

AA&E SMS Checklist

Unit:	Location:
Commander:	
Exit brief:	

Security Lighting:	Y / N	Notes
Is interior and exterior lighting provided for all arms storage buildings, buildings in which arms storage rooms are located, and arms storage rooms?		
Is the entrance door to the arms room illuminated when the arms room is located inside a building and when an arms room is located inside another secured room, is the exterior door to that room illuminated?		
Are switches for exterior lights installed where they are not accessible to unauthorized individuals?		
Are exterior lights covered with wire mesh screen or equipped with vandal resistant lenses that will prevent the lights from being broken by thrown objects?		

Restricted Area:	Y / N	Notes
Has restricted area(s) area signage been posted in conspicuous and appropriate places to identify the site as a restricted area except when such action would tend to advertise an otherwise concealed area?		
Does restricted area(s) area signage contain minimum required content as identified in AR 190-51, Figure 6-1?		
Is restricted area(s) area signage readable from a reasonable distance of no less than 50 feet?		
Has the responsible commander/director designated restricted area(s) in writing?		
Has the responsible commander/director designated restricted area(s) in writing as either controlled, limited o exclusion?		

Security Forces:	Y / N	Notes
For Category II IDS protected facilities are security patrols conducted with intervals between checks not exceeding 8 hours and for Category III and IV facilities with intervals between checks once every 24 hours and once every 48 hours for IDS protected storage facilities?		
Are armed guards immediately required at MEVAs with IDS when the IDS fails?		
Do commanders/directors ensure the physical security plan addresses the procedures to arm the guards when needed per the applicable regulations governing their MEVA?		
Are guard procedures reviewed at least annually and revised to provide greater application of security measures with special emphasis on guard post locations and guard orientation concerning duties performed?		
Are inspections and checks for guards recorded using standard form 702 and do they consist of an inspection of the building, facility or area, including all doors and windows?		
Are records of checks maintained for a minimum of 90 days?		
Are security patrol plans coordinated and integrated with the guard plan or other security plans and programs to the maximum extent?		

AA&E Personnel:	Y / N	Notes
Are all personnel required to undergo a command-oriented security screening or an equivalent foreign country check before access is authorized?		
Is the command-oriented security screening or an equivalent foreign country check, designed to provide the commander reasonable assurance that personnel with character traits that raise significant doubt as to their honesty or stability are not afforded access?		
If a commander chooses to delegate responsibility of selecting only personnel mature, stable, and have shown a willingness & capability to perform assigned tasks in a dependable manner to a director/manager responsible for the supervision of personnel & AA&E, as part of the selection process, are personnel assigned duties involved in the control accountability, & shipment of AA&E screened & evaluated using DA Form 7281 (Command Oriented Arms, (AA&E) Security Screening and Evaluation Records)? <u>If not grand-fathered with the DA Form 7281, the DA Form 7708 will be required for screenings conducted after 1 October 2019.</u>		
Are completed DA Form 7281 retained on file within the command, until the individual departs or is relieved of his or her AA&E-oriented duties?)? <u>If not grand-fathered with the DA Form 7281, the DA Form 7708 will be required for future screening.</u>		
Are security screening checks of personnel who are assigned duties involving the control of AA&E conducted every three years per AR 190-11 2-11.c? If not grand-fathered with the DA Form 7281, the DA Form 7708 will be required for screenings conducted after 1 October 2019. This will need to be validated annually.		

AA&E Access Control:	Y / N	Notes
Is unaccompanied access by personnel to the arms storage facility limited to the least practical number of responsible persons, and are the names and duty positions of these personnel posted inside the arms room?		
Is unaccompanied access by personnel to the arms storage facility authorized only after the completion of a satisfactory command-developed, background check per paragraph 2-11 of the AR 190-11? AR 190-13 Para 2-21 for DA Form 7708		
Is routine access by personnel to arms storage facilities limited to the least practical number of responsible persons designated by the unit commander and do personnel not enter the arms room to receive their weapons?		

AA&E Key Program:	Y / N	Notes
Is a key control training program developed and conducted on an annual basis to train responsible people in key and lock control responsibilities and procedures where the training is comprehensive and provides an understanding of key and lock control and protection requirements?		
Are keys signed out to authorized personnel, as needed, on a key control register - DA Form 5513 (Key Control Register and Inventory Form)?		
Is the key control register, when not in use, kept in a locked container that does not contain or store classified material and access is controlled to retrieve it?		
Are keys and combinations to locks for AA&E storage facilities, arms racks, IDSs (operational or maintenance), or key containers not removed from the installation, except to provide for protective storage elsewhere?		
Are keys to locks securing key containers afforded physical protection equivalent to that provided by the container itself, and keys to AA&E storage buildings, rooms, racks, containers, and IDSs maintained separately from other keys and accessible only to those individuals whose official duties requires access to them?		
Is a current roster of individuals who signed out keys to locks securing key containers and AA&E storage buildings, rooms, racks, containers, and IDSs, kept within the unit, agency, or organization and is the roster protected from public view?		
Is the roster signed by the designated official and does it contain the names of those individuals authorized to receive keys from the key custodian?		
Is a key control register maintained at the unit level to ensure continuous accountability, positive control of keys, and to establish responsibility for the custody of stored AA&E?		
Does the key control register contain the following; the printed name and signature of the individual receiving the key, the date and hour of issuance, a serial number or other identifying information of the key, the printed name and signature of the person issuing the key, the date and hour the key was returned, and the printed name and signature of the individual receiving the returned key?		
Does the key control officer or key control custodian retain completed key control registers for one year?		
Are IDS or AA&E keys or locks or alternate keys or locks stored separately from any container or storage area containing classified material?		
Are the secondary/alternate keys stored at the next higher command (multiple drawer security container) in a secure location?		
When not attended or in use, are keys to AA&E storage areas secured in a locked key container?		
For an approved locked key container for Security Risk Category (SRC) I and II are keys and combinations secured in a General Services Administration (GSA) approved Class 5 security container in accordance with Federal Specification AA-F-363D (Amendment 4) or AA-F-358J or a GSA approved security weapons container in accordance with Federal Specification AA-C-2859?		
Is the key container located in a room where it is kept under surveillance or in a room that can be locked during non-duty hours?		
Are procedures established to preclude access of stored keys that require two-person control?		
When combinations, codes, or electronic equipment are used in lieu of keys, are control procedures that are used for keys, applied to maintain the integrity of the combinations, codes, or electronic equipment?		
If keys are lost, misplaced, or stolen, is a commander's inquiry or preliminary inquiry conducted immediately, and are the affected locks, or cores to the locks, replaced immediately?		
Has a key and lock custodian been appointed, in writing, where duties include assuring proper handling of keys and locks?		
Does only the commander and the key custodian (or alternate if appointed) issue and receive keys to and from individuals on the key access roster?		
Does the key and lock custodian maintain a record to identify each key and lock and combinations to locks used by the activity, including replacement or reserve keys and locks?		
Does the key and lock custodian's record show the current location and custody of each key and lock?		

Does the key and lock custodian ensure that individuals who are designated to issue, receive, and account for keys in his/her absence, clearly understand the local key control procedures?		
Does the key and lock custodian maintain a key control register at all times to ensure continuous accountability for keys of locks used to secure AA&E?		
Are padlocks locked to the staple or hasps of the open container or structure to preclude theft, loss, or substitution of the lock?		
Are locks and their keys inventoried by serial number semiannually by a disinterested person not responsible or authorized unaccompanied access to AA&E, and are the inventory records secured in the key safe/depository and retained in unit files for a minimum of one year?		
Are padlocks and keys that do not have a serial number given one and is the number inscribed on the lock or key as appropriate?		
Does the key and lock inventory contain a record of keys, locks, key serial numbers, lock serial numbers, location, and the number of keys maintained for each lock, and secured in the key depository?		

Doors, Locks, and Locking Devices:	Y / N	Notes
Are combinations to locks on vault doors or GSA-approved Class 5 or Class 6 security containers changed annually or upon change of custodian, armorer, or other person having knowledge of the combination, or when the combination has been subject to possible compromise, and when a container is first put into service?		
Are combinations to locks on vault doors or GSA-approved Class 5 or Class 6 security containers recorded using SF 700 (Security Container Information), sealed in the envelope that is provided, and stored in a container that meets storage requirements per AR 380-5 and no other written record of the combination is kept?		
Are controls established to ensure that the envelopes containing combinations to locks are not made available to unauthorized personnel?		
Are replacement lock cylinders and broken keys for high security locks requested and coordinated through the key control custodian?		
Is the use of master or keyed alike locks prohibited?		
Are doors that are used for access to arms storage rooms or structures locked with an approved high security locking device or high security padlock and hasp that provide comparable protection to the locks? (Exceptions; GSA-approved Class 5 steel vault doors with built-in, three position, changeable combination locks).		
Is an approved high security shrouded hasp used to secure Category I and Category II AA&E storage facilities?		
On existing storage facilities that are equipped with double door protection, are high security padlocks and hasps used on the most secure door and secondary padlocks used to secure the other door of the double door concept?		
Are other doors for arms storage rooms or structures that cannot be secured from the inside with locking bars or dead bolts secured on the inside with approved secondary locks? (i.e. issue window or portals).		
Are key and lock controls established per paragraph 3-8 of the AR 190-11?		

Construction of Facilities:	Y / N	Notes
Do qualified engineer personnel verify the structure composition of AA&E storage facilities (i.e. walls, ceilings, roofs, floors, and doors)?		
Are statements from qualified engineer personnel verifying the structure composition of AA&E storage facilities, prepared on DA Form 4604 (Security Construction Statement)?		
Do statements from qualified engineer personnel, verifying the structure composition of AA&E storage facilities, indicate the highest construction category met for storage of AA&E (i.e. Category I, Category II, Category III, Category IV, AA&E items) and date of the applicable regulation?		
Is the DA Form 4604 affixed to the interior wall of each AA&E storage facility?		
Are security construction statements revalidated by engineer personnel every five years?		
Does the storage of AA&E meet physical security (PS) criteria, such as an Intrusion Detection System (IDS), locks and hasps, lighting, and security patrols, for the particular category of AA&E involved?		

IDS:	Y / N	Notes
For IDS operational testing, do users conduct a monthly operational test to ensure sensor activation?		
For the monthly operational testing of the IDS system, are the checks conducted in coordination with personnel at the IDS monitoring station?		
For IDS operational testing, is the DA Form 4930 (Alarm/Intrusion Detection Record) used to record test results?		

Are records of all alarms received maintained for at least one year?		
Do areas with IDS have warning signs prominently displayed and mounted at eye level, whenever possible, and on the outside of each interior and the outside of each exterior door leading into the protected areas?		
Are IDS signs posted in English and in the host nation's language?		
Is a daily log maintained of all alarm (sensor state) events and does the log include the nature of the alarm such as system failure or nuisance alarm, the state the sensor was in when in annunciated at the central monitoring station, the date and time the alarm was received, the location and action taken in response to the alarm, and any other information that will aid technical analysis?		
Is a separate personal Identification number (PIN) issued to each person whose duties require the ability to operate the IDS, and is the PIN not shared, not written anywhere except for official record maintained by the facility manager or designee?		
Are PINs replaced immediately if it has been or believed to be compromised?		
Is the PIN withdrawn immediately from an individual, when that individual departs the organization or no longer requires an ability to operate the IDS?		
Are PIN's for the IDS system secured to the same degree as afforded to IDS keys and keys and combinations used to access the protected areas?		
Are PIN and IDS points of contact call rosters reviewed semiannually by the facility manager or designee to ensure the information is current and is it documented, in writing, with an informal memorandum that is retained on file for one year?		
Are all AA&E storage facilities (other than bulk storage facilities) that require an IDS, protected by at least a heavy-duty, industrial-grade balanced magnetic switch (BMS) and a volumetric sensor such as a passive infrared sensor, and do the sensors comply with the standards in the Unified Facilities Guide Specification (UFGS) 28 10 05?		
Are IDS sign specifications per appendix F of the AR 190-11?		
For IDS operational testing, are alarms tested during the course of each physical security inspection and annotated on the inspection report and DA Form 4930? Discovered this question 1 Oct 2020		

Inventory and Issuing Procedures:	Y / N	Notes
Do local commanders prescribe, in writing, specific accountability and security measures to prevent the loss of other weapons assigned to persons?		
Are detailed policy and procedures for physical and inventory control of ammunition and explosives per AR 710-2?		
Are accounting and inventory losses of AA&E processed per AR 735-5 and AR 190-11?		
In addition to inventory requirements per AR 710-2, at the unit level, is a 100% serial number inventory taken monthly for Regular Army units or quarterly for ARNG and USAR activities?		
At the unit level, for the change of custody of the arms rooms, do incoming and outgoing custodians who have custody of the arms storage facility keys, and who have been tasked by the unit/activity commander to either issue or receipt for arms, physically count weapons, ammunition, and parts for arms, such as barrels and assemblies?		
At the unit level, are inventory records maintained for a minimum of two years for inventories that do NOT reflect discrepancies and a minimum of four years for inventories that DO reflect discrepancies?		
Do persons authorized by the commander to exchange custody of an arms storage facility conduct a physical count of the weapons and ammunition stored therein during the custody exchange per requirements in AR 710-2?		
For the boxed and banded arms, does any evidence of tampering result in a cause for those boxes to be opened and 100% count taken of the weapons in the box?		
When issuing weapons, does the unit armorer keep a master authorization list (MAL) which contains the names and unit of the personnel who receive issues and the number of the equipment receipts?		
Is the MAL updated to show personnel changes?		
Is a DA Form 3749 prepared for each person when a single weapon is issued to more than one Soldier?		
Before a weapon is issued, does the armorer check each soldier's DA Form 3749 with the MAL to make sure there is no unauthorized issue of weapons?		
When individually assigned weapons are issued for periods over 24 hours, does the receiving individual turn in the DA Form 3749 for the weapon to the person making the issue, and is an entry made on the control sheet or the log that contains the date of issue?		
When weapons are turned in, does the control sheet get closed out and the individual's DA Form 3749 returned with the person receiving the weapon entering the date, time, and their initials on the control sheet?		
Is the weapons control sheet filed in the unit active file and kept until completion of the next monthly (quarterly for ARNG and USAR) inventory, and arranged by serial number?		

Racks and Containers:	Y / N	Notes
For arms racks and storage containers, are arms stored in banded crates, metal containers, approved standard issue racks or locally fabricated arms racks, and secured in approved weapons storage facilities when not in use?		
For arms racks and storage containers where arms are stored in banded crates, metal containers, approved standard issue racks or locally fabricated arms racks, and secured in weapon storage areas, are crates and containers banded, locked, or sealed in a way that prevents weapon removal without leaving visible signs of tampering and are screws and bolts that are used in assembling the containers, lockers, or cabinets made secure to prevent disassembly?		
Are all arms racks or containers locked with approved secondary padlocks?		
Are rifle racks and containers, in facilities that are not manned 24 hours a day, that weigh less than 500 pounds fastened to the structure (or fastened together in groups totaling more than 500 pounds) with bolts or chains and equipped with secondary padlocks?		
Are bolts used to secure rifle racks and containers spot welded, brazed, or peened to prevent easy removal?		
Are chains used to secure rifle racks and containers made of heavy-duty hardened steel, welded, straight links steel, galvanized of at least 5/16-inch thickness, or equivalent resistance to force required to cut or break a secondary padlock?		

Supplemental Controls for Different AA&E Categories:	Y / N	Notes
Are arms rooms that store Category II arms, GSA-approved Class 5 weapons storage cabinets, and GSA-approved security modular vaults provided with an approved IDS and if the facility is without an operational IDS, is constant surveillance by armed guards conducted for Category II arms?		
If the facility is without an operational IDS, do security patrols conduct checks at irregular intervals not to exceed a period of 24 hours for Category III and Category IV facilities?		
Are major parts for arms, such as barrels and major subassemblies, afforded, at a minimum, the same protection as Category IV arms?		
Are vaults, containers, and safes under 24-hour armed guard surveillance or protected by an approved IDS, and is the facility checked by a security patrol at least once every 8 hours?		
Are Category III and Category IV arms stored in facilities meeting or exceeding the criteria as identified in appendix G of the AR 190-11?		
Are containers storing Category III and Category IV arms weighing less than 500 lbs. secured to the structure?		
Are Category IV arms stored in unmanned facilities not equipped with an IDS checked by a security patrol at irregular intervals not exceeding 24 hours?		
Are portable military armories storing Category II through IV arms provided with an approved IDS, if not, are the portable armories under constant surveillance by armed guards?		
Are portable military armories storing Category II through IV arms checked by security patrols periodically as dictated by any threat and by the vulnerability of the facility with checks not to exceed 8 hours?		
Do all portable military armories storing Category II through IV arms provide exterior lighting and is the lighting sufficient to allow guards (or individuals responsible for maintaining surveillance) to see illegal acts such as forced entry, or the unauthorized removal of arms during hour of reduced visibility by where the lighting provides a minimum of .2 foot candles (2 lux) illumination measured on the horizontal plane at ground level?		
Are doors used for access to the portable armory storing Category II through IV arms locked with an approved high security locking device or high security padlock and hasp providing comparable protection to the locks?		

Consolidated Arms Room:	Y / N	Notes
Is one commander designated as having responsibility for the overall security of the consolidated storage facility?		
Are procedures established to fix responsibility for issue, receipt, and physical accountability for arms, including ammunition, and all other sensitive items stored in the consolidated storage facility per AR 710-2 and DA PAM 710-2-1 and are access controls established to ensure protection of each unit's arms?		
Are arms room cages locked and is each cage identified with unit designation?		
Are bilateral storage agreements used when the AA&E are stored on the installations or facilities of other U.S. or foreign government agencies or other DoD services, and when consolidated storage facilities are used to store AA&E belonging to more than one unit or organization?		

Do formal agreements signed by both commanders contain definite assignment of PS responsibility for items stored and address max quantities stored, physical safeguards used, frequency of and responsibility for physical inventories or reconciliations, reporting of losses for investigations, key control procedures, unit w/overall responsibility for storage facility, procedures for auth & ID of individuals to receipt for physically taking custody of AA&E, and risk categories of items to be stored?		
At the unit level, for consolidated arms storage facilities, is a physical count been conducted by each person having access to the weapons and ammunition verified?		

AA&E in the Field Questions:	Y / N	Notes
Is each weapon issued for training, operations, or any other reasons carried on the person of the individual to whom the weapon was issued to at all times, or properly safeguarded and secured?		
Are weapons not entrusted to the custody of any other person except those responsible for the security of operational weapons and during emergencies, and are local procedures established to secure and account for weapons of personnel who are medically evacuated during training and operations?		
Are pistols and revolvers that are issued to persons during field exercises and training secured to the person by either a locally-made lanyard or military-issued field lanyard?		
Are pistols and revolvers that lack a device to affix the lanyard secured by running the lanyard through the pistol/revolver trigger guard during field and training exercises when drawing the pistol or revolver is not contemplated?		

Privately Owned Weapons:	Y / N	Notes
For storage of privately owned firearms including authorized war trophies, does the unit commander account for and inventory privately owned firearms and ammunition secured in unit arms?		
For storage of privately owned firearms including authorized war trophies, does the unit commander ensure that a DA Form 3749 has been issued for each privately owned firearm secured in the arms room?		
For storage of privately owned firearms including authorized war trophies, does the unit commander ensure that privately owned firearms are inventoried in conjunction with and at the frequency of the inventory of military weapons?		
For storage of privately owned firearms including authorized war trophies, does the unit commander establish limits on the quantity and type of privately owned ammunition stored in the arms rooms, based on availability of space and safety considerations?		
For storage of privately owned firearms including authorized war trophies, does the unit commander ensure that inspections are conducted per the AR 190-13 and the AR 190-11, for proper storage and control?		
For storage of privately owned firearms including authorized war trophies, does the unit commander process unauthorized AA&E per the AR 195-5?		
For storage of privately owned firearms including authorized war trophies, does the unit commander post applicable local regulations as well as state and local law information on ownership, registration, and possession of firearms and ammunition on unit bulletin boards?		
For storage of privately owned firearms including authorized war trophies, does the unit commander brief all newly assigned persons and subordinate command guidance on the applicable local regulations as well as state and local law information on ownership, registration, and possession of firearms and ammunition and keep all personnel aware of any changes?		
Do personnel keeping or storing privately owned firearms and ammunition (including authorized war trophy firearms) on an installation comply with federal, state, and local laws and regulations on ownership, possession, registration, off-post transport, and use?		
Do personnel keeping or storing privately owned firearms and ammunition (including authorized war trophy firearms) on an installation follow local security and safety regulations and safeguard the unit issued DA Form 3749 for turn-in to the unit armorer when the firearm is withdrawn from the arms room?		
Do personnel keeping or storing privately owned firearms and ammunition (including authorized war trophy firearms) on an installation withdraw privately owned firearms and ammunition from the unit arms rooms only upon approval of the unit commander or authorized representative?		
Do personnel keeping or storing privately owned firearms and ammunition (including authorized war trophy firearms) on an installation comply with the National Firearms Act and other relevant laws and regulations when receiving or bringing arms into the United States?		

AA&E Training:	Y / N	Notes
Does the unit have an AA&E training program?		
Does the unit have an AA&E key training program?		
Does the unit have a Crime Prevention training program?		

Tank and Bradley units:	Y / N	Notes
How are these platforms secured?		
Where are the firing pins to the Tanks?		
How are the sears to the Bradley main gun secured?		
Where/how do repairs for the Main gun for both the Tank and Bradley occur?		