should be considered as an adjunct to the IDS.

C2.2.7. Systems shall be tested quarterly to ensure the proper functioning of the alarm sensors. For bulk storage areas (depots, weapon stations, etc.), such checks may be performed every six months. A log shall be maintained documenting such tests and shall be kept for one year.

C2.3. SECURITY FORCES

C2.3.1. Security forces, or other personnel authorized by the DoD Component
Head, shall check AA&E storage areas during non-duty hours as prescribed in Chapters 3 and 4 respectively. The checks shall be recorded and consist of an inspection of all buildings (to include all access openings) in the storage areas. Records of such checks shall be maintained in unit files for a minimum of 90 days. Security forces include military personnel, civilian security personnel (including contract security personnel), State, local, or campus security personnel.

C2.3.2. Security forces shall be provided with two-way radio communication.

C2.3.3. Where AA&E is stored off military installations in civilian communities, and where security checks cannot be conducted by DoD personnel due to legal or operational considerations, liaison shall be established with local law enforcement to ensure that non-duty hour checks are conducted by the local police authorities.

C2.4. RESTRICTED AREA POSTING

A facility containing AA&E (as specified in Appendix 1) shall be designated and posted as a "RESTRICTED AREA" as specified in reference (f) by the installation commander.

C2.5. KEY AND LOCK CONTROL

C2.5.1. Keys to AA&E storage areas, buildings, rooms, racks, containers, and IDS shall be maintained separately from other keys. They shall be accessible only to those individuals whose official duties require access to them. A current roster of personnel authorized key access shall be maintained and kept from public view.

C2.5.2. The number of keys shall be held to the absolute minimum. Master keying of locks and the use of a master key system is prohibited for AA&E exterior access doors.

C2.5.3. Keys shall not be left unsecured or unattended at any time. In the event of lost, stolen, or misplaced keys, the affected locks or lock cores shall be replaced immediately.

C2.5.4. When not attended or in use, operational keys to Category I and II AA&E shall be secured in General Services Administration (GSA)-approved Class 5 security containers or Class 5 weapons storage containers. Keys to Category III and IV AA&E may be stored in containers of at least 12-gauge steel (or material of equivalent strength) secured with a GSA-approved built-in three position changeable combination
lock, a built-in combination lock meeting UL Standard 768 Group I (reference (g)), or a GSA-approved key-operated security padlock. Existing containers other than 12-gauge may continue to be used. Reserve or replacement locks, cores, and keys shall also be secured as prescribed above. Keys shall not be removed from DoD-controlled space (off installation) except for operational necessity.

C2.5.5. Installation Commanders storing/securing AA&E, or their designees, shall appoint in writing AA&E lock and key custodians. Key custodians shall not be unit armorers or other persons responsible for the AA&E storage facilities. Key control registers shall be maintained to reflect continuous key accountability.

C2.5.6. Key registers shall contain the following information:

C2.5.6.1. Name and signature of individuals receiving keys.

C2.5.6.2. Date and hour of issuance.

C2.5.6.3. Key serial numbers or other identifying information.

C2.5.6.4. Signature of individuals issuing keys.

C2.5.6.5. Keys return date and hour.

C2.5.6.6. Name and signature of individual receiving returned keys.

C2.5.7. Completed key control registers shall be retained in activity files for a minimum of one year and then disposed of in accordance with Component guidance.

C2.5.8. Inventories of keys and locks shall be conducted semiannually. Inventory records shall be retained in activity files for one year and then disposed of in accordance with Component guidance.

C2.5.9. When individuals (such as duty officers) are charged with safeguarding/custody of keys to AA&E areas, they shall sign for a security-sealed container of keys. When container custody is transferred, the seals will be checked for original container integrity. Unbroken and intact seals shall preclude the necessity of physically counting the keys with each change of custody.

C2.6. ENTRY CONTROL

C2.6.1. Strict personnel and vehicular access control shall be established for areas
storing AA&E. Persons authorized unaccompanied access will be authorized in writing by the head of the AA&E activity. Access to such areas for all personnel shall be recorded (manually or electronically). The records of access shall be retained for one year and disposed of in accordance with DoD Component guidance.

C2.6.2. Vehicles and personnel shall be subject to random inspections upon entry to and exit from AA&E areas.

C2.6.3. Privately owned vehicles shall be prohibited from AA&E areas.

C2.7. WAIVERS AND EXCEPTIONS

C2.7.1. DoD Components may deviate from the construction standards of this Manual for new and existing facilities if they specify equivalent levels of protection. However, deviations from the non-construction requirements prescribed herein must be requested in writing (as waivers and/or exceptions to policy) from activities storing AA&E to their Major Commands (MACOMs), which may grant or deny the requests in accordance with procedures established by DoD Component Headquarters under the following provisions:

C2.7.1.1. Waivers and exceptions shall be individually considered. Blanket waivers and exceptions shall not be authorized. Waivers shall be granted for a 12-month period and shall specify the approval rationale as well as the equivalent compensatory measures that will substitute for the waived security requirement(s). MACOMs may grant a 12-month extension to previously approved waivers. Thereafter, the waiver shall be processed as an exception to policy.

C2.7.1.2. Exceptions shall be granted only when compliance with a requirement from this Manual would unduly impede mission performance as described and documented in the exception request. As with waivers, approved exceptions shall specify the rationale for granting the exception as well as the alternative or compensatory security measure(s) that will substitute for the excepted security requirement(s). Exceptions shall be reviewed every three years by the granting authority.

C2.7.1.3. Waivers and exception requests involving commercial transportation of AA&E shall be coordinated in advance with the Military Traffic Management Command. Copies of such approved waivers and exceptions shall be forwarded to the Commander, Military Traffic Management Command, ATTN: MTIN, 5611 Columbia Pike, Falls Church, VA 22041-5050.
C2.7.2. Deficiencies (noncompliance with the requirements of this Manual) that will be corrected within 90 days shall not require a waiver; however, compensatory measures shall be taken during the 90-day interval.
C3. CHAPTER 3

PROTECTION OF CATEGORY I, II, & III MISSILES AND ROCKETS AND ALL
CATEGORIES OF AMMUNITION AND EXPLOSIVES (A&E)

C3.1. BULK STORAGE AREAS (DEPOT ACTIVITIES/MUNITIONS SUPPLY
POINTS)

C3.1.1. These categories shall be stored in fixed structures prescribed in DoD
6055.9-STD (reference (e)). If operational necessity dictates, Category III and IV
A&E may also be stored in pre-engineered explosives magazines as specified in Naval
Facilities Engineering Service Center Technical Data Sheet 82-12, dated May 1985
(reference (m)), or a similarly constructed Component-prescribed structure.

C3.1.2. 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.
Locks assigned National Stock Number (NSN) 5340-00-158-3805, NSN
5340-00-158-3807, NSN 5340-01-408-8434, or NSN 5340-01-269-9345, all meet this
CID.

C3.1.3. Each magazine and/or structure storing Category I and II Missiles and
Rockets and Category I and II A&E shall be equipped with an IDS as described in
Chapter 2 unless the areas where they are located are continuously manned or under
constant surveillance in such a manner that unauthorized entry into and around the
storage structures can be detected. In addition to the IDS, a supervised armed (where
allowed by local jurisdiction) security force individual(s) shall check all alarmed
structures in the areas daily during non-duty hours. Structures containing Category III
Missiles and Rockets and Category III and IV A&E do not require IDS. However,
they do require security force checks daily during non-duty hours. If these structures
are equipped with IDS, no daily security force check during non-duty hours is required.

C3.1.4. Storage structures shall be secured with high security padlocks and hasps.

C3.1.5. The perimeter of Category I and II storage areas shall be fenced as
follows:
C3.1.5.1. Fence fabric shall be chain link (galvanized, aluminized, or plastic coated woven steel) 2-inch square mesh 9-gauge diameter wire, including coating. In Europe, fencing may be North Atlantic Treaty Organization (NATO) Standard Design Fencing (2.5-3 mm gauge, 76mm grid opening, 2-meter height, and 3.76-meter post separation).

C3.1.5.2. The minimum height of the fence fabric shall be 6 feet (excluding top guard/outrigger).

C3.1.5.3. Clear zones shall be established and shall extend a minimum of 12 feet on the outside and 30 feet on the inside (available real estate permitting).

C3.1.5.4. The perimeter fence shall have a minimum number of vehicular and pedestrian gates, consistent with operational requirements. Unless continuously guarded, gates shall be secured with locking devices approved by the DoD Components. Hinge pins shall be welded (or otherwise secured).

C3.1.5.5. Drainage structures and water passages penetrating the fence having a cross-sectional area greater than 96 square inches, and a dimension greater than 6 inches shall be barred.

C3.1.5.6. If the installation housing the Category I and II storage areas has adequate perimeter fencing, fencing the inner (actual) storage area is not required if the entrance(s) to such area is monitored by closed-circuit television.

C3.1.6. 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. The necessity for perimeter lighting shall be determined by the DoD Components.

C3.1.7. 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.

C3.2. UNIT LEVEL (BASIC LOAD QUANTITIES OR QUANTITIES SUFFICIENT FOR TRAINING AND OPERATIONAL PURPOSES)

C3.2.1. Unit-level stocks are typically housed in a building used to store
ammunition on a rifle range, or a military police/security force operations room.

C3.2.2. Category I, II, and III missiles and rockets and all A&E categories shall be stored in any of the following:

C3.2.2.1. Arms room constructed in accordance with MIL-HDBK-1013/1A (reference (n)) or DoD Component-specified structure. A modular vault meeting Federal Specification AA-V-2737 (with a GSA-approved Class 5 Armory Vault Door) may be used to meet this requirement.

C3.2.2.2. GSA-approved Class 5 Weapons Storage Container or a pre-engineered magazine as specified in reference (m).

C3.2.2.3. Secured combat vehicles, aircraft, ships, trailers, or in other configurations required by operational or training requirements, provided constant surveillance of the items is established and maintained. Further, the DoD Components shall prescribe additional security measures for this type storage.

C3.2.3. Access doors shall be either of the following:

C3.2.3.1. GSA-approved Class 5 Armory Vault Doors for modular vaults that meet Federal Specification AA-V-2737.

C3.2.3.2. Solid hardwood or laminated wood of at least 1 3/4-inch thickness with a 12-gauge steel plate on the outside face, or standard 1 3/4-inch thick, hollow metal, industrial-type construction with a minimum 14-gauge skin plate thickness, internally reinforced with continuous vertical steel stiffeners spaced 6 inches on center.

C3.2.3.3. Door bucks, frames, and keepers shall be rigidly anchored and provided with anti-spread filler reinforcement to prevent disengagement of the lock bolt by prying or jacking of the door frame. Door frames shall be designed and installed in a manner that prevents removal of the frame facing. Their construction requirements shall be as exacting as those for the doors themselves. For example, where metal doors are used, the frame and thresholds shall also be metal. Door hinges shall be located on the inside and shall be of the fixed-pin security type or equivalent.

C3.2.4. Access doors shall be secured with high security padlocks and hasps (except GSA-approved Class 5 Vault Doors, which have a built-in three-position dial combination lock and doors of GSA-approved Class 5 Weapons Storage Containers, which also have the aforementioned lock).

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C3.2.5. Missiles and rockets shall normally be stored in original containers, banded and sealed to reflect the integrity of the contents. Containers weighing less than 500 pounds shall be fastened to the structure (or fastened together in groups that have a total weight exceeding 500 pounds) with bolts or chains secured with padlocks meeting CID A-A-1927. Locks assigned NSN 5340-00-158-3805, NSN 5340-00-158-3807, NSN 5340-01-408-8434, or NSN 5340-01-269-9345, all meet the prescribed CID. They may also be stored in GSA-approved Class 5 Weapons Storage Containers.

C3.2.6. Structures specified in subparagraphs C3.2.2.1. and C3.2.2.2., above, storing Category I and II material shall be protected by IDS as described in Chapter 2 unless continuously manned or under constant surveillance in such a manner that unauthorized access to the material can be detected. In addition, a supervised armed (where allowed by local jurisdiction) security force individual(s) shall check all alarmed areas daily during non-duty hours. Category III and IV storage structures/containers do not require IDS. However, they do require security force checks daily during non-duty hours as described above. If Category III and IV structures/containers are equipped with IDS, no daily security force checks during non-duty hours are required.

C3.2.7. Windows and other openings shall be kept to a minimum.

C3.2.8. Exterior building and door lighting shall be provided for all structures storing Category I and II material. 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. The Heads of the DoD Components shall determine the necessity for security lighting of structures housing Category III and IV material.

C3.2.9. Two or more units may share the same storage facility. Where applicable, stocks shall be separated and identified by unit. One unit shall be designated as responsible for the security of the entire facility.
C4. CHAPTER 4

PROTECTION OF CATEGORY II, III, AND IV ARMS

C4.1. GENERAL

These items, to include firearms stored in rod and gun club facilities, shall be stored in the same manner as prescribed for Category I through III missiles and rockets (and all categories of ammunition and explosives) as outlined in Chapter 3, sections C3.1. and C3.2., as applicable, except as noted below. Security lighting as prescribed in Chapter 3 shall also be provided to arms storage areas.

C4.2. EXCEPTIONS

C4.2.1. The installation/base commander shall determine the necessity for perimeter fencing.

C4.2.2. Within the structures prescribed in Chapter 3, arms stored at the unit level shall be secured in standard issue (or locally fabricated) arms racks, or metal containers. The racks must be constructed to prevent easy removal. Such racks shall be secured with padlocks meeting Commercial Item Description A-A-1927. Bolts used to secure racks must be spot welded, opened, or otherwise secured to prevent easy removal. Chains used to secure racks shall be heavy duty hardened steel or welded, straight link, galvanized steel, 5/16-inch thick, or equivalent. An example of an equivalent chain is Type 1, Grade C, Class 4, NSN 4010-00-149-5583. Hinged locking bars for racks shall have the hinges welded, peened, or otherwise secured to prevent easy removal.

C4.2.3. At the unit level, racks and containers weighing less than 500 pounds (with weapons) shall be fastened to the structure, or fastened together in groups that have a total weight exceeding 500 pounds, with bolts and chains.

C4.2.4. Unless continuously manned or under constant surveillance in such a manner that unauthorized entry into and around arms storage structures can be detected, all Category II, III, and IV arms storage structures (both bulk storage and unit level) shall be protected by IDS as specified in Chapter 2, section C2.2. In addition, a supervised armed (where allowed by local jurisdiction) security force individual(s) shall check all Category II arms storage structures daily during non-duty hours.
C4.3. ARMS PARTS

Major parts for arms (such as barrels and major subassemblies) shall be afforded at least the same protection as Category IV arms. The frame or receiver of an arm constitutes a weapon and such parts shall be stored according to the applicable category; e.g., the receiver of a .30 caliber machine gun shall be stored as a Category II arm.

C4.4. FACILITIES LOCATED OUTSIDE A MILITARY INSTALLATION

C4.4.1. In addition to meeting the requirements of this Manual, Risk Category II arms shall have the bolts removed and secured in a GSA-approved Class 5 Security Container under any of the following conditions:

C4.4.1.1. Facility does not meet the structural requirements of this Manual (e.g., undergoing security upgrade).

C4.4.1.2. Increased threat conditions.

C4.4.1.3. Inoperative IDS.

C4.4.1.4. During periods when the facility is unattended due to annual field training if the arms are left in the facility.

C4.4.2. Bolts so removed shall be tagged with the weapons' serial numbers to ensure return to the same weapons. Etching of weapons' serial numbers on removed bolts is prohibited.

C4.5. ISSUANCE OF ARMS

Heads of DoD Components shall prescribe and implement procedures for the issuance of arms for training and/or mission performance purposes. Such procedures shall include the following:

C4.5.1. A system to identify and authenticate persons authorized to remove arms from arms rooms/storage areas.
C4.5.2. A sign-out, sign-in register/log that reflects the name and signature of the individual removing/returning the arm, date and time of sign-out and return, and purpose of removal.

C4.5.3. Expeditious inquiry of all instances where arms were not returned within stipulated timeframes.

C4.5.4. Emergency issuance procedures that ensure the integrity of the accountability system.
C5. CHAPTER 5

ACCOUNTABILITY, DISPOSAL, DEMILITARIZATION, AND SERIAL
NUMBER REGISTRATION

C5.1. CATEGORY I MISSILES AND ROCKETS (NONNUCLEAR)

C5.1.1. General. Each DoD Component having custody of Category I missiles and rockets (nonnuclear) shall establish and maintain serial number registration and reporting in accordance with DoD 4140.1-R, "DoD Material Management Regulation" (reference (k)). Such reporting shall include and reflect missiles and rockets issued for training; missiles and rockets returned unexpended from training; and expended residue, as applicable. Additionally, the DoD Components shall establish procedures for item managers to ensure the adequacy of requisition verification of Category I missiles and rockets. The procedures shall include positive steps for rejecting excess and unauthorized requisitions. Procurement contracts shall provide for individual item serialization.

C5.1.2. Inventories. Physical inventories shall be conducted in accordance with reference (k) as indicated below:

C5.1.2.1. Unit Level: 100 percent count monthly. 100 percent quarterly inventory by unique item identifier (UII), formerly serial number.

C5.1.2.2. Post, Base: 100 percent count semiannually.

C5.1.2.3. Depot: 100 percent annual inventory by UII. Exception: For boxed and banded missiles/rockets at the post, base, and depot level, the inventory shall consist of 100 percent count as reflected by the number of items listed on the boxes. A complete count of the contents of any box shall be undertaken if there is any evidence of tampering.

C5.2. CATEGORY II AND III MISSILES AND ROCKETS (NONNUCLEAR)

C5.2.1. General. Each DoD Component having custody of Category II and III missiles and rockets (nonnuclear) shall establish and maintain records that provide continuous accountability (receipt, storage, shipment, and destruction/demilitarization). The records shall include and reflect missiles and rockets issued for training; missiles and rockets returned unexpended from training;
and expended residue, as applicable. Additionally, the DoD Components shall establish requisition verification procedures as specified above for Category I missiles and rockets.

C5.2.2. Inventories. Physical inventories of these items shall be conducted in accordance with reference (k), and as indicated below:

C5.2.2.1. Unit Level: 100 percent quarterly count.

C5.2.2.2. Post, Base: 100 percent count semiannually. For boxed and banded missiles/rockets, the inventory shall consist of 100 percent count as reflected by the number of items listed on the boxes. A complete count of the contents of any box shall be undertaken if there is any evidence of tampering.

C5.2.2.3. Depot: 100 percent count annually. Boxed and banded missiles/rockets shall be counted as described above.

C5.3. CATEGORY II, III, AND IV ARMS

C5.3.1. General. Each DoD Component having custody of these items shall establish and maintain serial number registration and reporting in accordance with reference (k). Additionally, the DoD Components shall establish procedures for item managers to ensure the adequacy of requisition verification of Category II-IV arms. Such procedures shall include positive steps for rejecting excess and unauthorized requisitions.

C5.3.2. Inventories. Physical inventories shall be conducted in accordance with reference (k), as indicated below:

C5.3.2.1. Unit Level. 100 percent monthly count. 100 percent quarterly inventory by UII.

Exception. For boxed and banded arms, the inventory shall consist of 100 percent count as reflected by the number of items listed on the boxes. A complete count of the contents of any box shall be undertaken if there is any evidence of tampering.

C5.3.2.2. Post, Base. Semiannual 100 percent inventory by UII. For boxed and banded arms, the inventory shall consist of 100 percent count as reflected by the
number of items listed on the boxes. A complete count of the contents of any box shall be undertaken if there is any evidence of tampering.

C5.3.2.3. **Depot.** 100 percent inventory by UII each fiscal year. Boxed and banded arms shall be inventoried as prescribed above.

C5.4. **AMMUNITION AND EXPLOSIVES (ALL CATEGORIES)**

C5.4.1. **General.** Each DoD Component shall establish procedures for item managers to ensure the adequacy of requisition verification of all ammunition and explosives sensitive categories. The procedures shall include positive steps for rejecting excess and unauthorized requisitions.

C5.4.2. **Inventories.** Physical inventories shall be conducted in accordance with DoD 4140.1-R (reference (k)) and as follows:

C5.4.2.1. **Unit Level.** 100 percent monthly count of unsealed/unlocked containers/boxes. For boxes/containers that are locked/sealed, the inventory shall consist of 100 percent count as reflected by the number of items listed on the box/container. A complete count of the contents of any box or container shall be undertaken if there is any evidence of tampering.

C5.4.2.2. **Post, Base.** Semiannual 100 percent count of unsealed/unlocked containers. Locked/sealed containers/boxes shall be inventoried semiannually as prescribed above.

C5.4.2.3. **Depot.** As prescribed in reference (k).

C5.5. **INVENTORY ADJUSTMENTS**

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

C5.6. **DISPOSAL AND DEMILITARIZATION**

Disposal and demilitarization of all excess and surplus AA&E shall be accomplished in accordance with DoD 4160.21-M, "Defense Reutilization and Marketing Manual" (reference (o)). AA&E being disposed of (e.g., Foreign Military Sales, transfer to law
enforcement agencies, etc.) shall be stored and transported in accordance with this Manual until custody is transferred to the gaining non-DoD entity/activity.

C5.7. INVENTORIES WHEN THE RESPONSIBILITY FOR THE CUSTODY OF KEYS TO UNIT-LEVEL ARMS STORAGE FACILITIES IS TRANSFERRED BETWEEN AUTHORIZED PERSONS

Heads of DoD Components shall prescribe and implement inventory procedures that ensure physical counts of arms and ammunition by both in-coming and out-going key custodians each time the custody of the keys is transferred. For boxes/containers that are sealed/locked, the inventory shall consist of 100 percent count as reflected by the number of items listed on the boxes/containers. Evidence of tampering will cause the boxes to be opened and the contents counted. Inventory results shall be retained until completion of the next UII inventory.
C6. CHAPTER 6
TRANSPORTATION

C6.1. GENERAL

This Chapter prescribes transportation security policy, standards, and procedures for sensitive, conventional AA&E as described in Appendix 1.

C6.1.1. Classified AA&E in transit shall be protected in accordance with this chapter and DoD 5200.1-R, "DoD Information Security Program" (reference (p)).

C6.1.2. AA&E in transit via the Defense Transportation System, i.e., aboard commercial carriers, shall be provided security in accordance with the transportation security requirements enumerated in Chapter 205, Part II (Cargo Movement), reference (h). The security requirements specified therein may be modified in times of heightened terrorist threats (e.g., an increased terrorist threat condition (THREATCON) level declared by the Head of a DoD Component) or military contingency operations/deployments by affected Head of the DoD Components with advice and assistance from the U.S. Transportation Command (USTRANSCOM) and its appropriate subordinate commands.

C6.1.3. To the extent possible, organic/unit movement of AA&E shall be provided the same degree of protection as commercial shipments. Such movements of Category I and II items between military reservations shall be provided security or police surveillance.

C6.1.4. DoD Components may authorize alternative security procedures for small quantities (15 or fewer) of arms and associated ammunition for marksmanship training and/or competition on a case-by-case basis. Such items must be in the custody of a designated individual. Use of privately owned vehicles to transport these items may be authorized by the applicable Component.

C6.1.5. AA&E awaiting shipment in military terminals shall be protected as specified in Appendix 3.
C6.2. **RESPONSIBILITIES**

C6.2.1. Within their respective areas of responsibility, Combatant Commanders and the Commander, USTRANSCOM, are responsible for:

C6.2.1.1. Ensuring that the security requirements of this chapter are included in applicable tariffs, tenders, agreements, or contracts for the transportation of sensitive, conventional AA&E.

C6.2.1.2. Establishing and publishing rules and requirements for in-transit security of DoD shipments within their area of operations in accordance with the requirements of this chapter.

C6.2.1.3. Establishing oversight programs to ensure the adequacy of in-transit security provided DoD shipments by commercial carriers.

C6.2.2. USTRANSCOM and its components (Air Mobility Command (AMC), Military Traffic Management Command (MTMC), and Military Sealift Command (MSC)) in addition to the tasks enumerated in section C6.2., above, shall:

C6.2.2.1. In coordination with the OASD(C3I), develop, administer, and maintain, joint transportation security requirements for the commercial movement of AA&E via all modes.

C6.2.2.2. Serve as the DoD focal point for the security of AA&E in transit by commercial carriers and for monitoring the performance of such carriers in providing requisite security services to AA&E shipments.

C6.2.2.3. Develop, administer, and maintain policy and procedures for the protection of DoD AA&E awaiting transportation in commercial terminals.

C6.3. **STANDARDS**

C6.3.1. AA&E shall be transported in locked and sealed containers (MILVANS, SEAVANS, or CONEXs). End-opening containers shall be placed door-to-door during rail shipments. Barriers on the rail cars shall be used to protect side-opening containers and deter the opening of such cars. AA&E shall be placed in the rear of containers behind non-sensitive items to reduce the opportunity of theft.

C6.3.1.1. In the event of contingencies, exercises, or rotational unit movements where it is not practical to use containers, only armored vehicles that are
locked and sealed shall be used to ship AA&E. The AA&E shall be provided double-barrier protection by placing it in separate, locked and sealed containers, affixed to the interior of the locked/sealed armored vehicles in a manner that precludes easy removal.

C6.3.1.2. If contingency operations dictate that armored vehicles are to be shipped fully uploaded, double-barrier protection shall be provided to the extent possible, and the vehicles shall be locked and sealed.

C6.3.2. AA&E shipments shall normally be processed through military-operated and managed air and ocean terminals or through DoD-approved commercial air and ocean terminals. A listing of such terminals is available from MTMC.

C6.3.3. The in-transit protection of AA&E at commercial and military terminals shall be in accordance with the DTR and applicable MTMC Freight Traffic Rules. Instances of noncompliance shall be reported to MTMC's Command Operations Center at (703) 681-6125.

C6.3.4. AA&E shipments shall be locked/sealed and inspected in transit as specified in Chapter 205, DTR (reference (h)). Shipments shall be checked upon receipt by the receiving activity (consignee) to ensure that seals are intact and for any signs of theft, tampering, or damage. If there are such signs, an immediate inventory shall be performed to determine the extent of theft/loss, tampering, or damage.

C6.3.4.1. If the seals are intact, and there are no signs of damage or tampering, inventory quantity verification of Category I and II shipments shall be conducted within 24 hours upon receipt.

C6.3.4.2. Category III and IV shipments shall be subjected to inventory quantity verification within 48 hours of receipt.

C6.3.5. Instructions shall be provided to rail carriers transporting Category I and II items requiring them to immediately notify consignees of shipment arrivals at rail yards serving the consignees and/or of the arrivals at the consignees' activities.

C6.4. SPECIAL CONSIDERATIONS FOR CATEGORY I ITEMS

C6.4.1. Missile rounds shall be packaged separately from launch and control equipment. Missiles shall not be shipped in the same conveyance with launch and control equipment when shipment is by commercial motor carrier. Missiles and
launch and control equipment may not be loaded into the same freight container (e.g., MILVAN). Category I items onboard prepositioned ships are exempt from this restriction. Separately packaged launch and control equipment may be transported in the same aircraft or on the same ocean vessel. Missile and launch and control equipment in the possession of military units may be transported together at the discretion of the unit's higher headquarters. Where satellite monitoring is not available, missile shipments shall be provided Security Escort Vehicle Service.

C6.4.2. Serial number accountability will be maintained at all times from shipper to consignee. Each container shall be checked, sealed, and locked by two agents of the shipper (in each other's presence) before delivery to the carrier. This two-person integrity is required at each transshipment point and terminal whenever the shipment loses its original identity (e.g., when two or more shipments are consolidated into another container for further movement or if repacking is required).

C6.4.3. Items moved by unit or organization transportation shall be placed in the custody of a commissioned officer, warrant officer, senior noncommissioned officer, or DoD civilian of equivalent grade.

C6.4.4. Overseas commands may use local nationals for security surveillance to accompany U.S. personnel when Status of Forces Agreements prohibits the arming of U.S. personnel.

C6.5. SPECIAL CONSIDERATIONS FOR WATER SHIPMENTS

C6.5.1. AA&E shall 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 for the AA&E). If U.S. flag vessels are not available, MSC-approved local national charters may be utilized.

C6.5.2. Prior to voyage, the shipping activity shall provide a written stow plan detailing the location of the AA&E aboard ship and its protection requirements to the ship's Captain.

6.5.3. AA&E shall be stowed in separate, locked containers, inaccessible to unauthorized personnel during ocean transit.

6.5.4. AA&E shipments shall be direct-voyage to destination. If the cargo must be offloaded enroute, it shall be provided constant surveillance by DoD personnel, if available, or by U.S. citizen crew-members pending reloading.
C6.6. SPECIAL CONSIDERATIONS FOR SMALL QUANTITY SHIPMENTS

Small quantity shipments are individual shipments of 15 or fewer small arms, or 200 pounds or less of ammunition or explosives.

C6.6.1. Small arms and missile components (excluding ammunition and explosives) may be sent by registered mail (return receipt requested) when the size and weight meet U.S. Postal Service requirements.

C6.6.2. Small quantities of AA&E may be shipped by commercial carrier providing DoD Constant Surveillance Service (CSS) (as the only required transportation protective service) when loaded in a locked container, and the size, weight, and safety factors meet the carrier requirement.

C6.7. SECURITY OF COMMERCIAL SHIPMENTS TEMPORARILY AT DoD INSTALLATIONS AND ACTIVITIES

C6.7.1. AA&E shipments arriving at DoD installations and activities during non-delivery hours shall be accepted by consignees and provided appropriate protection commensurate with the sensitivity category of the delivered items.

C6.7.2. DoD installations and activities shall provide a safe haven for AA&E shipments during emergency conditions (vehicle breakdowns, criminal/terrorist threats, etc.) in accordance with the DTR.

C6.8. OVERSEAS IN-THEATER MOVEMENTS

C6.8.1. AA&E in transit shall be provided the same or greater protection as that required for CONUS movements.

C6.8.2. When the transportation protective service(s) required by the DTR is not available, equivalent compensatory service(s) shall be specified for commercial in-theater shipments.

C6.9. AA&E SHIPMENTS FROM DEFENSE CONTRACTORS

C6.9.1. AA&E procurement contracts (including subcontracts) shall include/specify applicable DTR transportation security requirements for AA&E
destined to DoD activities, DoD contractors, and DoD subcontractors. AA&E destined to foreign co-production contractors from DoD contractors shall also, by contract provision, be provided requisite transportation security in accordance with the DTR.

C6.9.2. AA&E shipments to DoD activities or DoD contractors by foreign contractors shall, by contract provision, be provided equivalent DTR specified transportation security to the nearest U.S.-controlled port facility, and full DTR-specified protection from that point to ultimate CONUS destination.

C6.10. FOREIGN MILITARY SALES (FMS)

C6.10.1. FMS shipments of AA&E shall be made in accordance with paragraph 80206g, DoD 5105.38-M, "Security Assistance Management Manual" (reference (q)).

C6.10.2. FMS AA&E shipments shall normally be shipped through the Defense Transportation System to military-controlled ports of embarkation. While in CONUS, such shipments destined to foreign governments, shall be moved via MTMC-cleared commercial carriers.

C6.10.2.1. Shipments subject to CONUS return for maintenance, testing, or co-production agreements shall contractually be provided equivalent security to that required by the DTR while in transit overseas and within CONUS.

C6.10.2.2. Transportation plans for AA&E FMS shipments are required as part of the FMS negotiation process.

C6.10.2.2.1. Such plans shall be coordinated in advance with the applicable Military Department Security Assistance Command or the Defense Security Assistance Agency, as applicable.

C6.10.2.2.2. MTMC shall be contacted for assistance in developing the in-transit security portion of the transportation plan.

C6.11. TABULAR DISPLAY OF IN-TRANSIT SECURITY REQUIREMENTS

Pages 205-18 through 205-20 of reference (h) outline AA&E in-transit security requirements in tabular format.
C7.  CHAPTER 7
REPORTS, INVESTIGATIVE AIDS, AND DISPOSITION OF RECORDS

C7.1.  GENERAL

This chapter does not prevent the submission of internal Component reporting requirements concerning transportation, item/packaging discrepancies, and discrepancies involving foreign military sales. This chapter does not apply to privately owned weapons.

C7.2.  INCIDENT REPORTS TO THE DoD COMPONENTS

Each DoD Component shall establish procedures to ensure receipt of reports of sensitive AA&E stolen, lost, or recovered at a centralized office responsible, Component-wide, for physical security, theft and loss prevention. AA&E gains or losses due to inventory adjustments shall also be reported to Component central offices. Notification shall be furnished in a manner commensurate with the seriousness or nature of the incident. Specifically, the confirmed theft, loss, recovery, or inventory adjustment of the following shall be reported:

- C7.2.1. Missiles, rockets, and arms as set forth in Appendix 1.
- C7.2.2. Five thousand rounds or more of ammunition smaller than 40 mm (20,000 rounds or more of .38 caliber).
- C7.2.3. Five rounds or more of ammunition 40 mm and larger.
- C7.2.4. Individual mortar, grenade, and missile rounds.
- C7.2.5. Items with ten or more pounds of net explosive weight.

C7.3.  INCIDENT REPORTS TO THE OFFICE OF THE SECRETARY OF DEFENSE

The Director of Security, OASD(C3I), DASD(S&IO) shall be provided reports by telephone, facsimile, or electronic message from the DoD Components of all significant incidents of confirmed theft or loss of AA&E (including inventory
adjustment losses) as soon as possible, but not later than 72 hours after occurrence or discovery. Specifically, the following shall be considered significant:

C7.3.1. One or more Category I or II missiles or rockets.
C7.3.2. One or more machine-guns.
C7.3.3. One or more automatic fire weapons.
C7.3.4. Twenty-five or more manually operated or semi-automatic fire weapons.
C7.3.5. Over 5000 rounds of ammunition smaller than 40 mm.
C7.3.6. 20,000 rounds or more of .38 caliber.
C7.3.7. Five rounds or more of 40 mm and larger.
C7.3.8. Any fragmentation, concussion, or high explosive grenade.
C7.3.9. One or more mines (antipersonnel and antitank).
C7.3.10. Ten pounds or more of demolition explosives, including detonation cord, and blocks/sticks of explosives (C-4, dynamite, etc.).
C7.3.11. Armed robberies and attempted armed robberies of AA&E facilities.
C7.3.12. Forced entries or attempted forced entries into AA&E facilities.
C7.3.13. Evidence of terrorist involvement in the theft of AA&E.
C7.3.14. Incidents involving AA&E that cause significant news coverage, or appear to have the potential to cause such coverage.
C7.3.15. Evidence of trafficking/bartering involving AA&E, illegal drugs, etc., regardless of the quantity of AA&E involved.

C7.4. **DoD COMPONENT RECORDS**

Each Component shall maintain records of reports received and dispatched under sections C7.2. and C7.3., above. These records shall include:

C7.4.1. A summary of the circumstances in each instance.
C7.4.2. Dates, locations, and units involved (Active Duty, Reserve, National Guard, or Civilian Marksmanship).

C7.4.3. Explanation for the loss or recovery (inventory adjustment, theft, in-transit, training, operational, etc.).

C7.4.4. Final disposition of investigative action, including disciplinary action, as appropriate. This information shall be provided to the Director of Security, OASD(C3I), for reports initially provided to that office per section C7.2., above.

C7.5. ANNUAL REPORT

The DoD Components shall provide the Director of Security, OASD(C3I), DASD(S&IO) a written annual (calendar year) analysis of AA&E thefts and losses as well as actions taken to reduce such incidents. The analysis shall reflect and compare the previous year's losses and thefts with the latest reporting year analysis. Such analyses shall be submitted to the Director, Security Programs not later than 30 January. The DoD Components shall present their analyses annually at the DoD Physical Security Review Board meeting.

C7.6. OTHER REQUIRED REPORTING

C7.6.1. The DoD Components shall establish procedures to ensure that confirmed thefts, losses, and recoveries of DoD arms are promptly reported to the National Crime Information Center (NCIC) upon discovery of such incidents. Additionally, the confirmed theft, loss, or recovery of a DoD small arm shall be reported to the DoD Small Arms Central Registry in accordance with DoD 4140.1-R (reference (k)).

C7.6.2. The DoD Components shall ensure that reports are submitted within 72 hours to the Bureau of Alcohol, Tobacco and Firearms (ATF), Intelligence Division, BATF Headquarters, Department of the Treasury, Washington, DC 20226 of all confirmed thefts and losses of AA&E as described in section C7.3., above. BATF shall also be advised of the recovery of previously reported AA&E thefts and losses. Appendix 4 is a copy of ATF Form 3270.19, "Munitions Loss Worksheet," that is to be used when reporting such information.
C7.6.3. The DoD Components shall ensure that local Federal Bureau of Investigation offices and local law enforcement agencies, as appropriate, are also provided information as specified above.
AP1. APPENDIX 1

SENSITIVE, CONVENTIONAL, ARMS, AMMUNITION, AND EXPLOSIVES
SECURITY RISK CATEGORIES

AP1.1. GENERAL

This Appendix lists specific AA&E determined to be sensitive in security risk
Categories I through IV and provides a decision logic table for uniform identification
and coding of ammunition and explosives items.

AP1.1.1. On the basis of their relative utility, attractiveness, and availability to
criminal elements, AA&E shall be categorized according to the risks involved. As a
general rule, only arms, missiles, rockets, explosives rounds, mines, and projectiles
that have an unpacked unit weight of 100 pounds or less shall be categorized as
sensitive for purposes of this Manual. Any single container that contains a sufficient
amount of spare parts that, when assembled, will perform the basic function of the end
item shall be categorized the same as the end item.

AP1.1.2. Section AP1.2., below, lists those missiles and rockets determined to be
sensitive and assigns appropriate risk categories for same. Conventional missiles and
rockets that meet the definition of Category I shall be included automatically in that
category as they come into the inventory.

AP1.1.3. Sensitive conventional arms, ammunition, explosives, rocket and missile
identifications, codings, corollary plans, and actions for physical security
accountability and transportation shall be uniform throughout the Department of
Defense. These items shall be integrated into standard catalog data by all Services and
shall be included in applicable documents that address physical security,
accountability, storage, transportation, and other related functional activities. The
DoD Component item managers, through joint-Service coordination, shall use the
Decision Logic Table (section AP1.6., below) for uniform identification and
codification of ammunition and explosives items. Examples are in section AP1.4.,
below.

AP1.1.4. To ensure a uniform approach to sensitive item identification and
coding, DoD Components shall incorporate the criteria into their respective cataloging
policies and procedures. Additionally, the criteria shall become part of the Federal
cataloging system.
AP1.1.5. DoD Components shall periodically review ammunition and explosives coding by means of routine catalog data changes. The exception to applying the methodology specified in section AP1.1.3., above, shall be when joint-Service agreement is reached on a case-by-case basis to place an item in a higher or lower security risk category than that indicated by the total numerical value, or when evidence of theft, diversion, or misuse requires higher coding.

AP1.2. MISSILES AND ROCKETS

AP1.2.1. Category I: Manportable missiles and rockets in a ready-to-fire configuration. Included are the Redeye, Stinger, Dragon, Javelin, light antitank weEon (LAW) (66mm), shoulder-launched multi-purpose assault weapon (SMAW) rocket (83mm), M136 (AT4) anti-armor launcher and cartridge (84mm). These weapons, when jointly stored or transported with the launcher tube and/or grip stock and the explosive round, though not in a ready-to-fire configuration, shall be considered Category I items.

AP1.2.2. Category II: Missiles and rockets that are crew-served or require platform-mounted launchers and other equipment to function. Included in this group are the tube-launched optically tracked weapon (TOW) missile and Hydra-70.

AP1.2.3. Category III: Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function. Included in this group is the Hellfire missile.

AP1.3. ARMS

AP1.3.1. Category II: Light automatic weapons up to and including .50 caliber and 40mm MK 19 machine guns. Weapon components such as silencers, mufflers, and noise suppression devices will be treated as Category II items.

AP1.3.2. Category III: Includes the following items:

AP1.3.2.1. Launch tube and grip stock for the Stinger missile.

AP1.3.2.2. Launch tube, sight assembly, and gripstock for the Redeye missile.

AP1.3.2.3. Tracker for the Dragon missile.
AP1.3.2.4. Mortar tubes up to and including 81mm.

AP1.3.2.5. Grenade launchers.

AP1.3.2.6. Rocket and missile launchers with an unpacked weight of 100 pounds or less.

AP1.3.2.7. Flame throwers.

AP1.3.2.8. The launcher or missile guidance set, or the optical sight for the TOW.

AP1.3.3. **Category IV**: Includes the following items:

AP1.3.3.1. Shoulder-fired weapons, other than grenade launchers, not fully automatic.

AP1.3.3.2. Handguns.

AP1.3.3.3. Recoilless rifles up to and including 106mm.

AP1.4. **AMMUNITION AND EXPLOSIVES**

AP1.4.1. **Category I**: Complete explosive rounds for Category I missiles and rockets.

AP1.4.2. **Category II**: Includes the following items:

AP1.4.2.1. Hand or rifle grenades (high explosive and white phosphorous).

AP1.4.2.2. Antitank or antipersonnel mines (each with an unpacked weight of 50 pounds or less).

AP1.4.2.3. Explosives used in demolition operations, C-4, military dynamite, and TNT with an unpacked weight of 100 pounds or less.

AP1.4.2.4. Warheads for sensitive missiles and rockets weighing less than 50 pounds each.

AP1.4.2.5. The binary intermediates "DF" and "QL" when stored separately from each other and from the binary chemical munitions bodies in which they are
intended to be employed. (See DoD Directive 5210.65 (reference (r)) for security requirements for other chemical agents.)

AP1.4.3. **Category III:** Includes the following items:

AP1.4.3.1. Ammunition, .50 caliber and larger, with explosive-filled projectile (unpacked weight of 100 pounds or less).

AP1.4.3.2. Incendiary grenades and fuses for high explosive grenades.

AP1.4.3.3. Blasting caps.

AP1.4.3.4. Supplementary charges.

AP1.4.3.5. Bulk explosives.

AP1.4.3.6. Detonating cord.

AP1.4.3.7. Warheads for sensitive missiles and rockets weighing more than 50 pounds, but less than 100 pounds each.

AP1.4.4. **Category IV:** Includes the following items:

AP1.4.4.1. Ammunition with non-explosive projectile (unpacked weight of 100 pounds or less).

AP1.4.4.2. Fuses (other than those for high explosive grenades).

AP1.4.4.3. Illumination, smoke, and CS grenades.

AP1.4.4.4. Incendiary destroyers.

AP1.4.4.5. Riot control agents (100 pound package or less).

AP1.4.4.6. Ammunition for weapons in section AP1.3., above, not otherwise categorized.

AP1.4.4.7. Explosive compounds of sensitive missiles and rockets (except warheads).

AP1.4.4.8. Warheads for precision-guided munitions (PGM) weighing more than 50 pounds (unpacked weight).
AP1.5. COMPUTATION OF RISK FACTOR NUMERICAL VALUES

DoD Components shall use the following chart and the Decision Logic Tables (DLTs) at section AP1.6., below, to determine the numerical values to establish risk factor evaluations and risk category codes for AA&E items. To determine a numerical rating, select one factor value from each DLT and then total the four numbers. Use that sum to obtain the risk factor evaluation and risk category from the chart below.

<table>
<thead>
<tr>
<th>Numerical Rating (From DLTs)</th>
<th>Risk Factor Evaluation</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>(4-5)</td>
<td>High Sensitivity</td>
<td>II</td>
</tr>
<tr>
<td>(6-8)</td>
<td>Moderate Sensitivity</td>
<td>III</td>
</tr>
<tr>
<td>(9-12)</td>
<td>Low Sensitivity</td>
<td>IV</td>
</tr>
<tr>
<td>(13-16)</td>
<td>Non-sensitive</td>
<td>--</td>
</tr>
</tbody>
</table>

AP1.6. DECISION LOGIC TABLES

The following Decision Logic Tables use four factors (utility, casualty and/or damage effect, adaptability, and portability) to evaluate the sensitivity of an AA&E item.

AP1.T2. Decision Logic Table #2 - Utility Risk Factor Values

<table>
<thead>
<tr>
<th>Utility</th>
<th>Risk Factor</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>1</td>
<td>High explosive, concussion, and fragmentation devices.</td>
</tr>
<tr>
<td>Moderate</td>
<td>2</td>
<td>Small arms ammunition.</td>
</tr>
<tr>
<td>Low</td>
<td>3</td>
<td>Ammunition items not described above. Non-lethal munitions, civil disturbance chemicals, incendiary devices.</td>
</tr>
<tr>
<td>Impractical</td>
<td>4</td>
<td>Practice, inert, or dummy munitions; small electric explosive devices; fuel thickening compound; or items possessing other characteristics that clearly and positively negate potential use by terrorist, criminal, or dissident factions.</td>
</tr>
</tbody>
</table>

AP1.T3. Decision Logic Table #3 - Casualty or Damage Risk Factor Values

<table>
<thead>
<tr>
<th>Casualty or Damage Effect</th>
<th>Risk Factor</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>1</td>
<td>Extremely damaging or lethal to personnel; devices that will probably cause death to personnel or major material damage.</td>
</tr>
<tr>
<td>Moderate</td>
<td>2</td>
<td>Moderately damaging or injurious to personnel; devices that could probably cause personnel injury or material damage.</td>
</tr>
<tr>
<td>Low</td>
<td>3</td>
<td>Temporarily incapacitating to personnel.</td>
</tr>
<tr>
<td>None</td>
<td>4</td>
<td>Flammable items and petroleum based products readily available from commercial sources.</td>
</tr>
</tbody>
</table>
### Decision Logic Table #4 - Adaptability Risk Factor Values

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

### Decision Logic Table #5 - Portability Risk Factor Values

<table>
<thead>
<tr>
<th>Portability</th>
<th>Risk Factor</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>1</td>
<td>Items easily carried/concealed by one person.</td>
</tr>
<tr>
<td>Moderate</td>
<td>2</td>
<td>Items whose shape, size, and weight can be carried by one person for a short distance.</td>
</tr>
<tr>
<td>Low</td>
<td>3</td>
<td>An item whose shape, size, and weight requires at least two persons to carry.</td>
</tr>
<tr>
<td>Impractical</td>
<td>4</td>
<td>Material handling equipment required. The weight, size, and shape of these items preclude the movement without materials handling equipment.</td>
</tr>
</tbody>
</table>
A2. APPENDIX 2
SECURITY STANDARDS FOR AA&E AT CONTRACTOR-OWNED FACILITIES

AP2.1. FACILITY CONSTRUCTION

AA&E in production and/or storage shall be secured in either of the following structures as prescribed and authorized by the procuring command/activity:


   AP2.1.2. A structure built in accordance with DoD 6055.9-STD, "DoD Ammunition and Explosives Safety Standards," August 1997 (reference (e)).

   AP2.1.3. A portable explosives magazine as specified in Naval Facilities Engineering Service Center Technical Data Sheet 82-12 (reference (m)).

   AP2.1.4. An AA&E structure built in accordance with the procuring command/activity's applicable Military Department construction requirements.

   AP2.1.5. A storage structure built in accordance with Military Handbook 1013/1A (reference (n)).

   AP2.1.6. An existing structure if approved by the procuring command/activity.

   AP2.1.7. A modular vault meeting Federal Specification AA-V-2737 (with a GSA-approved Class 5 Armory Vault Door).

   AP2.1.8. A GSA-approved Class 5 Weapons Storage Container.

   AP2.1.9. A Type II Magazine (for storage of Category III and IV ammunition and explosives only).

   AP2.1.10. GSA-approved Security Cabinet (for storage of Category III and IV arms only).
AP2.2. **FACILITY SUITABILITY DETERMINATION**

Procuring command/activity approval (authorization) of any of the above structures shall be based on one or all of the following:

- **AP2.2.1.** Type and quantity of the AA&E in possession of the contractor commensurate with all applicable safety requirements.

- **AP2.2.2.** Knowledge of the contractor's AA&E storage and production structures based on past contract performance.

- **AP2.2.3.** Structural information provided by the contractor or Defense Security Service representative.

- **AP2.2.4.** Procuring command/activity on-site visit.

- **AP2.2.5.** Based on the above, the procuring command/activity shall issue a written facility suitability determination to the contractor evidencing compliance by the contractor with the structural requirements of this Manual. Another may accept suitability determinations made by one procuring command or activity for the same storage facility as long as the structural integrity of the facility has not been changed. If more than one structure is involved for a given contract, the determination may encompass the applicable structures thus precluding the necessity to issue a separate suitability determination for each storage structure. It is imperative that the suitability determination process begins at the pre-award stage of the contract.

AP2.3. **SECURITY LOCKS AND HASPS**

- **AP2.3.1.** Access doors to storage and production structures shall be secured with a key-operated high security padlock (Military Specification MIL-P-43607G) (reference (b)) and hasp (Military Specification MIL-H-29181B) (reference (c)). GSA-approved Class 5 Vault Doors, doors of GSA-approved Class 5 Weapons Storage Containers, and doors of Type II magazines are excluded from this requirement. High security locks and hasps may be provided the contractor as Government-furnished equipment, or the contractor may procure these items from the Defense Supply Center, Philadelphia, as directed by the procuring activity. Guidance on obtaining the lock and hasp should be obtained by calling the DoD Lock Program Technical Support Hotline (805) 982-1212 or DSN 551-1212.

- **AP2.3.2.** The lock and hasp requirement is intended for production structures...
where AA&E is to be left unattended overnight. If AA&E are removed at the end of the duty day to one of the structures identified above, no special lock or hasp is required to be installed on the production structure.

**AP2.4. KEY AND LOCK CONTROL**

The contractor shall implement a control system that ensures accountability and control of storage structure locks and keys. The contractor shall appoint a key and lock custodian to implement and supervise such system. AA&E storage structure keys shall be maintained separately from other keys and accessible only to those whose duties require access to them. The number of keys shall be held to the absolute minimum and signed for by authorized employees. When not attended or in use, operational keys to Category I and II AA&E shall be secured in General Services Administration (GSA)-approved Class 5 security containers or Class 5 weapons storage containers. Keys to Category III and IV AA&E may be stored in containers of at least 12-gauge steel (or material of equivalent strength) secured with a GSA-approved built-in three position changeable combination lock, a built-in combination lock meeting UL Standard 768 Group I (reference (g)), or a GSA-approved key operated security padlock. Existing containers other than 12-gauge may continue to be used. Reserve or replacement locks, cores, and keys shall also be secured as prescribed above.

**AP2.5. ACCESS CONTROL**

The contractor shall ensure that vehicular and pedestrian entry into and exit from the production and storage areas is controlled. Privately owned vehicles shall not be parked within 100 feet of storage and production structures.

**AP2.6. SECURITY LIGHTING**

Exterior building and door lighting shall be provided for all structures containing 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.

**AP2.7. PERIMETER FENCING**

The necessity for perimeter fencing of structures containing Category I and II items
shall be determined by the procuring command/activity after consultation with the AA&E contractor and/or the Defense Security Service representative. Guidelines for fencing are contained in reference (n).

AP2.8. INTRUSION DETECTION SYSTEM (IDS)/ALARM SYSTEM

AP2.8.1. Structures storing Categories I and II missiles and rockets, Category I and II ammunition and explosives, and Category II, III, and IV arms shall be protected by an IDS unless the areas where they are located are continuously manned or under constant surveillance in such a manner that unauthorized entry into and around the structures can be detected. The necessity for non-duty hour security checks of these structures shall be determined by the procuring command/activity after consultation with the AA&E contractor and/or the DSS representative.

AP2.8.2. All materials and equipment used in the IDS shall be listed in applicable Underwriters Laboratories (UL) standards for the specific alarm configuration/application. A list of manufacturers of UL listed IDS equipment can be found in the Automobile, Burglary Protection, and Mechanical Equipment Directory. Copies of the Directory may be obtained from:

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

AP2.8.3. All IDS material and equipment shall be installed in accordance with the criteria established in the UL Standard for Installation and Classification of Burglar and Holdup Alarm Systems (UL-681) (reference (u)).

AP2.8.4. Construction, performance, and operation of equipment intended for contractor proprietary alarm systems shall be in accordance with the criteria established for Grade AA (line security) in the UL Standard for Proprietary Burglar Alarm Units and Systems (UL-1076) (reference (v)). IDS transmission lines shall have line security (electronically monitored to detect evidence of tampering or attempted compromise). If line security is unavailable, two independent means of alarm signal transmission from the alarmed area to the monitoring station shall be provided. Where feasible, one of the two independent means of alarm signal transmission shall be either a long-range radio or cellular telephone link. The dual transmission equipment shall continuously monitor the integrity of both the telephone wire line and cellular or long-range links. Upon loss of either communication path,
the system shall immediately initiate notification to the monitoring facility via the communication link. The AA&E contractor shall test the alarm sensors monthly to ensure the proper functioning of the system. A log shall be maintained documenting such tests and shall be kept for one year.

**AP2.8.5.** All alarm signals shall enunciate at a central control or monitoring station from which a response element can be dispatched. Such station may be either a commercial central station listed with UL, an AA&E contractor proprietary station, or a local law enforcement monitoring station, or Government Contract Monitoring Station (GCMS) as specified in UL Standard 2050, "National Industrial Security Systems for the Protection of Classified Material" (reference (t)).

**AP2.8.6.** The operation of an IDS monitored by a commercial central station shall be in accordance with the criteria established for Grade AA (line security) in UL Standard for Central Station Alarm Services (UL-827) (reference (w)). A listing of available UL certified central station service providers is found in the Automobile, Burglary Protection, and Mechanical Equipment Directory under Central Station (CPVX). The AA&E contractor shall test the alarm sensors monthly by the to ensure the proper functioning of the system. A log shall be maintained documenting such tests and shall be maintained for one year.

**AP2.8.7.** Response to an IDS alarm (i.e., arrival at the alarmed facility) shall be made within 15 of minutes of alarm activation and shall consist of either of the following:

- **AP2.8.7.1. An in-house AA&E contractor response element.** This element refers to the AA&E contractor's employee(s) on-site at the AA&E facility during non-duty hours. It also refers to a contract guard on-site during non-duty hours at the AA&E contractor's facility. Both response elements are under the control and direction of the AA&E contractor, rather than control by a commercial central station or local law enforcement.

- **AP2.8.7.2. A response element dispatched by a commercial central station.** Such element shall remain on the premises until a designated representative of the AA&E contractor arrives to ascertain the nature of the alarm and take appropriate measures to ensure the security of the AA&E, or for a period of not less than one hour, whichever comes first. If the AA&E contractor representative fails to arrive within one hour, the central station (by contractual agreement) shall submit a report of the incident to the AA&E contractor within 24 hours of the incident. The report shall
include the name of the subscriber, date and time of the alarm, and name of the contractor representative(s) notified to respond.

**AP2.8.7.3. A local law enforcement element.** The AA&E contractor shall arrange for the law enforcement monitoring station to contact his/her designated representative (i.e., the AA&E contractor representative) within 15 minutes of alarm activation. If off site, the contractor's representative shall arrive at the premises within one hour of the alarm notification to ascertain the nature of the alarm and take appropriate action to ensure the security of the AA&E. Arrangements shall also be made for the law enforcement authority to notify the contractor when the contractor's representative fails to arrive within one hour as prescribed above.

**AP2.8.7.4. Constant manning/surveillance.** The AA&E contractor shall arrange for constant manning/surveillance of AA&E storage areas during non-duty hours when the IDS is inoperative due to equipment failure/repair, and during emergency conditions.

**AP2.8.7.5. Contractor compliance with section AP2.8., IDS/Alarm System above, shall only be accomplished by utilizing UL-listed installers, and/or UL-listed commercial central stations for alarm installations and central station monitoring. Evidence of compliance for each alarmed structure will be the UL certificate issued by the installing company. Where such installers or service providers are unavailable, the AA&E contractor shall notify his/her procuring command/activity for alarm system alternatives. In such instances, the AA&E contractor shall attest that the installed IDS conforms to the system requirements of AP2.8.

**AP2.9. AA&E PRODUCTION LINE SECURITY**

The contractor shall assess the security vulnerabilities inherent in AA&E manufacturing/production operations that encourage munitions theft/pilferage during manufacture, and shall develop appropriate production line security countermeasures. Such measures shall be in writing and shall be provided to the DSS for review. Included shall be procedures outlining protective measures to be employed when the production line(s) is left unattended. Closed-circuit television (CCTV), metal detectors at exit points, additional barriers, changes in production line processes, etc., are measures that may be employed.
AP2.10. IN-TRANSIT SECURITY

The procuring command/activity shall advise the contractor of requisite transportation security requirements for shipments of AA&E to Government activities, other contractors, or subcontractors in accordance with the applicable provisions of DoD 4500.9-R (reference (h)). Contractors shall ensure that internal movement (movement on a contractor's facility) of Category I and II AA&E includes the ability to communicate with security and safety personnel.

AP2.11. CLASSIFIED AA&E

Contractors manufacturing, storing, transporting, or in possession of classified AA&E shall be cleared in accordance with DoD 5220.22-M (reference (l)). Classified AA&E, if also categorized in accordance with Appendix 1, shall be stored and transported in accordance with the provisions of this appendix. All other classified AA&E (not categorized in accordance with Appendix 1) shall be protected in accordance with reference (l).

AP2.12. ACCOUNTABILITY

The procuring command/activity shall require the contractor to maintain accountability for AA&E produced/manufactured under a DoD contract as well as for AA&E items furnished to a contractor in furtherance of a DoD contract. The contractor shall provide the procuring command/activity with a written description (procedures) of how accountability will be established and maintained (to include inventories at specified frequencies). A copy of these procedures shall be furnished to DSS upon approval by the procuring command/activity.

AP2.13. DISPOSAL AND/OR DEMILITARIZATION OF AA&E

The procuring command/activity shall provide instructions to the contractor for the disposal and demilitarization of residual AA&E. AA&E awaiting such disposition may be stored outside in an "open" manner (excluding Category I and II AA&E) provided the following conditions are met:

AP2.13.1. The items remain under constant surveillance (i.e., either CCTV, physical presence of contractor employees, or contract personnel who are able to maintain constant visual observation of the AA&E).
AP2.13.2. The items are enclosed in a fenced area with 24-hour access control. The fence must be constructed in accordance with reference (n).

AP2.13.3. The items are banded and crated, with proper accountability and inventory procedures in place as prescribed by the procuring command/activity.

AP2.13.4. The open storage area is lighted during the hours of darkness or reduced visibility to enhance surveillance.

AP2.13.5. The surveillance system in place provides for the immediate detection of illegal activity, notification to monitoring locations, and 15-minute response thereto by either of the elements prescribed in section AP.2.8., above.

AP2.14. ARMS PARTS

Major parts for arms (such as barrels and major subassemblies) shall be afforded at least the same protection as Category IV arms. The frame or receiver of an arm constitutes a weapon and such parts shall be stored according to the applicable category (e.g., the receiver of a .30 caliber machine gun shall be stored as a Category II arm).

AP2.15. INCIDENT REPORTS

AP2.15.1. Contractors shall report the following incidents to the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security and the Government procuring command/activity not later than 72 hours after discovery:

AP2.15.1.1. All AA&E thefts and losses.

AP2.15.1.2. Any armed robbery or attempted armed robbery of AA&E items.

AP2.15.1.3. Forced entry or attempted forced into AA&E areas.

AP2.15.1.4. Evidence of illegal trafficking in AA&E.

AP2.15.1.5. Evidence of terrorist activity directed against AA&E areas.
AP2.15.2. The contractor shall also notify local law enforcement and the local FBI office of any of the above immediately upon discovery.

AP2.16. WAIVERS

Requests for waivers (see paragraphs DL1.16. and C2.7.) shall be submitted in writing by the contractor to the Government procuring command/activity that shall coordinate such requests with the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security. The procuring command/activity shall forward the waiver request, with recommendations, to its MACOM for decision. Waivers shall be granted for a period not to exceed 12-months and may be extended only after review of circumstances necessitating an extension. Waiver requests shall include a statement as to why the contractor is unable to meet the requirements of this Manual and shall outline compensatory measures proposed by the contractor that will provide equivalent protection than the Manual requirement to be waived. Copies of approved waivers shall be provided to the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security.

AP2.17. EXCEPTIONS

Requests for exceptions (see paragraphs DL1.7. and C2.7.) shall be processed in the same manner as waiver requests.

AP2.18. STANDING PRACTICE PROCEDURES (SPP)

Contractors shall prepare and maintain written procedures to implement the requirements of this appendix. These SPP shall be sufficient in scope to provide employees with the procedures necessary to ensure the safeguarding of AA&E. The office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security, will review SPPs to determine adequacy. Contractors shall modify SPPs that DSS deems to be inadequate. A copy of the SPP shall be provided to the office of the cognizant DSS Regional Director, ATTN: Deputy Regional Director for Industrial Security, upon request.
AP2.A1. ATTACHMENT 1 TO APPENDIX 2

COGNIZANT DEFENSE SECURITY SERVICE RECORDS

AP2.A1.1. Region 1 - Northeast (617) 753-4914
AP2.A1.2. Region 2 - Mid-Atlantic (610) 521-3726
AP2.A1.3. Region 3 - Greater DC - Baltimore (703) 325-1314/325-9634
AP2.A1.4. Region 4 - Tidewater (757) 490-8562/490-8575
AP2.A1.5. Region 5 - Gulf Coast (770) 801-3305/801-3323
AP2.A1.7. Region 7 - Great Plains (405) 741-1443
AP2.A1.10. Region 10 - Southwest (312) 353-8020


AP3. APPENDIX 3

PHYSICAL SECURITY OF AA&E AT MILITARY TERMINALS

AP3.1. GENERAL

This appendix prescribes standards for the protection of sensitive conventional AA&E at military transportation terminals. When such terminals have a separate, long-term (over 30 days) storage mission, the criteria of Chapters 2, 3, and 4 apply, as applicable, to the structures storing the AA&E.

AP3.2. PROTECTION PRIORITIES

DoD Components responsible for military terminals shall ensure that resources are allocated and prioritized in the following descending order:

AP3.2.1. Category I cargo.

AP3.2.2. Category II cargo.

AP3.2.3. Category III and IV cargo.

AP3.3. RISK CATEGORY IDENTIFICATION

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

AP3.4. TEMPORARY STORAGE (LESS THAN 30 DAYS)

AP3.4.1. Fencing and Lighting. Category I and II cargo may be stored outside in dedicated storage areas that are fenced and lighted. The fence shall meet the requirements of Chapter 3, subparagraph C3.1.5.4. The lighting shall be of sufficient intensity to allow detection of unauthorized activity.

AP3.4.2. Supplemental Controls. Temporary storage areas, or individual conveyances containing Category I-IV items, shall be provided with either IDS as specified in Chapter 2, or constant surveillance (CCTV or human surveillance).
Additionally, when IDS or CCTV is used, a supervised armed guard patrol of the areas or conveyances shall be made once during non-duty hours.

AP3.5. CARGO MOVEMENT

AP3.5.1. Category I. Each Category I conveyance, or integrated grouping of five or fewer conveyances moved within a terminal, shall be under the constant surveillance of at least one terminal or contractor employee (under contract to the terminal for cargo handling). Where the terminal area is physically separated from a long-term storage area, movement between these areas shall be under constant armed guard surveillance, with two drivers for each conveyance.

AP3.5.2. Category II. Each Category II conveyance, or integrated grouping of five or fewer conveyances moved within a terminal, shall be under the constant surveillance of at least one terminal employee or contractor employee (under contract to the terminal to handle cargo). Where the terminal areas is physically separated from a long-term storage area, movement between these areas shall be under constant employee surveillance, with at least two drivers for each conveyance.

AP3.5.3. Category III and IV. Constant surveillance of the cargo in movement within the terminal shall be maintained by either terminal or contractor employee (under contract to the terminal to handle cargo). Where the terminal area is physically separated from a long-term storage area, movement between these areas shall be under the constant surveillance of at least one terminal employee or contractor (under contract to the terminal to handle cargo) for each conveyance.

AP3.6. TERMINAL AREA SECURITY

AP3.6.1. Waterfront and Ships at Berth: When AA&E is on board ships at berth, or present at piers, the area shall be patrolled by a security patrol at irregular intervals not to exceed 30 minutes. If CCTV or IDS is employed that maintains constant surveillance of the area, security patrols shall be conducted of the area once every eight hours during non-duty hours.

AP3.6.2. Terminal Gates: Unless continuously guarded, gates shall be secured with locking devices approved by the DoD Components. Hinge pins shall be welded or otherwise secured.
AP3.7. SEALS AND TWISTS

AP3.7.1. An MTMC-approved seal shall be installed on all AA&E conveyances that have had the original shipping seal removed. Additionally, all conveyances shall have a Number 5 steel wire twist installed on door openings if the seal does not provide equivalent protection. Seal and twist checks for evidence of breakage or tampering shall be made as a part of regular patrol or surveillance procedures and of pier loading procedures. Seals applied to Category I and II shipments shall be verified by seal number once every eight hours during non-duty hours.

AP3.7.2. In accordance with DoD Instruction 4715.4, "Pollution Prevention" (reference (d)), lead seals shall not be used. DoD Components may, however, continue to use lead seals until current stocks are depleted.

AP3.8. GUARD COMMUNICATIONS

Guards shall be provided primary and backup communications (external and internal) to permit notification of emergency conditions. The backup system shall be a different mode from the primary. Radio shall be one of the communication modes. The communication system shall be tested daily.

AP3.9. 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.
AP4. APPENDIX 4

BUREAU OF ALCOHOL, TOBACCO AND FIREARMS MUNITIONS LOSS WORKSHEET

| DEPARTMENT OF THE TREASURY - BUREAU OF ALCOHOL, TOBACCO AND FIREARMS |
| MUNITIONS LOSS WORKSHEET |
| ATF LOSS NUMBER (ATF use only) |

SECTION A

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

2. INVESTIGATION/CASECONTROL # (If applicable)

3. TYPE OF INCIDENT
   - THEFT
   - EXPLOSIVES
   - FIREARMS
   - OTHER
   - AMMUNITION

4. DATE WHEN OCCURRED (If unknown, provide date when discovered)

5. MILITARY ORGANIZATION OR DOD ELEMENT WHICH IS VICTIM OF THEFT/LOSS (name, address, city, county, state, country)

6. LOCATION WHERE INCIDENT OCCURRED (basement address, building #, city, county, state, country)

7. DETAILS (check all that apply)
   - CLASSIFIED (if checked, indicate classification level)
   - FORCED ENTRY
   - INVENTORY LOSS
   - ATTEMPTED FORCED ENTRY
   - TRAINING LOSS
   - NARCOTICS RELATED
   - OPERATIONAL LOSS
   - EVIDENCE OF TERRORIST INVOLVEMENT
   - LOSS DURING TRANSPORTATION
   - EVIDENCE OF FIREARMS/MUNITIONS TRAFFICKING
   - THEFT FROM MAGAZINE, IIOCO, BUNKER
   - EVIDENCE OF TAKING ITEMS ACROSS INTERNATIONAL BORDERS
   - THEFT FROM ARMORY, ARMS ROOM
   - OTHER
   - THEFT FROM PERSON
   - ARMED ROBBERY
   - ATTEMPTED ARMED ROBBERY

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

ATF F 5276.18 (4-91)

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

<table>
<thead>
<tr>
<th>1. NOMENCLATURE</th>
<th>2. NSN/FSN</th>
<th>3. DODIC</th>
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<tbody>
<tr>
<td>4. QUANTITY</td>
<td>5. LOT NUMBER</td>
<td>6. SOURCE AND/OR MANUFACTURER</td>
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<td>7. DATE LOADED</td>
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<tr>
<td>8. ADDITIONAL COMMENTS OR PART NUMBERS</td>
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### SECTION C: FIREARMS

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<th>3. TYPE</th>
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<tr>
<td>4. CALIBER OR GAUGE</td>
<td>5. MODEL NUMBER</td>
<td>6. QUANTITY</td>
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<tr>
<td>7. SERIAL NUMBERS</td>
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<td>8. SOURCE AND/OR MANUFACTURER</td>
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<tr>
<td>9. WAS AN NCIC ENTRY MADE (all firearms should be entered into NCIC as lost or stolen)</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>10. ORI CODE OF ENTERING AGENCY</td>
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<tr>
<td>11. ADDITIONAL COMMENTS</td>
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### SECTION D: AMMUNITION-TO INCLUDE ALL AMMUNITION .50 CALIBER AND UNDER

<table>
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<tr>
<th>1. NOMENCLATURE</th>
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<td>4. NSN/FSN</td>
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<td>5. DODIC</td>
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<td>9. ADDITIONAL COMMENTS</td>
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INSTRUCTIONS

The ATF Headquarters Intelligence Branch shall be provided information by telephone (followed up in writing) from the reporting DoD components of all significant/serious incidents of theft, loss, or unaccounted for arms, ammunition, and explosives materials (AAEM) as soon as possible but not later than 72 hours after occurrence or discovery. Telephone the ATF Intelligence Branch at (202) 927-8000. This number will be in operation 24 hours a day. The following information must be provided: Your name, agency, location, telephone number, case control number (if applicable), date and place incident occurred. Immediately subsequent to this telephone notification, please submit the completed Munitions Loss Worksheet by FAX to: (202) 927-8001, or mail to: Bureau of Alcohol, Tobacco, and Firearms (ATF), Washington, D.C. 20226, ATTN: Intelligence Branch.

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

1. One or more missile or rocket rounds (report in Section B - Explosives Ordinance).
2. One or more machine guns (report in Section C - Firearms).
3. One or more automatic fire weapon (report in Section C - Firearms).
4. Twenty-five or more manually operated weapons (report in Section C - Firearms).
5. Ammunition (reportable incidents do not include losses known to have been expended during training): .50 caliber and smaller - 5,000 rounds or more, except in the case of .30 caliber ammunition, report losses of 20,000 rounds or more (report in Section D - Ammunition).
6. Ammunition which is larger than .50 caliber - five (5) rounds or more of nonautomatic weapon ammunition; 1,000 rounds or more of ammunition for automatic weapons (REPORT ALL OF THESE ITEMS IN SECTION B - EXPLOSIVES ORDINANCE).
7. Any fragmentation, concussion, or explosive grenade to include artillery or ground burst simulators, or any other type, or any other type of simulator or device containing explosive materials (report in Section B - Explosives Ordinance).
8. One or more mines - antipersonnel and antitank (report in Section B - Explosives Ordinance).
9. Demolition explosives including detonation cord, blocks of explosives (C-4) and other types of explosive materials (report in Section B - Explosives Ordinance).
10. Also reportable are: Armed robbers or attempted armed robbers of the above items; forced entries or attempted forced entries in which there is physical evidence of the attempt wherein the above items are stored; any evidence of trafficking in the above items or using same to barter for narcotics or any other thing of value to include the taking of AAEM across international borders unlawfully, regardless of the quantity of AAEM involved.

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

Note:

Military explosives and ordnance identification: The Department of Defense identifies all explosives and ordnance by a lot number, DODIC number, and FSN/NSN. The lot number identifies the manufacturing plant, month/ year of production (data loaded), and lot sequence. This code provides the military with a way to track explosives through the system from manufacture to use or destruction. The DODIC number (usually one letter followed by three numbers, i.e., GB81), is a "shorthand" of identifying ordnance or explosives. It is used by the military to catalog ordnance and explosives for supply purposes. The FSN/NSN of an item is an eleven/thirteen digit number assigned to an individual item. It is the number used to order/record anything in the federal supply system. This number can help to identify ordnance or explosives.

Examples of Lot Numbers: LOP77M007-003; ME183J002-008; IOP-5-25 loaded 6/69.

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

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