

NAVAL COMMUNICATIONS SECURITY MATERIAL SYSTEM  
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**COMSEC MANAGEMENT  
FOR COMMANDING OFFICERS  
HANDBOOK**

**06 FEB 2015**

DEPARTMENT OF THE NAVY  
NAVAL COMMUNICATIONS SECURITY MATERIAL SYSTEM  
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06 Feb 15

From: Commanding Officer, Naval Communications Security Material System

Subj: COMSEC MANAGEMENT FOR COMMANDING OFFICERS HANDBOOK LETTER OF PROMULGATION

1. PURPOSE. The information contained in this handbook is provided as a tool for assisting COs, OICs, and SCMSROs in the management oversight of their respective COMSEC account.

2. BACKGROUND. Command leadership involvement and engagement in the COMSEC process results in fewer COMSEC insecurities.

3. INTRODUCTION.

a. This handbook is intended to provide the Commanding Officer (CO), Perspective CO (PCO), Officer-in-Charge (OIC) and Staff CMS Responsibility Officer (SCMSRO) with a basic understanding of COMSEC account management and responsibilities. It does not provide the scope or level of detail found in the Electronic Key Management System EKMS-1(series) or EKMS-1B Supp-1 (series) and is not intended for use by COMSEC Account Managers for account management. EKMS-1B Supp-1(series) is only required for COMSEC Accounts which have transitioned to the Key Management Infrastructure (KMI).

b. A copy of this handbook and additional information of interest to COs, OICs and SCMSROs is available on the NCMS SIPRNET Collaboration at-Sea (CAS) website located at:  
<http://www.uar.cas.navy.smil.mil/secret/navy/39/site.nsf>.  
This manual is also available via NIPR on the INFOSEC website located at: <https://infosec.navy.mil>

c. Account Managers can use individual tabs contained herein for the purpose of conducting monthly spot checks. Semi-annual self-assessments will be conducted using EKMS-3(series).

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d. It is recommended that the most recent version of this handbook be included in the command turnover and maintained in the CO's, OIC's or SCMSRO's personal library of reference material.

e. Where used in this handbook the term "Commanding Officer" applies to COs, OICs and SCMSROs. The term "COMSEC account" pertains to an EKMS or KMI account and unless specifically identified otherwise, the term "Account Manager" pertains to an EKMS Manager or KMI Operating Account Manager (KOAM).

4. APPLICABILITY. This handbook applies to U.S. Navy, U.S. Marine Corps, U.S. Coast Guard and Military Sealift Command COs, OICs, and SCMSROs responsible for COMSEC accounts under their responsibilities.

5. SCOPE. The information contained herein is derived from policy set forth in national and Department of the Navy COMSEC doctrinal manuals. The guidance herein supplements but in no way alters or amends the provisions of U.S. Navy regulations, SECNAV M-5510.30 (series), and SECNAV M-5510.36 (series).

6. ACTION. The COMSEC Management for CO's Handbook is effective upon receipt and supersedes the version which included amendment 6 promulgated 23 Apr 2013.

7. REPRODUCTION. This handbook is authorized for reproduction and use in any operational environment.

8. COMMENTS. Submit comments, recommendations, and suggestions for changes to the Commanding Officer, Naval Communications Security Material System (NCMS//N5).

J. S. CORREIA

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## SECTION I

### 1. GENERAL ADMINISTRATION

a. General. The ultimate responsibility for proper account management and the proper safeguarding, accounting for, handling and disposition of COMSEC material as well as compliance with Navy policy rests with the CO of the account. A flag or general officer in command status, or any officer occupying the billet of a flag or general officer with command status, may either assume personal responsibility for routine COMSEC matters or may designate the responsibility to a senior staff officer (O-4 (or selectee/GS-12/Pay band 2 or above) as a Staff CMS Responsible Officer (SCMSRO).

Appointment of a SCMSRO must be in writing by either the Commander, the Deputy Commander or the Chief of Staff. SCMSRO duties cannot be further delegated.

b. Navy Selective Reserve (SELRES). A Navy SELRES CO may designate, in writing an active duty officer in charge (OIC) to sign routine EKMS reports in his/her absence as "acting." The CO must, at the first opportunity chop all reports signed in the CO's absence. The CO's signature requirement for destruction reports is waived for all Naval Reserve Force EKMS accounts.

c. Marine Corps Reserve. Marine Corps reserve units supported by an Inspector and Instructor (I&I) may appoint the supporting I&I as the SCMSRO for routine CMS matters.

### 2. COMSEC ORGANIZATION

a. COMSEC Material Control System (CMCS). The protection of vital and sensitive information moving over government communications systems is crucial to the effective conduct of the government and specifically to the planning and execution of military operations. The CMCS was established to distribute, control, and safeguard COMSEC material.

At the unit level, COMSEC material is accounted for, tracked and managed at EKMS accounts using the Local Management Device Key Processor (LMD/KP). Accounts which have transitioned to the KMI use the Management Client/Advanced Key Processor (MGC/AKP) suite for account management.

b. National Security Agency (NSA). The National Security Agency serves as Tier 0, is the executive agent for developing and implementing national level policy affecting the control of COMSEC material, and is also responsible for the production and distribution of most COMSEC material used to secure communications as well as for the development and production of cryptographic equipment.

c. Electronic Key Management System (EKMS) Central Facility (CF). The EKMS CF operates as part of the NSA and functions primarily as a high volume key generation and distribution center. As such, it provides commands with keys currently produced by NSA that cannot be generated locally or must be generated by Tier 0 for other reasons. The CF will interoperate with commands through a variety of media, communication devices, and networks, allowing for the automated ordering of COMSEC key and other materials generated and distributed by NSA.

d. Department of the Navy (DoN). The DoN administers its own CMCS, which includes Navy, Marine Corps, Coast Guard, and Military Sealift Command (MSC) EKMS Accounts. The DoN system implements national policy, publishes procedures, and provides a Service Authority (SERVAUTH) to oversee the management of its complete inventory of COMSEC material.

e. Chief of Naval Operations (CNO). Overall responsibility and authority for implementation of National COMSEC policy within the DON. The Head, Navy Information Assurance (IA) Branch is the COMSEC resource sponsor and is responsible for consolidating the COMSEC programming, planning and implementation of policy and technical improvements.

f. Department of the Navy Chief Information Officer (DoN CIO). As the Executive Agent, DoN CIO is overall responsible for DON COMSEC policy and oversight

g. Headquarters Marine Corps (HQMC). HQMC C4 CY serves as COMSEC resource sponsor for the Marine Corps. The department functions as the USMC Service Authority and coordinates with CNO, COMNAVIDFOR, and NCMS to establish, promulgate, and oversee COMSEC account management matters unique to the Marine Corps. The C4/CY is the focal point for requirements and administration for all Marine Corps COMSEC accounts.

h. Commander, U.S. Coast Guard C4IT Service Center, Information Assurance Branch (C4ITSC-BOD-IAB): Acts as the USCG Service Authority (SA), exercises overall authority for USCG

COMSEC matters and serves as the USCG Program Manager and Principal Agent for the USCG COMSEC Program and also functions as the USCG; Closing Action Authority, Command Authority (CA) and USCG ISIC.

i. Naval Communications Security Material System (NCMS). Administers the DON COMSEC program, is the Service Authority and serves as the Central Office of Record (COR) for DoN Tier 1 for Tier 2 accounts. Additional duties and responsibilities can be found in Article 120 to EKMS-1(series).

j. Controlling Authority (CONAUTH). A "CONAUTH" is defined as the command designated as responsible for directing the establishment of a cryptonet/circuit and managing the operational use and control of keying material assigned to that cryptonet/circuit. The CONAUTH is responsible for evaluating COMSEC incidents and authorizing the issuance, destruction and transfer of COMSEC material under their cognizance.

k. Immediate Superior in Command (ISIC)/Immediate Unit Commander (IUC). The ISIC/IUC is responsible for the administrative oversight of all COMSEC matters.

l. Commanding Officer (CO)/Staff CMS Responsibility Officer (SCMSRO) / Officer in Charge (OIC). The CO, OIC or SCMSRO, as applicable is responsible for the proper operation and administration of the command's COMSEC account.

m. Command Authority (CA/CMDAUTH). The individual responsible for the management of Modern Key ordering privileges. Normally, the ISIC or Type Commander (TYCOM) performs CA/CMDAUTH responsibilities for their subordinate units.

n. COMSEC Account Manager. The CO must appoint, in writing, one COMSEC Account Manager and a minimum of one alternate. It is recommend if the accounts Highest Classification Indicator (HCI) is Top Secret two additional properly cleared and trained alternates be appointed for redundancy during periods of leave, TDY, etc.. Alternates must be as familiar with the account and share equally responsibility for the proper management and administration of the EKMS account. The individual must be a U.S. Military member or Government Civil Service employee.

o. User Representative (UR). The individual(s) assigned within the command that is granted privileges by the Command Authority to order specific Modern Keys for the command. More than one account manager must have ordering privileges for modern

key required by the unit to prevent potential mission impact.

p. Client Platform Administrator (CPA). The CPA is only applicable to units which have transitioned to the KMI and is responsible for System Administration of the KMI Management Client referred to as the MGC. The CPA must be appointed in writing, have a minimum SECRET security clearance, current within 10 years and meet the designation and training requirements set forth in Chapters 4 and 6 to EKMS-1B Supp-1(series).

q. Client Platform Security Officer (CPSO). The CPSO is only applicable to units which have transitioned to the KMI and is responsible for security monitoring, including the review of audit data associated with the MGC. To minimize manpower requirements, it is recommended the units Information Assurance Officer (IAO) or Information Assurance Manager (IAM) be appointed to fulfill the duties of the CPSO as they are already required to have a Single-Scope Background Investigation (SSBI) current within (5) years and be Information Assurance Technician (IAT) Level 1 or higher certified per DOD 8570.01M.

**Note:** Due to role restrictions set forth in National policy, the KOAM and CPA cannot serve concurrently as the CPSO. A KOAM or Alternate may serve concurrently as the CPA if the incumbent meets the training requirements mentioned in subparagraph "p" above.

r. Account Clerk. An individual designated in writing by the CO who assists the COMSEC Account Manager and Alternate(s) with routine administrative account matters. Appointment of a Clerk is not mandatory but is at the discretion of the CO. Additional information regarding appointment of a Clerk can be found in Articles 170 and 414 to EKMS-1(series).

**Note:** Access to the LMD/KP: As stipulated in the Security Doctrine for the LMD/KP and MGC/AKP, access to the LMD/KP or MGC/AKP is restricted to personnel who have received formal training and are assigned as an Account Manager or Alternate.

s. Local Element (LE). There are two variants of Local Elements: LE (Using) and LE (Issuing). The primary difference between LE (Using) and LE (Issuing) is that LE Using (Users) are normally work centers within the same organization in which the account resides and which receive COMSEC material from their activities COMSEC account for use in their respective division or work center. Typically, these entities operate on a watch-to-

watch basis and do not further issue COMSEC material on a Local Custody basis. Examples include Radio, CIC, SATCOM, Tech Control, etc..

LE (Issuing) receives material from their parent COMSEC account or another established account to issue material on a local custody basis. The issuance of COMSEC material from an established COMSEC account to either LE Users or LE Issuing which are not part of the organization owning the COMSEC account (external) must be established and supported through a formal Letter of Agreement per Article 445 to EKMS-1(series).

LE (Issuing) units are required to properly account for, store, issue, inventory, destroy and safeguard COMSEC material provided to them. They are required to create and retain required accounting documentation (e.g., LCI and local destruction records). LE (Issuing) personnel must be appointed in writing and meet the designation requirements outlined in Article 414 to EKMS-1(series).

t. Witness. Any properly cleared U.S. Government employee or contractor who may be called upon to assist a Manager or LE in performing routine administrative tasks related to the handling of COMSEC material. A witness must be authorized access, in writing, to keying material by the CO.

**Note:** For contractor personnel, blocks 10 and 11 to the DD-254 must state access to COMSEC material is required in fulfillment of the Statement of Work (SOW). Per the NISPOM, NSA/CSS 3-16 and CNSSP-14 access is restricted to the SECRET level for contractor personnel when an Interim Top Secret is issued to contractor personnel.

### 3. DUTIES AND RESPONSIBILITIES.

a. Staff CMS Responsibility Officer (SCMSRO). A flag or general officer in command status, or any officer occupying the billet of a flag or general officer with command status, may either assume personal responsibility for routine COMSEC matters or may designate the responsibility to a staff officer (O-4 (or selectee)/GS-12, Pay Band 2, or above). Officers not meeting the above requirement may not designate a SCMSRO. A SCMSRO may exist at a command with an account or LE command. With exception of CMS COR Audits, a SCMSRO who meets the requirements stated herein and has been appointed in writing by an officer with command status may act and fulfill the ISIC responsibilities found in EKMS-

1(series).

(1) SCMSROs must be designated in writing by a flag officer in command status. The designation can be made by the Commander, Deputy Commander or the chief of Staff. The designated SCMSRO must have a security clearance equal to or higher than the highest classification of COMSEC material held by the account. For units without a six-digit account who are LEs of another account but headed by a flag-level officer, a SCMSRO may be appointed.

(2) SCMSROs must sign CMS correspondence and reports as "Staff CMS Responsibility Officer" vice "By direction."

(3) Duties of the SCMSRO cannot be further delegated and must revert to the appointing official in the absence of the assigned SCMSRO.

(4) Specific duties are identical to duties of the COs/OICs reflected below.

b. Commanding Officer (CO) / Officer in Charge (OIC).

(1) COs are **ultimately** responsible for proper management and security of all COMSEC material held by their command and must:

(a) Ensure compliance with established policy and procedures governing the safeguarding and handling of COMSEC material.

(b) Appoint, in writing, qualified, properly cleared and responsible individuals as Account Manager and Alternates, Local Element (Issuing), and, if desired, a Clerk.

(c) Appoint, in writing, qualified and responsible STE Material Control (MC) User or Terminal Privilege Authority (TPA) as applicable if the duties are delegated below the COMSEC Account Manager or Alternates.

(d) Establish, in writing, a list of personnel authorized access to keying material.

(e) Ensure that training procedures are adequate to meet operational requirements.

(f) Ensure completion and documentation of completion

of Personnel Qualification Standards (PQS) (NAVEDTRA 43462 {series}) by USN military personnel serving as; COMSEC Account Managers, Alternates, Local Elements (both issuing and using and Clerks, as applicable.

(g) Ensure COMSEC incidents are reported within the timeframes set forth in Article 960 to EKMS-1(series).

(h) Ensure local procedures are established for the timely identification and reporting of any potentially significant changes in life-style, financial status, or any disciplinary problems involving personnel authorized access to COMSEC material.

(i) Conduct spot checks at a minimum of quarterly on the COMSEC account in accordance with Article 450 to EKMS 1(series) (See [Section IV](#)).

(j) Receive debriefings from CMS COR Auditors after biennial audits.

(k) Ensure comments on personnel performance as Managers/Alternates are included in fitness reports, evaluations, and civilian performance appraisals, as applicable.

(l) Ensure Account Manager appointments are documented in individual service records or position descriptions, as applicable.

(m) Ensure an Emergency Action Plan (EAP)/Emergency Destruction Plan (EDP) is established and tested at a minimum of annually. The plan must provide for the protection and/or destruction of COMSEC material during emergency conditions.

(n) Ensure an inventory of all COMSEC material is conducted on the following occasions:

- (1) in conjunction with a Change of Command (COC) or change of Staff CMS Responsibility Officer
- (2) upon change of Change of Account Manager (CCIR)
- (3) Semi-Annually (Semi-Annual Inventory Report (SAIR))
- (4) When account will be disestablished.

**Note:** Further information related to inventories and signature requirements can be found in Article 766 and Annex U to EKMS-1(series).

(o) Ensure assignment of collateral duties to COMSEC Account Managers does not interfere with responsibilities for effectively managing the account.

## SECTION II

### 1. COMSEC ADMINISTRATION

a. Appointment Letter/Memorandum. An administrative document, **signed by the current CO**, formally designating individuals to duties as a COMSEC Account Manager, Alternate Manager, Clerk, LE Issuing, LE Using, STE MC User or TPA. The appointment letter/memorandum is maintained locally at the command for a minimum of two years following the relief of an individual. Letters will be updated within 60 days following a change of command.

Due to the required retention period, individuals must be appointed on individual appointment letters. At the discretion of the CO, LE Using personnel may be authorized access to COMSEC material through the use of either notes/legend codes for the access list to the space in which they are assigned in lieu of an individual appointment/designation letter. If an access list is used it must be updated at a minimum of annually or more frequently, as required.

b. EKMS Library. Each COMSEC account is required to maintain a COMSEC library consisting of the publications reflected in Article 721 to EKMS-1(series), Annex C to EKMS-1B Supp-1A and the COMSEC Library Spot Check contained herein. However, the following primary policy documents should be periodically reviewed by the Commanding Officer for additional guidance not contained herein.

(1) EKMS-1(series). The "EKMS Policy and Procedures Manual" outlines policy and procedures for receipting, safeguarding, issuing, destroying, inventorying and transferring COMSEC Material.

(2) EKMS-3(series). The "CMS COR Audit Manual" establishes qualification standards for CMS COR Auditors and prescribes minimum standards for conducting audits. It is provided to help the Manager ensure the account is ready for an audit at all times.

(3) EKMS-5(series). The "EKMS Cryptographic Equipment Policy Manual" provides policy and procedural guidance to Managers specific to the management of COMSEC hardware.

(4) EKMS-1B Supp-1(series). DON Interim KMI Policy Manual. This publication provides guidance to COMSEC Account Managers at

units which have transitioned to the KMI.

c. CMS Form 1. A locally prepared form required for over-the-counter services with CMIO Norfolk. The form must be updated annually or upon change of command, whichever occurs sooner. The CMS Form 1 ([Figure-2](#)) must be submitted on command letterhead or an official message; guidance can be found in Annex H to EKMS-1(series).

d. USTRANSCOM Form 10. To deliver or receipt for material from the Defense Courier Service (DCS), the units must have an up-to-date [USTRANSCOM Form 10](#) on file with the DCS station. DCS operates as part of the U.S. Transportation Command and is not under the purview of NCMS. The DCS Customer Service manual can be found [here](#).

e. User Representative (UR) Registration Form. The Central Facility (CF Form 1206) must be prepared by the command, submitted to and approved by the organizations Command Authority (CA) to permit the ordering of modern keying material. At a minimum, the COMSEC Account Manager and (1) one or more alternates must have ordering privileges. Modern key is not supplied or automatically distributed, it must be ordered by a person possessing the applicable privileges.

f. Command Handling Instruction. Each command holding COMSEC material must prepare a local handling instruction to delineate how COMSEC material will be handled, stored and safeguarded. Emphasis must be placed on material accountability, Two-Person-Integrity (TPI) requirements, security, the timely identification and reporting of COMSEC incidents or PDSs and additional or more stringent requirements imposed at the discretion of the local CO. A copy of the instruction must be provided to all Account Managers and LE personnel.

g. Command Security Procedures. Local procedures must be established for the timely identification of potentially significant changes in life-style, financial status, or disciplinary problems involving personnel authorized access to COMSEC material. If detected, such changes must be reported to the Command Security Manager or the Special Security Officer (SSO), as applicable per SECNAV M5510.30.

h. Emergency Action Plan (EAP)/Emergency Destruction Plan (EDP). Every command that holds classified COMSEC or Controlled Cryptographic Item (CCI) material must prepare emergency plans for safeguarding such material in the event of an emergency. For

activities located within the U.S and its territories the plan should consider both natural disasters and acts of terrorism. For commands located outside the U.S. and its territories and deployable commands, planning must include both an Emergency Action Plan (EAP) for natural disasters and an Emergency Destruction Procedures (EDP) for hostile action. Specific requirements and guidance can be found in Annex M to EKMS-1 (series).

i. Letter of Agreement (LOA). A LOA is used to establish and maintain a COMSEC support agreement between Commanding Officers when an organization does not have its own account to satisfy mission requirements. LOAs are not required for one-time support but are required for standing support arrangements. Letters of Agreement remain in effect until modified or the support is no longer required. LOAs/MOUs will be reviewed at a minimum of triennially. It is highly recommended within 90 days of assuming command or as soon as practical thereafter the incoming CO review existing COMSEC-related LOAs/MOUs. A sample LOA can be found in Annex L to EKMS 1 (series).

2. RESOURCE ASSISTANCE. The below services and resources should be consulted when preparing for formal audits or when seeking clarification or guidance on matters related to COMSEC policy or procedures:

a. COMFLT/TYCOM/ISIC/COR Audit Team: When in doubt about a COMSEC matter, the COMSEC Account Manager should consult with the ISIC, TYCOM, FLTCDR or COR Audit Team. A list of services and training provided by the COR Audit Teams can be found in Chapter 3 to EKMS-1(series).

b. NCMS: If the ISIC, TYCOM, FLTCDR or COR Audit Team is unavailable contact NCMS.

3. CMS TRAINING. In accordance with Article 455 to EKMS-1(series), the COMSEC Account Manager MUST develop, manage and ensure COMSEC training is part of the units long and short-range training schedule.

Training must be conducted at **a minimum of monthly** to ensure that all personnel handling COMSEC material are familiar with and adhere to proper COMSEC procedures. This training may be satisfied through required reading, stand-up presentation, or during the conduct of spot checks. The training must be documented to ensure it is verifiable during CMS COR Audits.

COMSEC Account Managers are also responsible for the proper training of remote LEs and for ensuring Commanding Officers/OICs of their remote LEs (Issuing) are conducting, documenting and submitting quarterly spot checks required by (EKMS-1(series)).

Device-specific training is the responsibility of the program manager of record. Information related to training on fill devices, the COMSEC Management Workstation (CMWS) and other COMSEC devices is available through the SSC Atlantic.

a. Formal Training. Each automated (EKMS or KMI) account must have a minimum of (2) properly cleared, formally trained Account Managers at all times. The EKMS Manager Course of Instruction (COI) is offered through the Center for Information Dominance (CID) in all major fleet concentrated areas. The KMI COI will also be offered in these same locations. Formal training must be completed prior to appointment of personnel.

b. Interim Qualification (Job Qualification Requirement (JQR)). When training cannot be completed prior to appointment due to quota non-availability, operational requirements, etc... personnel appointed must complete the EKMS Manager (JQR) available on the NCMS CAS portal or from the local COR Audit Team. A JQR for KOAMs will be developed and published to the NCMS CAS portal.

EKMS Managers having completed the JQR in lieu of the COI must complete the formal COI within 90 days of appointment. Alternate EKMS Managers must complete the course within 180 days of appointment. Should operational requirements prevent compliance within 90 and 180 days respectively, a waiver for continued appointment must be requested in writing through the units' chain of command from NCMS.

USMC personnel selected to be the Account Manager or Primary Alternate of an EKMS account must successfully complete the EKMS Manager COI within 180 days of appointment. Pending completion of formal training, personnel may be appointed as Tertiary Alternates and receive On-The-Job-Training and perform required duties under instruction.

c. Personnel Qualification Standards. All USN military personnel appointed or designated as; COMSEC Account Managers, Alternates, Clerks, or LEs must complete the applicable sections of the latest version of NAVEDTRA 43462 (EKMS PQS) for the position fulfilling. At the discretion of the CO, civilian employees and contractor personnel whose duties require access to

COMSEC material may be required to complete the applicable portions of the PQS. If required, this should be communicated in position descriptions, individual development plans and performance plans.

PQS is not intended to replace formal classroom training nor does completion of formal training negate the requirement to complete the PQS. NAVEDTRA 43462 is available on the [Navy Knowledge Online \(NKO\) portal](#).

Fully qualified personnel who have performed COMSEC duties within the past 12 months may be re-appointed provided that none of the designation requirements were previously waived.

#### 4. COMSEC SERVICES

a. COMSEC MATERIAL ISSUING OFFICE (CMIO). CMIO is located in Norfolk, VA and receives, stores, and ships Ready for Issue (RFI) equipment.

b. DEFENSE COURIER SERVICE (DCS). DCS is a joint service organization providing courier delivery for qualified categories of classified information to include most COMSEC material. An original USTRANSCOM Form 10 with the CO's signature is maintained by DCS. With each delivery/pick-up from DCS, the COMSEC Account Manager must present an identical copy of the USTRANSCOM Form 10 with original signature to the DCS courier.

c. COR AUDIT TEAMS. The COR Audit Teams are located in all major fleet concentrated areas, as well as Okinawa, JA and are chartered to provide front line training to COs, SCMSROs, COMSEC Account Managers and LE personnel, and to conduct CMS COR Audits. Each team is responsible for a specific geographical region as reflected in Article 325 to EKMS-1 (series). COR Audit Teams should be viewed as "First Responders" for fleet assistance in COMSEC matters.

d. PRE-AUDIT TRAINING VISITS. DoN CMS accounts have the option to receive a Training Visit from their local CMS COR Audit Team at any time. It is HIGHLY RECOMMENDED and in the command's best interest to take advantage of the training and assistance services prior to an audit, deployment or upon change of command or Manager. NCMS will fund one training visit per audit cycle. The requesting activity may request multiple visits but are responsible for providing funding for training visits or assistance beyond the one (funded by NCMS) as described above. Pre-audit visits provide an independent review of account

management to ensure compliance with Navy and National policy. These visits also afford the opportunity for improvements in account management and enhance the level of knowledge of account management and LE personnel. At the conclusion of the training visit, the COR Audit Team Leader will conduct an out-briefing with the CO to inform the command of the training conducted, areas where deficiencies or weaknesses were noted, including any COMSEC incidents or PDSs discovered and provide recommendations to mitigate or prevent reoccurrence.

e. ACCOUNT AUDITS. NCMS manages the DoN CMS COR Audit Program. Auditors must be trained and certified by NCMS. All COMSEC accounts must undergo a formal audit by a certified COR Auditor every 24 months. The audit will be conducted in accordance with the procedures contained in EKMS-3(series).

f. TOWN HALLS. When fiscally permissible, Town Halls are hosted annually by NCMS and are primarily intended for COs, COMSEC Account Inspectors and Account Managers. Town Halls afford NCMS the opportunity to discuss policy and procedure matters, recurring problems in account management and recommended corrective actions, insecurities and other topics of concern presented by attendees. Attendance at EKMS Town Halls is mandatory for COMSEC Account Managers; Alternates are highly encouraged to attend. There is always a one-hour "executive session" during the town hall and it is highly recommended that Commanding Officers and SCMSROs attend.

g. COMSEC INCIDENT TREND ANALYSIS MESSAGES. NCMS publishes a semi-annual Trend Analysis ALCOM and related statistical data to illustrate areas in need of attention and improvement within the DON COMSEC community. The ALCOM and statistical data is available on the NCMS SIPRNET CAS portal located at the URL in the Letter of Promulgation herein.

#### 5. SELECTING A COMSEC ACCOUNT MANAGER.

a. The use of TAD personnel is not authorized and personnel appointed as COMSEC Account Managers, Alternates, Local Element Issuing or COMSEC Clerks must be permanently assigned to or employed by the command, as applicable.

b. The selection of personnel to serve as a COMSEC Account Manager and Alternate(s) should be made carefully and consider the sensitivity and criticality of the communications protected by the materials entrusted unto these individuals. Aptitude, attention to detail and experience, not rank, should be the

factors when selecting the Account Manager.

c. A COMSEC Account Manager should not be chosen solely on accounting or computer skills and should not be assigned on a short term basis; it takes several months to become familiar with proper day-to-day account management, related policies and use of the LMD/KP or MGC/AKP.

d. The COMSEC Account Manager is the principal advisor to the CO in all matters regarding COMSEC. It is essential the CO designate an individual who understands the unit's mission, COMSEC requirements and displays both sound judgment and decision making ability.

e. When personnel are selected through their orders, or for Civilians, their position description (PD), a personal interview should be conducted to ascertain the individual's prior experience and qualifications. It is recommended individuals with no prior experience managing COMSEC material not be appointed as the Account Manager but instead be appointed as an Alternate Manager to become familiar with the duties and responsibilities under more experienced and qualified individuals.

f. A COMSEC Account Manager who is assigned too many duties, is insufficiently trained, demonstrates questionable decision making abilities and poor attention to detail can negatively impact mission readiness or jeopardize extremely sensitive information.

g. Each numbered account will have a COMSEC Account Manager and a minimum of one alternate appointed in writing by the current Commanding Officer. If the account's Highest Classification Indicator (HCI) is TOP SECRET, it is highly recommended two additional alternates be appointed. This will ensure at least two personnel have the "A" or "B" combinations, as applicable to maintain Two Person Integrity (TPI) purposes during periods of leave, TAD, etc. Additional requirements for Account Management personnel:

(1) U.S. Citizen (includes naturalized; resident aliens are not eligible)

(a) For DoN accounts: COMSEC Account Managers must meet the following minimum requirements: Commissioned Officer, E-6 or above, GS-7/Pay Band 1 or above, all with a minimum of six months government or commissioned service not including duty under

instruction or in training but may include six or more years of prior enlisted service for Commissioned Officers. Alternate Account Managers must hold the minimum grade of E-5, GS-6 or Commissioned Officer.

**Note:** Commanding Officers are authorized to waive the length of government service required for COMSEC Account Managers. Waivers of this requirement must be documented locally and retained by the account and the ISIC until no longer in effect. Do not submit copies of length of service waivers to NCMS. Other waivers must be submitted in accordance with EKMS-1(series) Article 420.

(b) Contractor personnel are not permitted to serve as a COMSEC Account Manager or Alternate.

(2) COMSEC Account Managers, including Alternates must possess a security clearance equal to or higher than the HCI of the account. For accounts with a HCI of TOP SECRET, the incumbents SSBI must be current within (5) years. If the account is validated for/holds keying material intended for use on SCI/SI circuits, the Account Manager and Alternates **must be** SCI eligible and indoctrinated at the time of appointment. See Articles 412 and 425 to EKMS-1(series) regarding Temporary Access (interim clearances) and the limitations related to such.

(3) Personnel requiring access to COMSEC material must be authorized in writing by the current CO or other official as "Acting" in the capacity of the CO. The use of "By Direction" is **not** authorized for Letters of Appointment or for granting access to COMSEC material if an access list is used for this purpose.

(4) Personnel selected to be a COMSEC Account Manager or Alternate must successfully complete formal training **prior to appointment**. See Article 412 to EKMS-1(series) for EKMS Accounts or Article 601 to EKMS-1B Supp-1A for KMI Accounts when operational requirements or quota limitations prevent attendance in formal training prior to appointment.

(5) There is no restriction on the length of time an individual may perform COMSEC Account Manager duties.

(6) During the temporary absence of the Manager, up to a maximum of 60 days, the Primary Alternate must administer the account. If the Manager is absent for more than 60 days, a new Manager must be appointed. The Commanding Officer of the account may direct an inventory be conducted prior to, during, or after

the temporary absence of the Manager.

(7) The Position Description (PD) of civil service employees must specify COMSEC Account Manager duties as a full-time position prior to appointment as a Manager or Primary Alternate.

SECTION III

1. COMSEC INCIDENT REPORTING.

a. The COMSEC system has been designed to provide a means for reporting deviations from prescribed policy and procedures and taking corrective action. These deviations may jeopardize or have the potential to jeopardize national security. Reports of any incident must be made irrespective of the judgment of the COMSEC Account Manager or his/her supervisor as to whether or not an incident or possible incident occurred. Disciplinary action should not be taken against individuals for reporting a COMSEC incident unless the incident occurred as the result of willful or gross neglect by those individuals.

b. Timely reporting of COMSEC incidents is paramount to mitigating the impact to operational readiness and is necessary for Controlling Authorities or Command Authorities to determine the appropriate actions to direct.

c. Neither a local command inquiry nor investigation in progress by an external agency such as NCIS excuses commands from complying with the incident reporting timeframes. When it is believed that reporting an incident through normal naval message channels might compromise an investigation in progress, the violating command must contact DIRNSA FT George G Meade or NCMS Washington DC by other secure means to provide information concerning the incident.

d. Reporting time frames are driven by the status and type of material involved however; all incidents must be reported NLT 72 hours from the time of discovery. See Article 960 to EKMS-1(series) for specific timeframe guidance.

2. COMSEC INCIDENTS AND COMSEC INSECURITIES. The distinction between these two terms is an incident has yet to be investigated and evaluated whereas in the later, the matter reported has been investigated and evaluated.

a. A COMSEC incident is any uninvestigated or unevaluated occurrence that has the potential to jeopardize the security of COMSEC material or the secure transmission of classified or sensitive government information.

b. A COMSEC Insecurity is a COMSEC Incident that has been investigated, evaluated, and determined to have jeopardized the security of COMSEC material or the secure transmission of

classified or sensitive government information.

3. **TYPES OF COMSEC INCIDENTS.** There are (3) three types of COMSEC incident; Cryptographic, Personnel and Physical. A listing of COMSEC incidents can be found in Article 945 to EKMS-1(series) and Article 805 to EKMS-1B Supp-1A. Additional device-specific incidents may be contained in the Operational Security Doctrine (OSD) for the device. OSDs can be found at: [www.iad.nsa.smil.mil](http://www.iad.nsa.smil.mil) - IA Library - Doctrine.

4. **COMSEC INCIDENT EVALUATION.** COMSEC incidents are evaluated as:

a. **COMPROMISE:** The material was irretrievably lost or available information clearly proves that the material was made available to an unauthorized person.

b. **NO COMPROMISE:** Available information clearly proves that the material was not made available to an unauthorized person.

**Note:** For matters reported as COMSEC incidents which do not constitute a COMSEC incident, such is communicated to the unit in the evaluation/assessment message from NCMS.

5. **PRACTICES DANGEROUS TO SECURITY (PDS).** Although not reportable at the national level (NSA), if allowed to perpetuate, PDSs have the potential to jeopardize the security of COMSEC material.

There are (2) types of PDSs; Non-Reportable and Reportable. All PDSs must be documented and reported to the CO of the account (non-reportable PDS) or externally (reportable).

A listing of PDSs can be found in Chapter 10 to EKMS-1(series) and Chapter 9 to EKMS-1B Supp-1(series) for KMI accounts. All COMSEC accounts must conduct PDS familiarization training annually that will, at a minimum, include a review and discussion of Chapter 10 to EKMS-1(series) or Chapter 9 to EKMS-1B Supp-1A.

## SECTION IV

1. **COMSEC INVENTORIES.** Inventories are required at a minimum of semi-annually to ensure all COMSEC material is properly and continuously accounted for. Inventories are also required to be conducted to document a Change of Account Manager, Change of Command and upon disestablishment of an account.

2. **WHO CAN CONDUCT AN INVENTORY.** Inventories must be conducted by the COMSEC Account Manager and Alternate or one of the two and a properly cleared and authorized witness except as discussed below. To ensure the responsibility for accurate and proper completion of the inventory is maintained throughout, the two individuals who start the inventory should be the ones who complete it. Inventories conducted to document a Change of Account Manager or LE Issuing must be conducted by the outgoing person and witnessed by the incoming person.

Block 17 on the final page of inventories used to document a Change of Command, OIC, or SCMSRO must be signed by the outgoing CO/OIC or SCMSRO, as applicable. The incoming CO/OIC or SCMSRO may initial the report, if desired, but it is **not required**.

The physical inventory may have some items lined-out. Line-outs must be initialed by the two personnel conducting the inventory and are used to indicate material which has been destroyed or transferred after generation of the inventory report. The corresponding date of the report or applicable Transaction Number must be reflected in the Remarks Column and line-outs require supporting documentation be on file with the Manager. If accounting reports are submitted to the COR as required, line-outs should be few in nature.

If there are multiple line outs, it is recommended the accounts most recent monthly Pending Receipts report provided by NCMS and results of the most recent Change of Account Location (COAL) inventory be reviewed with the Manager.

With exception to submarines at-sea, all Account Managers are required to conduct a COAL inventory monthly. This is not a physical inventory but a tool which will present, for corrective action a list of accounting discrepancies in the form of an Inventory Reconciliation Status Transaction (IRST). The IRST reflect discrepancies which exist in the unit's local inventory and that reflected on file in Tier-1.

3. **LOCAL ELEMENT MATERIAL.** The Account Manager and Alternate

(or properly cleared and authorized witness) should physically sight inventory all material, unless the account supports LEs located outside the vicinity of the supporting account where such is not practical. In this scenario, the Account Manager can generate and provide an inventory to the LE and have the LE and a qualified witness conduct the inventory for material issued to them

4. **SNAPSHOT**. Regardless of the accounting system in use, COs should recognize that the inventory is similar to a bank account checkbook. Like a checkbook, the inventory represents a snapshot in time and it must be balanced frequently to ensure discrepancies are found in a timely manner. When problems exist, timely communication with the COR is essential.

5. **COMMON ACCOUNT DATA (CAD)**: The CAD is the primary means used by the COR to determine Point Of Contact information for DON COMSEC Accounts. COMSEC Account Managers must review and update their CAD when a change in account management occurs and periodically thereafter to ensure the accuracy of the information contained. Failure to maintain accurate and up-to-date CAD data could result in:

(1) Failure to receive electronic key

(2) Delays in receiving physical keymat or COMSEC equipment as a result of an incorrect shipping address.

(3) Delays in obtaining assistance from NCMS, COR Audit Teams, the Technical Support Center or other agencies due to incorrect contact information e.g. phone numbers, email addresses, etc.

6. Additional information related to inventories, CAD data, reconciliation and the inventory process can be found in Article 766 to EKMS-1(series).

SECTION V

1. **CMS SPOT CHECKS**. The CO is charged with the ultimate responsibility for the proper management and operation of their command's COMSEC Account. Top-down Chain of Command engagement in COMSEC matters is critical to the health of the account. It is the CO's duty and responsibility to ensure that spot checks are conducted on the COMSEC Account (Vault) and LE Work Centers where COMSEC material is handled, used and stored.

Spot checks heighten awareness and attention to detail, improve the security posture of the unit and enhance the accountability and safeguarding of highly sensitive materials. Spot checks also provide the ability to identify deficiencies and implement corrective measures prior to the account's biennial COMSEC audit.

2. The CO, OIC or SCMSRO, as applicable is required to conduct a minimum of (1) spot check per quarter and may delegate **no more than two** of the four quarterly spot checks to the Executive Officer. SCMSROs may delegate two of the four spot checks to the Communications Officer (COMMO) if the COMMO is not designated as the Account Manager or Alternate.

3. COMSEC Account Managers and Alternates are required to conduct a minimum of (1) one spot check per calendar month on supported local elements and a semi-annual self-assessment using the applicable Annex found in EKMS-3(series). If conducted objectively, there should not be significant disparities between a semi-annual self-assessment and the biennial audit.

4. For external LEs, the CO, OIC or SCMSRO, as applicable, will ensure spot checks are conducted, retained on file by the respective Work Center and a copy is submitted to the supporting COMSEC Account Manager.

5. **CO SPOT CHECK GUIDE**. The guide contained herein consists of (2) tabs; Tab A is for use in conducting Spot Checks at the account level; Tab B is for use in conducting Spot Checks at the Local Element (LE) level. The Spot Checks contained herein are tailored to individual areas and have been extracted from EKMS-3(series) which is used during biennial CMS COR Audits.

Commanding Officers and Executive Officers are encouraged to randomly select different Spot Checks for each quarter to gain a greater perspective on account management, where deficiencies may exist and the level of engagement of the Manager and Alternates.

COMSEC Account Managers and/or Alternates must conduct a minimum of one spot check per calendar month (12 total per CY) on supported LEs. It is highly recommended other supervisory personnel (LCPO, Division Officers, etc... or their service-specific equivalents) conduct training and spot checks in their work centers as well. Things to consider reviewing:

a. Does the security clearance information held by the Division match that held by the Security Manager and is such reflected in JPAS?

b. Observe two personnel performing destruction of physical or electronic key. Were both individuals performing the destruction in agreement that the material was superseded and authorized for destruction? Did the 1<sup>st</sup> person read off the short title, edition, and reg/serial number to the 2<sup>nd</sup> person? Did they reverse the role with the 2<sup>nd</sup> person reading off the information to the 1<sup>st</sup> person who was verifying the destruction document?

c. Observe the conduct of a watch to watch inventory. Did the personnel conducting the inventory also use/review the corresponding CMS-25s (destruction documents) to ensure all segmented material was accounted for or documented as destroyed, as applicable?

d. Review the work centers OTAD/OTAR/OTAT logs, if applicable. For key which has been superseded/destroyed, does the log reflect the signature and/or initials of the personnel zeroizing the key?

e. Look around the space for the following;

- (1) Is the space outwardly identified as a Restricted Area?
- (2) Is a visitors log in place and being properly used/maintained?
- (3) Is there a SF-701 (Daily Activity Checklist) posted and in use, as required?
- (4) Is there a SF-702 (Open/Closure Log) for security containers in use? (two are required for TPI containers)
- (5) Is it being used properly (opened by/closed by/checked by)

g. Have the Manager show when the last KP or AKP changeover was conducted.

h. Ask the Manager to see the account's DTD or SKL reinitialization log.

i. Ask the Manager for the most recent Change of Account Location (COAL) inventory and the Inventory Reconciliation Status Transaction. Are there discrepancies? If so, is the Manager actively working with a COR Manager at NCMS to resolve the discrepancies?

6. **SPOT CHECK SHEETS.**

**TAB A - Account-level Spot Checks**

- SECTION 1 - SECURITY
- SECTION 2 - ACCOUNT MANAGER RESPONSIBILITIES
- SECTION 3 - CLERK
- SECTION 4 - LMD/MGC
- SECTION 5 - CHRONOLOGICAL FILE
- SECTION 6 - ACCOUNTABLE ITEM SUMMARY (AIS)/PRODUCT INVENTORY/TRANSACTION STATUS LOG
- SECTION 7 - COMSEC MATERIAL RECEIPTS/TRANSFERS
- SECTION 8 - DESTRUCTION PROCEDURES/REPORTS
- SECTION 9 - INVENTORY REPORTS
- SECTION 10 - CORRESPONDENCE, MESSAGE AND DIRECTIVES FILE
- SECTION 11 - COMSEC LIBRARY
- SECTION 12 - LOCAL CUSTODY FILE
- SECTION 13 - REPORT RETENTION/DISPOSITION
- SECTION 14 - RESEALING/STATUS MARKINGS, AMENDMENTS AND PAGE CHECKS

- SECTION 15 - SECURE TERMINAL EQUIPMENT (STE)/IRIDIUM
- SECTION 16 - OVER-THE-AIR-REKEY (OTAR)/OVER-THE-AIR TRANSFER (OTAT)
- SECTION 17 - DATA TRANSFER DEVICE (DTD)/SIMPLE KEY LOADER (SKL)/TACTICAL KEY LOADER (TKL)/TALON (TCT) CARDS
- SECTION 18 - MODERN KEY
- SECTION 19 - EMERGENCY PROTECTION OF COMSEC MATERIAL
- SECTION 20 - EMERGENCY DESTRUCTION PLAN (EDP)
- SECTION 21 - COMMANDING OFFICER (CO, OIC, SCMRO) RESPONSIBILITIES
- SECTION 22 - MATERIAL ACCOUNTABILITY TRACKING
- SECTION 23 - CLIENT PLATFORM ADMINISTRATOR (CPA), CLIENT PLATFORM SECURITY OFFICER (CPSO), TOKEN SECURITY OFFICER (TSO) RESPONSIBILITIES - **THIS SECTION IS ONLY APPLICABLE TO KOA'S**
- SECTION 24 - COMSEC MANAGEMENT WORKSTATION DATA MANAGEMENT DEVICE POWER STATION (CMWS/DMD PS)

**TAB B - Local Element (LE) Spot Checks**

- SECTION 1 - SECURITY
- SECTION 2 - LOCAL ELEMENT RESPONSIBILITIES
- SECTION 3 - LOCAL CUSTODY FILE AND LE INVENTORIES
- SECTION 4 - PAGE CHECKS CORRECTIONS & AMENDMENTS
- SECTION 5 - RESEALING/STATUS INFORMATION
- SECTION 6 - ROUTINE DESTRUCTION
- SECTION 7 - OVER-THE-AIR-REKEY/OVER-THE-AIR TRANSFER, DATA TRANSFER DEVICE (DTD)/SIMPLE KEY LOADER (SKL)/TACTICAL KEY LOADER (TKL)/TALON CARDS (TCT)

SECTION 8 - MANAGEMENT AND USE OF MODERN KEY & COMSEC  
MANAGEMENT WORKSTATION DATA MANAGEMENT  
DEVICE POWER STATIONS (CMWS/DMD PS)

SECTION 9 - EMERGENCY ACTION/EMERGENCY DESTRUCTION  
PLAN (EAP/EDP)

**TAB A SECTION 1 - SECURITY**

Answer	Area/Item Reviewed
Yes / No	1. Are adequate visitor controls enforced to ensure that access to classified information is given only to visitors who possess the proper identification, proper security clearance, and Need To Know? [SECNAV-M 5510.30A, Article 11-1 paragraph 2,3; SECNAV-M 5510.36, Article 7-11; EKMS-1 (Series), Article 550.e]
Yes / No	2. Is a visitor's register maintained and retained for one year? [EKMS-1 (Series), Article 550.e, Annex T]
Yes / No	3. Is <b>unescorted</b> access limited to individuals whose duties require such access and who meet access requirements? [EKMS-1 (Series), Article 505.e]
Yes / No	4. Are the names of individuals with regular duty assignments in the COMSEC facility on a formal access list and signed by the current CO/OIC/SCMSRO? [EKMS-1 (Series), Article 505.d,550.e]
Yes / No	5. <u>PART A</u> : Are personnel whose duties require access to COMSEC material formally authorized in writing by the CO/OIC/SCMSRO?[EKMS-1 (Series), Article 505.d]  <u>PART B</u> : If personnel are authorized access to COMSEC material on an access list, has the list been updated annually or whenever the status of an individual changed? [EKMS-1 (Series), Article 505.d]
Yes / No	6. Is security clearance data for personnel whose duties require access to COMSEC material maintained by the Command Security Manager in JPAS? [SECNAV-M 5510.30A, Article 9-5 paragraphs 2,3,4,5]  <b>Note:</b> For Marine Corps, documented in the Management Manpower System (MMS). For Coast Guard, documented in the Personnel Management Information System (PMIS).
Yes / No	7. If the account holds material for SCI/SI circuits, have the Manager and Alternates been SCI Indoctrinated? [EKMS-1 (Series), Article 412.d]
Yes / No	8. Has formal facility approval been given in writing

	<p>by the ISIC/IUC or higher authority to install, maintain, operate and store classified COMSEC material? [EKMS-1 (Series), Article 550.d]</p> <p><b>Note:</b> Marine Accounts are required to have a Physical Security Survey (PSS) conducted <b>biennially</b> by a school trained Military Provost Officer. [Marine Corps Order 5530.14 (Series)]</p>
Yes / No	9. Is the exterior of each COMSEC security container free of markings which reveal the classification or description of the material stored therein? [SECNAV-M 5510.36, Article 10-1, paragraph 3]
Yes / No	10. Is the space/compartment or vault which contains COMSEC material outwardly identified as "Restricted Area"? [OPNAVINST 5530.14 (Series), Articles 210.g, 218.a; MCO 5530.14 (Series) Article 3004]
Yes/No/NA	11. <b>For USMC accounts only.</b> Does the "Restricted Area" sign meet the criteria set forth in MCO 5530.14? [MCO 5530.14 (Series), Article 3004]
Yes / No	12. Are applicable security controls (e.g., guards and alarms) in place in accordance with SECNAV-M 5510.36, Chapter 10? [EKMS-1 (Series), Article 520.a]
Yes/No/NA	13. <b>For USMC accounts only.</b> Does the COMSEC office have an Intrusion Detection System (IDS) installed and is it checked at defined intervals? [MCO 5530.14 (Series), Article 3003]
Yes / No	14. Do storage containers meet the minimum security requirements for the highest classification of keying material stored therein? [EKMS-1 (Series), Article 520.d; SECNAV-M 5510.36, Chapter 10]
Yes / No	15. Is a Maintenance Record for Security Containers and Vault Doors (Optional Form 89) maintained for each security container, used to record damages, repairs or alternations and retained within the container? EKMS-1 (Series) Article 520.b; SECNAV-M5510.36 Article 10-15]
Yes / No	16. Do storage containers conform to the two person integrity (TPI) requirements for the protection of Top Secret COMSEC keying material? [EKMS-1 (Series) Article 520.d]

Yes / No	17. Is a Security Container Information Form (SF 700) maintained for each lock combination and placed in each COMSEC security container? [SECNAV-M5510.36, Article 10-12, paragraph 3; EKMS-1 (Series), Article 520.b]
Yes / No	18. Is a Security Container Check Sheet (SF-702) maintained for each lock combination of a COMSEC storage container? [SECNAV-M5510.36, Article 7-10; EKMS-1 (Series), Article 520.b]
Yes / No	19. Are completed SF-702s retained for 30 days beyond the last date recorded [EKMS-1 (Series) Article 520.b; SECNAV-M5510.36 Article 7.11]
Yes / No	20. Except in an emergency, are combinations to the COMSEC Account vault/COMSEC Facility/security containers restricted to the EKMS Manager and alternates only? [EKMS-1 (Series), Article 515.c]
Yes / No	21. If the COMSEC facility is <b>continuously</b> manned, are security checks conducted at least once every 24 hours and documented on a SF-701? [EKMS-1 (Series), Article 550.d]
Yes / No	22. In a <b>non-continuously</b> manned COMSEC facility, are security checks conducted prior to departure of the last person and documented on a Activity Security Checklist (SF-701)? [EKMS-1 (Series), Article 550.d; SECNAV-M5510.36, Article 7-11]
Yes / No	23. Are completed SF-701s retained for 30 days beyond the last date recorded [EKMS-1 (Series) Annex T; SECNAV-M5510.36, Article 7.11]
Yes / No	24. If a COMSEC facility in a high risk area is unmanned for periods greater than 24 hours, is a check conducted at least once every 24 hours and documented on a SF-701 to ensure that all doors are locked and that there have been no attempts at forceful entry? [EKMS-1 (Series), Article 550.d]
Yes / No	25. Does any one person have knowledge of both combinations to any one TPI container? EKMS-1 (Series), Articles 515.c, 945.e]
Yes / No	26. Are sealed records of combinations to COMSEC containers maintained in an approved security container (other than the container where the COMSEC material is stored), and available to duty personnel for emergency use? [EKMS-1 (Series), Article 515.e]

Yes / No	27. Are combinations to COMSEC containers changed when initially placed in use, taken out of service, at least biennially, upon transfer/reassignment of personnel who have access, or when compromised? [EKMS-1 (Series), Article 515.b]
	28. Are SF-700s protected as follows: [EKMS-1 (Series), Article 515.f]
Yes / No	a. Individually wrapped in aluminum foil and protectively packaged in an SF-700 envelope?
Yes / No	b. Are SF-700s sealed using transparent lamination or plastic tape?
Yes / No	c. Are names, addresses and phone numbers of individuals authorized access to the combination clearly recorded on the front of the envelope?
Yes / No	d. Proper classification and downgrading markings on Part 2 and 2A
Yes / No	e. Are the envelopes inspected monthly to ensure they have not been tampered with and the inspection findings documented on a locally generated log?
Yes / No	29. Is COMSEC material stored separately from other classified material (e.g., separate container or drawer to facilitate emergency removal or destruction), and segregated by status, type and classification? [EKMS-1 (Series), Article 520.a]  <b>Example:</b> Effective, Secret keymat should <u>not</u> be stored with Reserve on Board, Secret keymat. Effective, Top Secret keymat should <u>not</u> be stored with effective, Confidential keymat.
Yes / No	30. Are software-designed devices in storage at the account level covered as part of the units 3M or other service-specific maintenance program? [EKMS-5(Series), Article 313]  <b>Note:</b> <a href="https://infosec.navy.mil/crypto/">https://infosec.navy.mil/crypto/</a> - "Hot Topics" - Cryptographic Equipment Battery Information (MIP/MRC tab) and (Battery Information Tab)
Yes / No	31. Is COMSEC material not in use or under the direct control of authorized personnel properly stored? [EKMS-1 (Series), Article 520.a]

Yes / No	32. Are COMSEC files, records and logs handled and stored in accordance with their overall classification? [EKMS-1 (Series), Article 715.a; SECNAV-M 5510.36, Article 6-3, 6-26]
Yes / No	33. Are classified COMSEC files, records and logs properly marked with the highest classification level of its contents and annotated with the following statement? [EKMS-1 (Series), Article 715.d]  "Derived from: EKMS 1 (series) "Declassify on: DD September YYYY"
Yes / No	34. Are spare devices held at the account level such as KG-175s, KG-250s, KIV-7M's, SKLs, etc... compliant with mandatory software upgrades and if not, has DIRNSA or NCF issued and official waiver, in writing? [EKMS-1 (Series) Article 1005.a]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 2 - ACCOUNT MANAGER RESPONSIBILITIES**

Answer	Area/Item Reviewed
Yes / No	35. Has a formal designation Letter of Appointment (LOA) been completed for the Manager, Alternate(s) and Clerk(s)? [EKMS-1 (Series), Articles 412, 414 and Annex J; EKMS-1 Supp-1A, Article 407.b]
	36. Are "SD Form 572s": [EKMS 1(Series) Article 769.b; Annex K, Annex T; [EKMS-1B SUPP-1A, Articles 409.a, 705.a, Figure 4.4]
Yes / No	a. Executed and on file for all personnel with access to COMSEC material, including Account Managers?
Yes / No	b. Filed in the Chronological File?
Yes / No	c. Retained for 90 days after the individual no longer requires access to COMSEC material, transfers or retires?
Yes/No/NA	37. <b>EKMS Accounts only:</b> Has the Manager and Alternate successfully completed formal training prior to appointment or within the prescribed timeframe or completed the EKMS Manager Job Qualification Requirement (JQR)? [EKMS-1 (Series) Article 412]
Yes/No/NA	38. <b>KOA only:</b> If formal training was not completed prior to appointment due to extenuating circumstances, has the Service Authority granted an official waiver in writing for the appointment? [EKMS-1B Supp-1A, Article 601.b]
Yes/No/NA	39. <b>USMC only:</b> Have Account Managers in the 0681, 0391 or 2210 MOS or series, as applicable, completed COMPTIA Security Plus Training within 6 months of appointment? [EKMS-1B Supp-1A, Article 601.h]
Yes/No/NA	40. <b>USN only.</b> Has (Military) Account Manager(s) completed the 304 section of NAVEDTRA 43462 Personnel Qualification Standards, as applicable? [EKMS-1(Series), Articles 312, 410, 412.f]
Yes / No	41. Is the EKMS Manager Turnover Checklist used and completed in Account turnovers? [EKMS-1 (Series), Articles 766.a, 455; Annexes Y, AK]
Yes / No	42. Has the TSO completed the NSA developed Computer-Based Training in the required timeframe? [EKMS-1B Supp-1A, Art 411.c; Figure 6-1]

Yes / No	43. Has the CPA been appointed in writing? [EKMS-1B Supp-1A, Articles 403.a, 405, Figure 4-6, 411.e, 903.a]
Yes / No	44. Does the CPA have a minimum SECRET security clearance? [EKMS-1B Supp-1A, Articles 411.e, 805.c]
Yes / No	45. Has the CPA attained IAT Level I or higher certification within 180 days of appointment or has the DAA issued a written waiver and is it within the 6 month periodicity? [EKMS-1B Supp-1A, Articles 411.e, 609.a, 903.a; DOD 8570.01M Article C3.2.4.2]
Yes / No	46. Has both the CPA and CPSO completed the NSA-developed CBT? [EKMS-1B Supp-1A, Articles 411.e, 411.i, Figure 6-1]
Yes / No	47. Has both the CPA and CPSO executed the required Information System Privileged Access Agreement? [EKMS-1B Supp-1A, Articles 403.a, 411.e, 411.i; Annex I]
Yes / No	48. Has the CPSO been appointed in writing? [EKMS-1B Supp-1A, Articles 407, 411.i, 903.a]
Yes / No	49. Does the CPSO have a minimum security clearance equal to or higher than the HCI of the account? [EKMS-1B Supp-1A, Articles 411.i, 805.c]
Yes / No	50. Has the CPSO attained IAT Level I or higher certification within 180 days of appointment or has the DAA issued a written waiver and is it within the 6 month periodicity? [EKMS 1B Supp-1A Articles 411.i, 903.a; DOD8570.01M Article C3.2.4.2]
Yes / No	51. Is an executed KMI Form 004 - Certificate of Acceptance and Acknowledgement form on file for all role holders requiring a Token? [EKMS-1B Supp-1A, Articles 321.c; Annex D]
Yes / No	52. Has the PLT1RA conducted a face-to-face verification annually for each active "Human User" <b>and is the date and time of the reverification documented locally?</b> [EKMS-1B Supp-1A Article 501.b]
Yes / No	53. Are registration and enrollment documents submitted via email digitally signed and encrypted? [EKMS 1B Supp-1A Articles 313.g, 315.e 319.a, 401; <a href="#">DON CIO SSN Reduction Phase Three message 171625Z Feb 12</a> ] * <b>Non-use of encryption for passing documents containing PII via email must be treated as a PII breach.</b>
Yes / No	54. Does the subject line for registration and enrollment forms submitted via email state " <u>This email contains information subject to the Privacy Act</u> "? [EKMS-1B Supp-1A, Article 401.b]

Yes / No	55. Has the Manager promulgated written guidance, concerning the proper handling, accountability, and disposition of COMSEC material? [EKMS-1 (Series), Article 455.e, Figure 4-4]
Yes / No	56. Does the Manager provide the CO/OIC/SCMSRO and other interested personnel with general information about new or revised COMSEC policies or procedures? [EKMS-1 (Series), Article 455.a]
Yes / No	57. Are semi-annual self-assessments and monthly spot checks conducted by the Manager and/or Alternates and <b>are the results of both on file</b> , as required? [EKMS-1 (Series) Articles 315.b, 450.i, 455.y, 1005.a; Annex T paragraph 2]
Yes / No	58. Has the Manager ensured that training is conducted monthly and is properly documented and retained in accordance with command directives and EKMS-1 (Series)? [EKMS-1 (Series), Article 455.f; Annex T]
Yes / No	59. If contractor personnel are assigned to and have access to COMSEC material at a DON activity, does the command have a valid (not-expired) DD-254 and does Block 10 indicate the access is required? [EKMS-1 (Series) Article 505.g]
Yes / No	60. Prior to releasing COMSEC material to a contractor account, has the Manager ensured the provisions of OPNAVINST 2221.5 (Series) has been met? [EKMS-1 (Series), Article 505.g]
Yes / No	61. If the account has LEs responsible to a CO other than the CO of the account, have Letters of Agreement been exchanged, signed and retained in the Directives File? [EKMS-1 (Series), Articles 445.a, 709.c; Annex L]
Yes / No	62. Does the Letter of Agreement address the minimum areas in accordance with EKMS-1 (Series)? [EKMS-1 (Series), Annex L]
Yes / No	63. Has coordination been made with the area Defense Courier Service (DCS) station to establish a DCS account by submission of a USTC Form 10 and signed by the <b>current</b> CO/OIC/SCMSRO? [EKMS-1 (Series), Articles 405.h, 751.b, Annex D paragraph 6; EKMS-1B Supp-1A Articles 403.a, 705.a.1]

Yes/No/NA	64. Does the Manager ensure that personnel that perform cryptographic maintenance in the organization have a DD-1435 documented on file and is personnel authorized to perform cryptographic maintenance in writing? [EKMS-5 (Series), Article 111]
Yes/No/NA	65. Is the Manager(s) familiar with and adheres to proper accountability of embedded COMSEC material? [EKMS-5 (Series), Article 603]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 3 - CLERK**  
**(Not Applicable for accounts without a Clerk)**

Answer	Area/Item Reviewed
Yes/No/NA	66. Is the Clerk restricted from having knowledge of/or access to combinations of security containers storing COMSEC keying material and only allowed to maintain TPI requirements after the COMSEC container has been opened by Manager personnel? [EKMS-1 (Series), Article 470.c]
Yes/No/NA	67. Is the Clerk prohibited from having access to the LMD/KP or the MGC/AKP as either an administrator or operator? [EKMS-1 (Series) Article 470.c, Annex X Paragraph 8; EKMS-1B Supp-1A Articles 107.c, 805.c, Figure 8-4].  <b>Note:</b> Have the Manager or Alternate logon to LMD or MGC and verify the clerk is not either a sysadm or a sysopr.
Yes/No/NA	68. Are all destruction, generation, inventory, possession, and Relief from Accountability reports signed by the clerk, signed as a <u>witness</u> only? [EKMS-1 (Series), Article 470.b]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 4 - LMD/MGC**

Answer	Area/Item Reviewed
Yes / No	69. Is unescorted access to and use of the LMD/MGC restricted to the Account Managers? [EKMS-1(Series, Article 505.d; Annex X, Paragraph 1 and 8; EKMS-1B Supp-1A Article 209.c]
Yes/No/NA	70. <b>EKMS Accounts only:</b> Does the account have a minimum of two LCMS/KP System Administrators registered? [EKMS-1 (Series), Annex X, Paragraph 9]
Yes/No/NA	71. <b>EKMS Accounts only:</b> Does each Manager have separate (unique) LMD/KP Operator ID and CIK? [EKMS-1 (Series), Annex X, Paragraph 12]
Yes/No/NA	72. <b>KOA only:</b> Does each account have two (2) AKP operationally affiliated CIKs (One primary; one backup)? [EKMS-1B Supp-1A, Articles 207.a, 903.a]
Yes / No	73. Does the account maintain an AKP/KP CIK and PIN log; is the log being retained for the prescribed time frame? [EKMS-1B Supp-1A, Chapter 9, EKMS-1 (Series), Annex T, paragraph 2.v and X paragraph 12]
Yes / No	74. EKMS Accounts only. Are KP PINs changed every 90 days? [EKMS-1 (Series) Article 520.i]
Yes / No	75. Are passwords for each account, including the "CPA" or "root" account on the MGC/LMD, as applicable changed every 90 days? [EKMS-1B Supp-1A Article 215.a; EKMS-1(Series) Article 515.i, Annex X Para 12]  <b>Note:</b> On the LMD try to logon with the default generic root password. If unsuccessful, have the Manager logon as root, left-click on the mouse, go to - Desktop, - select Account Manager, select the target user "root", from the top, select "Users" - Password Restrictions - Expiration and review the "Last Successful Change" entry. On the MGC, look in the Windows Event Viewer for the account and event ID: 4738.
Yes / No	76. Is the LMD/MGC configured to lock out an account after 3 failed logon attempts? [EKMS-1B Supp-1A Article 215.a; EKMS-1(Series) Article 515.i]

Yes / No	77. Are all PINs/Passwords for accounts registered on the LMD/KP or MGC/AKP recorded and sealed in separate SF-700 envelopes for each respective person and protected as required? [EKMS-1 (Series), Articles 515.f, 520.j, 945.e; EKMS 1B Supp-1A, Article 215.a]
Yes / No	78. Has the Manager ensured the account's CAD data is current and is updated, as required? [EKMS-1 (Series) Article 455 and 602; EKMS-1B Supp-1A (Series) Article 309.c]
Yes/No/NA	<p>79. <b>KOA only:</b> Has a changeover been performed at a minimum of every 12 months? [EKMS-1B Supp-1A Articles 207.d, 805.a]</p> <p>To determine, have the Manager or Alternate logon to MGC, navigate to the "KMI Navigation" pane on the left: MGC Management - AKP Configuration- AKP Changeover. The pane on the right will then display the current changeover version.</p>
Yes/No/NA	<p>80. <b>EKMS Accounts only:</b> Has a changeover been performed every 3 months (92 days maximum)? [EKMS-1 (Series), Article 238.b, 945.c, Annex X, paragraph 12]</p> <p>To determine, have the Manager or Alternate logon to LCMS and generate a User Defined Audit Report as follows:</p> <p>Utility - Activity Report - Generate Report          "User Defined Audit Report",          Dest EKMS ID = local account,          "Generate Report".</p> <p>Next, enter the Operator ID (or leave blank for all),          Enter a start date (within the last 92 days), status (default = all),          EKMS ID = Local Account,          Ending Date: enter the current date,          Alpha = KP Change Over          Generate Report.</p> <p>If performed within the last 92 days, the changeover will be reflected in the report on the screen.</p>

Yes / No	<p>81. Has the account performed an AKP or KP rekey on an annual basis? [EKMS-1B Supp-1A (Series), Article 207.c, EKMS-1 (Series) 1005.a, Annex X, paragraph 12]</p> <p><b>On the LMD:</b> Follow the procedure above, change the Alpha to KP Rekey and the start date to 366 days earlier, i.e. if the inspection is conducted on 02 Feb 13, use 20120201 as the date. Any rekey performed in the last year will appear in the window. If not from the LCMS menu, select KP-&gt;Rekey KP Vectors-&gt;Request KP</p>
	<p>Rekey and verify the Firefly vector set has not expired.</p> <p><b>On the MGC:</b></p> <ul style="list-style-type: none"> <li>- Navigate to MGC Management</li> <li>- AKP Configuration</li> <li>- AKP Vectors</li> </ul>
Yes/No/NA	<p>82. <b>KOA only:</b> Has the KOAM conducted an annual or more frequent rekey of the AKP and Type-1 Token (KOV-29) IA(I) and IA(M) certificates? [EKMS 1B Supp-1A, Articles 205.e, 903.b]</p>
Yes/No/NA	<p>83. <b>KOA only:</b> Has the AKP in use been recertified within current (7) years? [EKMS 1B Supp-1A, Articles 207.g, 805.a]</p>
Yes/No/NA	<p>84. <b>EKMS Accounts only:</b> Has the KP in use been recertified within the current (3) years? [EKMS-1 (Series), Article 1185.e]</p>
Yes/No/NA	<p>85. If the account has a KOK-23, has the device been certified within the current (3) years? [DOC 027-09 paragraphs 22 and 27; EKMS-1 (Series) Articles 945.c, 1005.b]</p>
Yes/No/NA	<p>86. If a KOK-23 is held, are the SSO and Operator CIK(s) accounted for in LCMS or the MGC, as applicable as ALC-1 and ALC-4, respectively? [DOC 027-09 paragraph 7.b; EKMS-1 (Series) Article 945.e]</p>
Yes/No/NA	<p>87. <b>KOA only:</b> Are monthly visual inspections conducted and documented for the AKP? [EKMS-1B Supp-1A, Articles 201.d, 903.a]</p>
Yes/No/NA	<p>88. <b>KOA only:</b> Does the account have an AKP Inspection Log which includes; the Short Title, Serial Number, date inspected, printed name and signature of the individual who conducted the inspection, whether any damage or tamper was noted? [EKMS-1B Supp-1A, Article 201.d]</p>

Yes / No	89. Has the AKP, KP OR KOK-23 been returned to CMIO or the depot, as applicable for re-certification within 30 days of receipt of the one currently held/in-use? [EKMS-1 (Series) Article 1005.b; EKMS-1B Supp-1A (Series), Article 903.b]
Yes/No/NA	90. <b>EKMS Accounts only:</b> Are REINIT 1 and NAVREINIT 2 keys classified at the level of the account's HCI and safeguarded appropriately? [EKMS-1 (Series), Article 1185.d]
	91. <b>EKMS Accounts only:</b> Does the account maintain and account for, four copies of REINIT 1 and two copies of NAVREINIT 2; are they properly registered in LCMS? [EKMS-1 (Series), Article 1185.d] LCMS - Registration - COMSEC Material.
Yes/No/NA	a. Are REINIT 1 keys accounted for and reflected on the AIS as "ALC-1", "AIDES"
Yes/No/NA	b. Are NAVREINIT 2 keys accounted for and reflected on the AIS as "ALC-4", "Equipment"?
Yes/No/NA	92. <b>KOA only:</b> Are AKPREINIT flash drives protected under TPI or with NSA-approved tamper-evident bags? [EKMS-1B Supp-1A, Articles 209.b, 805.c]
Yes/No/NA	93. <b>KOA only:</b> If the account's HCI is "S" and tamper-evident bags are used in lieu of TPI, are the tamper-evident bags inspected daily or open next opening of the container by the KOAM and an Alternate? [EKMS-1B Supp-1A, Articles 209.b, 903.a]
Yes/No/NA	94. <b>KOA only:</b> Does the account maintain two sets of AKPREINIT 1 and 2 drives and are they accounted for and reflected on the Product Inventory as "ALC-2", "equipment"? [EKMS-1B Supp-1A Articles 209.b, 903.a; Figure 2-1]
Yes/No/NA	95. <b>KOA only:</b> Are the AKPREINIT flash drives tagged and labeled to indicate the Short Title, Version Number and Account Number? [EKMS-1B Supp-1A Article 209.b]
Yes/No/NA	96. <b>KOA only:</b> Has the KOAM received an updated Certificate Revocation List (CRL) within 6 months? [EKMS-1B Supp-1A, Article 501.a]
Yes/No/NA	97. <b>KOA only:</b> Are the AKP USB Drives labeled SECRET, ALC 2, and accounted for as Short Title "KOM 3", "Equipment" in the Product Inventory? [EKMS-1B Supp-1A Figure 2-1]

Yes/No/NA	98. <b>KOA only:</b> Has an exact copy of archived accounting data been sent to the Central Service Node (CSN) within 30 days of the archive? [EKMS-1B Supp-1A, Articles 501.a, 903.a]
Yes/No/NA	99. <b>EKMS Accounts only:</b> Is LCMS accounting data archived semi-annually after each fixed cycle inventory? [EKMS-1 (Series) Annex X, paragraph 12]
Yes/No/NA	100. <b>EKMS Accounts only:</b> Is archived media properly labeled, safeguarded and retained as required? [EKMS-1 (Series), Article 1005.a, Annex X, paragraph 12]
Yes/No/NA	101. <b>EKMS Accounts only:</b> Are backups being performed on the following as required? [EKMS-1 (Series), Articles 718.d, 1005.a]
Yes / No	102. Is backup media labeled as "Secret", reflects proper downgrading instructions and the date the backup was performed? [EKMS-1 (Series), Article 718.c Note 2; EKMS-1B Supp-1A, Figure 2-2; SECNAV M5510.36]
Yes/No/NA	103. <b>KOA only:</b> Are backups of the MGC database performed after; every session that modifies the Product Inventory and Transaction Status log, a minimum of weekly and open completion of a changeover? [EKMS-1B Supp-1A Articles 209.d, 501.a, 903.a]
Yes/No/NA	104. <b>KOA only:</b> Are backups older than the first previous set/version destroyed and the destruction reported to the COR? [EKMS-1B Supp-1A, Article 213.b]
Yes/No/NA	105. <b>KOA only:</b> Do the labels applied to backup media associated with a particular changeover match the labels affixed to the AKPREINIT drives? [EKMS-1B Supp-1A, Articles 209.b, 209.b]
Yes/No/NA	106. Has the account generated, wrapped and submitted a COAL inventory on a monthly basis? [EKMS (Series) Article 766.b; EKMS-1B Supp-1A, Figure 7-4]

**Note:** N/A for submarines at-sea.

**To verify in LCMS:**

1. From the desktop
2. Accounting
3. Transaction
4. Display (Adjust to originated between and use a two month Window; example 20100201 (beginning) 20100228 (ending))
5. Look for a transaction type of "inventory"
6. Verify it is "processed"
7. Select the inventory and view the transaction to determine if the type is "Change of Account Location"

**To verify in MGC:**

1. Products - Reports - Transaction Status Log.
2. In the filter block under the In/Out box type "inventory" to retrieve every inventory and IRST.
3. Report Date Down Arrow - Sort Descending or Ascending - Ask the KOAM if COAL's are performed at the beginning or end of month.
4. Highlight one of those entries, look under the "Related Log ID" column to find the Log Number.
5. Look under the "Log ID" column to find the Log ID number which will be the IRST for that Inventory.
6. If there is no Log Number under the "Related Log ID" Column, look under the "Transaction Status" column, if the status is sent, the KOAM did not download the "IRST and Reconcile"

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
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**TAB A SECTION 5 - CHRONOLOGICAL FILE**

Answer	Area/Item Reviewed
	107. Does the CHRONOLOGICAL FILE contain the following <u>required</u> files: [EKMS-1 (Series) Article 703.a, Annex T]
Yes / No	a. COMSEC material accounting reports (i.e., conversion, destruction, generation, possession, receipts, relief from accountability, and transfer reports).
Yes / No	b. <b>EKMS Accounts only:</b> Up-to-date Accountable Item Summary (AIS) or up-to-date printed COAL inventory [see EKMS-1 (Series) Art 706.a and 763.c note]
Yes / No	c. <b>KOA only:</b> Up to date printed Product Inventory or a Free Form text version of the Inventory Reconciliation/COAL inventory (EKMS-1B Supp-1A, Figure 7-4]
Yes / No	d. Inventory reports (including working copies, ALC 4 & 7 inventories) and reconciliation notices
Yes / No	e. Transaction Status Log. (Properly closed out; previous 2 years retained) [EKMS-1(Series), Article 724.b]
Yes / No	f. USTRANSCOM Form-10
Yes / No	g. CMS Form 1 (if required)
Yes / No	h. SD Form 572
Yes / No	i. EKMS CF Special Notices
<b>** In addition to the documents reflected above, the below are required to be held by KOAs only **</b>	
Yes/No/NA	j. KMI Form 004 - KMI Human User Agreement Form
Yes/No/NA	k. KMI Form 005 - KMI Transition Checklist
Yes/No/NA	l. KMI Form 006 - KMI Device Registration Form
Yes/No/NA	m. KMI Form 007 - KMI Device Sponsor Agreement Form

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 6 - ACCOUNTABLE ITEM SUMMARY (AIS)/PRODUCT  
INVENTORY)/TRANSACTION STATUS LOG**

Answer	Item/Area Checked
Yes / No	<p>108. Does the AIS or Product Inventory reflect all COMSEC-accountable material held by the account, including FTRs, KSV-21 cards, Iridium sleeves, etc.? [EKMS-1 (Series) Article 763.a, 1005.a.4; EKMS-1B Supp-1A, Articles 701.c, 903.a]</p> <p><b>EKMS Accounts only</b> - Randomly record the short title, serial number, and edition off at least 3 items and do the following:</p> <p>Logon to the LMD - Accounting - Accountable Item Summary - (Change the display to Account) vice all. Is the item reflected on the Accountable Item Summary (AIS) and is it reflected as "On-Hand"?</p> <p><b>KOA only</b> - Logon to MGC - Accounting - Product Inventory - (Change the display to Account) vice all. Is the item reflected on the Product Inventory and is it reflected as "On-Hand"?</p>
Yes / No	<p>109. Is the LMD or MGC free of any non-COMSEC accountable items such as DTD/SKL CIKS, CHVP products, etc...? [EKMS-1 (Series), Articles 706.a, 1005.a; EKMS-1B Supp-1A Articles 701.c, 903.a]</p>
Yes / No	<p>110. Is the AIS or Product Inventory free of any decertified equipment which should have been previously destroyed or disposed of, as directed, i.e. KOV-14 cards, MOT NE1s, KYK-131s, KYX-15As, etc...? [EKMS-1 (Series) Articles 540.h, 1005.a; ALCOM 029/13]</p>
Yes / No	<p>111. Is the Transaction Status Log closed out annually? [EKMS-1(series) Article 724; EKMS-1B Supp-1A, Article 701.i]</p>
Yes / No	<p>112. Does the Manager have a copy of the Transaction Status Log for the previous (2) years? [EKMS-1(series) Article 724.b; Annex T; EKMS-1B Supp-1A, Article 701.i]</p>

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
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**TAB A SECTION 7 - COMSEC MATERIAL RECEIPTS/TRANSFERS**

Answer	Area/Item Reviewed
Yes / No	113. Are hard copy SF-153s for physical material received after 23 Apr 2013 properly completed, retained and reflect the: TN number, date assigned, type of action, Manager and witness signatures? [EKMS-1 (Series) Article 1005.a, Annex U, paragraph 9]
Yes / No	114. Have Destruction, Generation, Possession, Relief from Accountability and Transfer reports for ALC-1, 2 and 6 materials been sent to Tier 1 or the PRSN via x.400 as applicable? [EKMS-1 (Series) Article 730; EKMS-1B Supp-1A, Article 701.h]
Yes / No	115. Are receipts for physical material, Bulk Encrypted Transactions (BETs) or report of corrupt BETs submitted within 96 hours of receipt or download to the COR or originator via X.400 or PRSN? [EKMS-1 (Series) Article 742,1005.a; EKMS-1B Supp-1A, Article 705.a]
Yes/No/NA	116. Has the receipt of Two Person Control (TPC) material been reported per CJCSI 3260.01? [EKMS-1 (Series), Article 255.c]
Yes / No	117. Are pending tracers processed within the required timeframes? [EKMS-1 (Series), Articles 743.e, 945.e]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 8 - DESTRUCTION PROCEDURES/REPORTS**

Answer	Area/Item Reviewed
Yes / No	118. Is routine destruction of COMSEC material performed only using approved methods prescribed in [EKMS-1 (Series), Articles 540.j, 790.e and 945.e]
Yes / No	119. Are destruction records being completed and on file to document the destruction of all ALC 1, 2 and 6 COMSEC material regardless of classification? [EKMS-1 (Series), Article 736.b]
Yes / No	120. Is the destruction of key issued to a DTD, SKL/TKL or other electronic storage device being completed and verified in accordance with EKMS-1? [EKMS-1 (Series), Article 540.c, Annex Z, Paragraph 15.b and Annex AF paragraph 8.f]
Yes / No	121. Do destruction records clearly identify the short title, edition(s), accounting number, ALC, and date of destruction? [EKMS-1 (Series), Article 736.a; Figures 7-1, 7-2, 7-3]
Yes / No	122. Are destruction records properly signed and dated by the two individuals who conducted the destruction and are blocks 14 & 16 annotated to indicate the action the SF-153 was used for (destroyed/witness? [EKMS-1 (Series), Article 790.f; and Figures 7-1-3 paragraph 4, 7-2-2 paragraph 2, 7-3-1 paragraph 2, Annex U]
Yes / No	123. Is un-issued keying material that becomes superseded during the month destroyed no later than five working days after the end of the month in which it was superseded? [EKMS-1 (Series), Articles 540.e, 1005.a]
Yes / No	124. Is superseded material, received in a ROB shipment, destroyed within 12 hours of opening the shipment and the SF-153 destruction document annotated "superseded upon receipt"? [EKMS-1 (Series), Articles 620.d (note), 1005.a]

Yes/No/NA	<p>125. <b>EKMS Accounts only</b> - Have the following items been recorded as "Destroyed" or "Filled in End Equipment" NLT the 5<sup>th</sup> working day of the month following use/loading? [EKMS-1 (Series), Articles 238, 540, 1185; Annex X paragraph 10]</p> <ul style="list-style-type: none"> <li>a. FF Vector Set: USFAU 0000000333</li> <li>b. Message Signature Key: USFAU 4294967297</li> <li>c. Transit CIK: USKAU B7121</li> <li>d. KG Rules: USKAD BU71260 880091 (current version should be retained and be listed as on-hand in LCMS; earlier versions should not be and on the AIS)</li> </ul>
Yes/No/NA	<p>126. <b>KOA only</b> - Have the following items been recorded as "Destroyed" or "Filled in End Equipment" NLT the 5<sup>th</sup> working day of the month following use/loading? [EKMS-1B Supp-1A, Articles 207.b, 207.c, 903.a]</p> <ul style="list-style-type: none"> <li>e. FF Vector Set: USFAU 0000000333</li> <li>f. Message Signature Key(MSK): USFAU 4294967297</li> <li>g. 4294967297</li> <li>h. KG-250 key AFAU 1401600001 (the current version should be retained and reflected on the Product Inventory. Earlier versions should not be held by the account or reflected on the Product Inventory)</li> </ul>
Yes / No	<p>127. Does the account maintain local destruction (working copies) and consolidated destruction reports? [EKMS-1 (Series), Article 706.a]</p>
Yes / No	<p>128. Have consolidated destruction records been signed by the CO/OIC/SCMSRO (Block 17)? [EKMS-1 (Series), Annex U, paragraph 7.a]</p>
Yes / No	<p>129. Are SAS/TPC destruction reports signed by two members of the SAS/TPC Team? [EKMS-1 (Series), Annex U, paragraph 7.b]</p>
Yes/No/NA	<p>130. For submarines and ships in port without an NSA-Evaluated/Authorized Destruction Device. Is non-paper COMSEC material being destroyed with a cross-cut shredder and the residue temporarily retained until it can be disbursed at sea? [EKMS-1 (Series), Article 540.j]</p>

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 9 - INVENTORY REPORTS**

Answer	Area/Item Reviewed
Yes / No	131. Is all COMSEC material (including equipment and publications) assigned AL Code 1, 2, 4, 6, and 7 inventoried semiannually? [EKMS-1 (Series) Article 766.a; Annex T] <b>Note:</b> Operational SSSN's/SSGN's are exempt from fixed-cycle inventory requirements. During extended maintenance availability periods they will adhere to normal inventory cycles per Article 766.b.
Yes / No	132. Has a Change of Custodian Inventory Report (CCIR), Combined or Consolidated Inventory, as applicable been conducted to document a Change of Manager, Command or SCMSRO as applicable? [EKMS-1 (Series), Article 1 766.b; EKMS-1B SUPP-1A, Figure 7-4]
Yes / No	133. Are SF-153 inventory reports being locally generated, signed and retained for AL Code 4 and 7 materials? [EKMS-1 (Series), Article 766.d]
Yes / No	134. Was the SAIR signed by the Manager, a properly cleared witness, and the Commanding Officer or SCMSRO? [EKMS-1 (Series), Annex U, Paragraph 7.a]
Yes / No	135. Is the completion of SAIR and CCIR inventories reported to the COR via record message? [EKMS-1 (Series), Articles 766.b, 1005.a; EKMS-1B Supp-1A, Article 707; Figure 7-4] <b>Note:</b> N/A for inventories used solely for Change of Command
Yes / No	136. Are "Request for Inventory Transactions" generated by the COR, responded to within 30 days of the initial request of the inventory? (EKMS-1 (Series), Article 766.b; Annex AK) <b>Note:</b> Submarines deployed or on patrol will use a locally generated inventory discussed in Article 766 (note).
Yes / No	137. Have discrepancies on the Inventory Reconciliation Status Report (IRST) been communicated to the COR and resolved? [EKMS-1 (Series), Article 766.b]
Yes / No	138. Was the CCIR or Combined <b>Inventory, as applicable</b> conducted for a change of command signed by the <u>outgoing</u> Commanding Officer? [EKMS-1 (Series), Articles 766.a, 766.b]
Yes / No	139. Are completed inventories retained for the current plus 2 years? [EKMS-1 (Series) Annex T.

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 10 - CORRESPONDENCE, MESSAGE AND DIRECTIVES FILE**

Answer	Area/Item Reviewed
	140. Does the Correspondence and Message File contain the following <u>required</u> files: [EKMS-1 (Series), Article 709.a]
Yes / No	a. Account establishment correspondence? <b>Note:</b> Only required for accounts established after 01 Jul 93; optional for previously established accounts.
Yes / No	b. Manager, Alternates and Clerk appointment correspondence (EKMS or KOAMs)?
Yes / No	c. CPA and CPSO Clerk appointment correspondence?
Yes / No	d. <b>KOA only</b> - A signed copy of Information System Privileged Access Agreement and Acknowledgement of Responsibilities form. [EKMS-1B Supp-1A, Articles 411.e, 411.i; Annex I]
Yes / No	e. COMSEC Incident and Practice Dangerous to Security reports (this includes documentation on non-reportable PDSs)?
Yes / No	f. Correspondence relating to command allowance and authorization to store classified COMSEC material?
Yes / No	g. CMS COR Audit reports
Yes / No	h. List of personnel authorized access to keying material and the LMD/KP or MGC/AKP, as applicable?
Yes / No	141. Does the directives file contain a copy of each effective directive of the command and higher authority, which relates to COMSEC matters (e.g., guidance for LEs, Letters of Agreement (LOA), and waivers of COMSEC policy and procedures)? [EKMS-1 (Series), Article 709.c]
Yes / No	142. Does the Message File contain all effective general messages (i.e., ALCOMs, ALCOMPAC P, and ALCOMLANT A) that pertain to account holdings or COMSEC policy and procedures? [EKMS-1 (Series), Article 709.b]
Yes / No	143. Does the Manager maintain and provide up-to-date status information to LE personnel when promulgated by the various Controlling Authorities for material held by the account or issued i.e. JCMO 2116XXXXZ, COGARD C4ITSC, etc.? [EKMS-1 (Series), Art 255.f, Article 760.a]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN**

REPORTED TO THE COMMANDING OFFICER.  
TAB A SECTION 11 - COMSEC LIBRARY

Answer	Area/Item Reviewed
	144. Does the account maintain a COMSEC library with all applicable instructions and manuals? [EKMS-1 (Series), Article 721, EKMS-1B Supp-1A , Annex C] <b>Note:</b> USCG units refer to USCG COMSEC Advisory 02-09 for USCG-specific library requirements.
Yes/No/NA	a. <b>EKMS Accounts only:</b> LMD/KP Operators Manual EKMS 704(series)
Yes/No/NA	b. <b>KOA Only:</b> Operations and Maintenance Manual (OMM) for the KMI Client Node (classified)
Yes/No/NA	c. <b>EKMS Accounts only:</b> EKMS Managers JQR
Yes/No/NA	d. COMLANTFLT/COMPACFLT/COMUSNAVEURISNT C2282.1 (series) Basic Shipboard Allowance of COMSEC material (USN Surface Ships only)
Yes / No	e. EKMS-1 (series) Policy and Procedures Manual
Yes / No	f. EKMS-3 (series) CMS COR Audit Manual
Yes / No	g. EKMS-5 (series) EKMS Cryptographic Equipment Manual
Yes/No/NA	h. COMDTINST 5510.23 (USCG only)
Yes/No/NA	i. NAG-53 (series) - Keying Standard for Non-Tactical KG-84/KIV-7 Point to Point Circuits ( <b>shore-based accounts only</b> )
Yes / No	j. NAG 16 (series) Field Generation and Over-the-air distribution of tactical Electronic Key
Yes / No	k. NSA Mandatory Modification Verification Guide (MMVG)
Yes / No	l. OPNAVINST 2221.5 (series) Release of COMSEC material to U.S. Industrial Firms Under contract to USN
Yes / No	m. SECNAV M5510.30 (series) DON Personnel Security Program
Yes / No	n. SECNAV M5510.36 (series) DON Information Security Program
Yes / No	o. OPNAVINST 5530.14 (series) Physical Security and Loss Prevention
Yes / No	p. SECNAVINST 5040.3 (series) Naval Command Inspection Program (if applicable)
Yes / No	q. NAVICPINST 2300.4 (series) Utilization and disposal of Excess COMSEC Material
Yes / No	r. NAVICPINST 5511.24 (series) Classified Electronic COMSEC Material in the Navy Supply System
Yes / No	s. OPNAVINST 2221.3 (series) Qualifications of

	Maintenance Personnel
Yes/No/NA	t. CJCSI 3260.2 (series) Joint Policy Governing Positive Control Material Devices ( <b>Only if SAS material held</b> )
Yes/No/NA	u. SDIP 293 NATO Cryptographic Instruction ( <b>Required only if account holds NATO material</b> )
Yes/No/NA	v. AMSG-600 NATO Communications Security Information. ( <b>Required only if the account holds NATO material</b> )

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 12 - LOCAL CUSTODY FILE**

Answer	Area/Item Reviewed
Yes / No	<p>145. Does the local custody file contain signed, effective, local custody documents for each item of COMSEC material charged held by account which has been issued to authorized LEs including electronic key, KSV-21 cards, Iridium sleeves, etc...? [EKMS-1 (Series), Articles 712.a, 945.e; Annex AD paragraph 17, Tab 1 paragraph 3]</p> <p><b>EKMS Accounts only</b> - Logon to LCMS and do the following: Accounting - Accountable Item Summary - (highlight the desired LE), i.e. Radio, click on "Material History", Select the entry "Issue Initiating" - then "View Transaction". Note the date of the report and TN. Pull the Local Custody file for the LE and verify the corresponding SF-153(s) are on file and properly completed/signed.</p> <p><b>KOA only</b> - Logon to MGC and Select: Products - Inventory - Product Inventory. The "All Products" tab should be highlighted. In the filter block below "All Products", type "issued". Highlight an entry labeled "Issued", select the location the material was issued to and ask the Manager to see the corresponding SF-153 and verify completeness with all required signatures.</p>
Yes / No	<p>146. Are local custody documents being retained for the <u>minimum</u> 90 days after the material is destroyed or returned to the EKMS Manager? [EKMS-1 (Series), Annex T, paragraph 2]</p>

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 13 - REPORT RETENTION/DISPOSITION**

Answer	Area/Item Reviewed
Yes / No	147. Are inactive records awaiting expiration of the required retention period clearly labeled with the appropriate classification, downgrading instructions and the authorized destruction date? [EKMS-1 (Series), Article 715.c]
	148. Have the following been retained for the <b><u>minimum of one (1) year</u></b> : [[EKMS-1 (Series) Annex T]
Yes / No	1. Receipts for official messenger mail, DCS courier mail and registered mail
Yes / No	2. Terminated Letters of Agreement
Yes / No	3. Closed out/Completed Visitor's Register
	149. Have the following been retained for the <b><u>minimum of two (2) years</u></b> : [EKMS-1 (Series) Annex T]
Yes / No	1. DTD/SKL/TKL Reinitialization and Audit Trail Logs
Yes / No	2. General correspondence and messages pertaining to COMSEC matters relating to account holdings?
Yes / No	3. LMD/MGC/KP PIN/CIK log
Yes / No	4. Spot Checks/Semi-Annual Assessments
Yes / No	5. EKMS CF Notices
Yes / No	6. Messages, letters or memorandums used to document and/or report COMSEC Incidents or PDS's
	150. Have the following been retained for the <b><u>minimum retention period of three (3) years</u></b> (current year plus previous 2 full years):
Yes / No	a. Inventory Reports [including working copies locally generated to physically sight inventory material by location (or LE) and ALC 4 & 7 inventories
Yes / No	b. Other accounting reports [Conversion, Destruction Reports (to include; Reportable Destruction Reports for ALC-1, 2, and 6 material; Local Destruction Reports for ALC-4/7 material, and working copies of SF-153's generated for account/LE destruction and CMS-25's for physical material extracted by LE personnel), Generation, Possession, Relief from Accountability and Transfer reports?

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN**

REPORTED TO THE COMMANDING OFFICER.

TAB A SECTION 14 - RESEALING/STATUS MARKINGS, AMENDMENTS AND PAGE CHECKS

Answer	Area/Item Reviewed
Yes/No/NA	151. Has all unsealed COMSEC material been sealed or resealed in accordance with EKMS-1 (Series) and local command instruction(s)? [EKMS-1 (Series), Articles 769.g, 772.a & .b, 945.d, 1005.a]
Yes/No/NA	152. For accounts with less than <u>500 line items</u> , are the effective and supersession dates annotated on all COMSEC keying material, COMSEC accountable manuals and publications? [EKMS-1 (Series), Article 760.a]
Yes/No/NA	153. Are keytape canisters free of <u>locally</u> applied labels and stickers which may conceal attempted penetration or prevent inspection of protective packaging, as applicable? [EKMS-1 (Series), Article 760.e]
Yes / No	154. Is effective and supersession information maintained within LCMS/MGC as applicable? [EKMS-1 (Series), Article 760.a; EKMS-1B Supp-1A, Article 709.c]  <b>EKMS Accounts only</b> - To verify on the LMD, from the desktop - Distribution - Effective Date Tool - Record a Hard Copy Effective Date  <b>KOA only</b> - To verify on the MGC, from the desktop - Products - Effective Dates
Yes/No/NA	155. Are corrections to a publication made with black or blue-black ink only? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	156. Are pen and ink corrections identified by writing the amendment or correction number in the margin opposite the correction? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	157. Has the person entering the amendment signed and dated the appropriate blanks on the publications Record of Amendments page [EKMS-1 (Series), Article 787.g]
Yes/No/NA	158. Has the individual who verified proper entry of the amendment initialed the entry on the Record of Amendments page? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	159. Is classified & unclassified amendment residue destroyed within five working days of amendment entry? [EKMS-1 (Series), Articles 787.h, 1005.a]
Yes/No/NA	160. Are required page/verification checks being accomplished by a manager and witness as follows: [EKMS-1 (Series), Articles 757.a, 775.e, and Annex V]

Yes/No/NA	a. <u>Unsealed COMSEC keying material</u> : upon initial receipt; during account inventories; during watch inventories; prior to transfer; and upon destruction?
Yes/No/NA	b. <u>Unsealed maintenance and operating manuals</u> : upon initial receipt; after entry of amendments which change pages (both person entering and person verifying entry); during inventories; prior to transfer; and upon destruction?
Yes/No/NA	c. <u>Unsealed amendments</u> : upon initial receipt; after entry of amendments which change pages (both person entering and person verifying entry); during inventories; during watch inventories; prior to transfer; and upon destruction?
Yes/No/NA	d. <u>Maintenance and repair kits</u> : upon initial receipt; upon installation of modification; during inventories; prior to transfer of the Q(repair kits); and upon destruction?
Yes/No/NA	e. <u>Equipment</u> : upon receipt (i.e., uncrating); during EKMS account and watch inventories; prior to transfer; and upon destruction?
Yes/No/NA	f. <u>Resealed keying material</u> : during account inventories; prior to transfer; and upon destruction?
Yes/No/NA	161. Are page checks of amendment residue recorded on the Record of Page checks (ROP) page? [EKMS-1 (Series), Article 757.d, 787.g]
Yes/No/NA	162. Are page check discrepancies being reported? [EKMS-1 (Series), Articles 757.h, 945.e, 1015; Annex V]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 15 - SECURE TERMINAL EQUIPMENT (STE)/IRIDIUM**

Answer	Area/Item Reviewed
Yes / No	163. Is access to Terminal Privilege Association (TPA) cards restricted to the Manager, Alternates or other properly designated personnel (LE Issuing) [EKMS-1 (Series), Annex AD, paragraph 4]
Yes / No	164. Does the TPA or EKMS Manager inspect STE Tamper Seals at a minimum of semi-annually in conjunction with inventories? [EKMS-1 (Series), Annex AD paragraph 4.g]
Yes / No	165. Is keying material filled in KSV-21 cards reflected on the accounts reportable destruction report NLT 5 <sup>th</sup> working day of the month following the loading as "Filled in End Equipment" [EKMS-1 (Series), Article 945.c; Annex AD paragraph 17]
Yes / No	166. Are destruction reports submitted to the COR via the X.400 or PRSN as applicable; (1) Upon destruction of STE keying material when the KSV-21 card is filled/loaded from the MGC/AKP <b>or</b> (2) When an unused FD (filled by the CF) is loaded into a terminal for the express purpose of zeroizing it? [EKMS-1 (Series), Article 792; Annex AD, paragraph 21]
Yes / No	167. Are in use STE/SCIP products rekeyed at a minimum of annually? [EKMS-1 (Series), Article 1005.a]
Yes/No/NA	168. Are Key Conversion Notices (KCNS), when received from the CF processed in accordance with the EKMS-704(series) or the Operations and Maintenance Manual (OMM) as applicable? [EKMS-1 (Series), Annex AD, paragraph 17] (1) Verify that the terminal serial number listed is the serial number of the terminal the key was loaded in (2) Ensure that keying material listed was, in fact, held and loaded/destroyed by the account as indicated on the report and that a "Filled in End Equipment" destruction report was sent to the COR. [EKMS-1 (Series), Annex AD, paragraph 17.c]  <b>Note:</b> Only applicable to devices filled with SCIP Modern Key such as Iridium, Sectera, Omni, ViPR, etc...

Yes/No/NA	169. Are KSV-21 cards issued to residential users filled with key which properly indicates the location as a <b>residence</b> ? [EKMS-1 (Series), Annex AD, paragraph 13.a]
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Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
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**TAB A SECTION 16 - OVER-THE-AIR-REKEY (OTAR)/OVER-THE-AIR  
TRANSFER (OTAT)**

Answer	Area/Item Reviewed
Yes/No/NA	170. Have KVG(s) (i.e. KG-83s, KGX-93s) been certified by an authorized facility prior to initial use, following maintenance, whenever security control is lost (e.g., KVG found outside of proper storage and unattended) or at least every two years thereafter? [EKMS-1 (Series), Article 1145.b]
Yes/No/NA	171. Have NSA-furnished tamper detection labels been applied to certified/re-certified KVG(s)? [EKMS-1 (Series), Articles 1145.h, 1145.j]
Yes/No/NA	172. Does each certified KVG have a certification tag on the handle that displays the classification of the equipment, "CRYPTO" status, date of certification, command that performed certification, and name/rank of the certifying technician? [EKMS-1 (Series), Article 1145.i]
Yes/No/NA	173. Have legacy fill devices KYK-13/KYX-15s containing electronic key been clearly labeled (tagged/marked) with the identity of the key it contains? [EKMS-1 (Series), Articles 1175.b, 1182]
Yes/No/NA	174. If the account generates, transmits, relays or receives electronic key, are local accounting records being maintained? [EKMS-1 (Series), Articles 1175.b, 1182.d]
Yes/No/NA	175. If the account generates electronic key for OTAR and/or OTAT, have accounting records been retained for a minimum of 60 days following the date of the last entry on the key generation log? [EKMS-1 (Series), Article 1182.d]
Yes/No/NA	176. Does the Manager conduct periodic reviews of OTAT/OTAR local accounting logs? [EKMS-1 (Series), Article 1115.c]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
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**TAB A SECTION 17 - DATA TRANSFER DEVICE (DTD)/SIMPLE KEY LOADER (SKL)/TACTICAL KEY LOADER (TKL)/TALON (TCT) CARDS**

Answer	Area/Item Reviewed
Yes/No/NA	177. <b>DTD only.</b> Is a classification tag attached to the DTD via the lanyard ring to indicate handling requirements when the Crypto Ignition Key (CIK) is <u>not</u> inserted? [EKMS-1 (Series), Annex Z, paragraph 8.f]
Yes/No/NA	178. <b>DTD only.</b> Is a tag attached to the CIK (e.g., via chain) to identify the CIK's classification and serial number? [EKMS-1 (Series), Annex Z, paragraph 9.d]
Yes/No/NA	179. For accounts with a <u>Top Secret CIK</u> , is the CIK removed from the DTD/SKL or TKL, as applicable and returned to TPI storage when authorized Users are not present? [EKMS-1 (Series), Annex Z, Paragraph 10.b, Annex AF, paragraph 4]
Yes/No/NA	180. Is unrestricted access to Supervisory CIKs or the SSO password for the DTD/SKL/TKL or Talon Card, as applicable, limited to only those individuals who are authorized to perform all of the associated privileges? [EKMS-1 (Series), Annex Z, paragraph 11.d, Annex AF paragraph 4.a]
Yes / No	181. Have recipients of electronic key issued to either a DTD/SKL/TKL or signed a local custody document acknowledging receipt of the key? [EKMS-1 (Series), Articles 769.h, 945.e; Annex Z, Paragraph 13.d; Annex AC; EKMS-1B Supp-1A, Figure 8-5]
Yes / No	182. Does the Manager or Supervisory User locally account for all DTD, SKL or TKL CIKs by serial number or quantity, as applicable? [EKMS-1 (Series), Annex Z, paragraphs 7.b, 26; Annex AF paragraph 5.c]
Yes/No/NA	183. Does the Talon Card log reflect the KMID and the device serial number? [EKMS-1(Series), Annex AC]
Yes/No/NA	184. Has the Talon Card keying material (HAIPE FF/EFF Vector set or SCIP FF/EFF Vector set) been rekeyed annually? [EKMS-1 (series) Article 1005.a; Annex AC, paragraph 5.h]
Yes/No/NA	185. For non-watch station environments, are the Supervisory and User CIKs for either the DTD/SKL or TKL, as applicable inventoried whenever the account conducts Fixed-Cycle or Change of Manager inventories? [EKMS-1 (Series), Annex Z, paragraph 14.a; Annex AF paragraph 5.c; Article 1005.a]

Yes/No	186. Is audit trail data reviewed by a Supervisory User/SSO or Manager at a minimum of monthly or when the Audit Trail icon illuminates, and are these reviews recorded in an Audit Review Log and the logs on file for 2 years? [EKMS-1 (Series), Annex Z, Paragraphs 17.c,17.d, 17.f; Annex T]
Yes / No	187. Are DTDs, SKLs or TKLs which are initialized, storing key or issued reinitialized at a minimum of annually? [EKMS-1 Series), Annex Z paragraphs 17.a, 26.a; Annex AF paragraphs 9.c, 15.a; Article 945.c]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 18 - MODERN KEY**

Answer	Area/Item Reviewed
Yes / No	188. Has the Manager and Alternate submitted the proper Central Facility (CF) forms to establish ordering privileges? i.e., CF Form 1205, CF Form 1206? [EKMS-1 (Series), Annex AE, paragraph 3]
Yes / No	189. Has the KOAM, CPA or SA visually inspected the holographic labels associated with INEs upon receipt or when in a tampered condition? [EKMS-1 (series), EKMS-1B Supp-1A, Article 705.e]
Yes/No/NA	190. Are local accounting procedures in place to document HAIPE-TO-HAIPE Key Transfers (HtHKT), if performed? [EKMS-1 (Series), Article 1005.a; Annex AE paragraph 8]
Yes / No	191. Are the Field Tamper Recovery (FTR) CIKS for INEs accounted for in LCMS or the MGC? [EKMS-5 (Series), Article 107]
Yes / No	192. Are FTR's registered in LCMS or the MGC as ALC-1, material type "Equipment"? [EKMS-5 (Series), Article 107]
Yes / No	193. Does the Manager ensure Modern Key filled in End Cryptographic Units (ECUs) is; deleted from the DTD, SKL, or TKL by LE personnel following loading; recorded in LCMS as "Filled in End Equipment"; and reflected on the accounts end of month destruction report? [EKMS-1 (Series), Article 945.c; Annex AE, paragraph 8.c]
Yes / No	194. Does the Manager ensure the same KMID is not used on more than one ECU? [EKMS-1 (Series), Article 945.c; Annex AE, paragraph 8.d]
Yes / No	195. Does the Manager ensure unused Modern Key stored in a DTD, SKL or TKL is reported as destroyed by LE personnel when a device failure or database corruption occurs and is the keying material reflected on the end of the month destruction report? [EKMS-1 (Series), Article 1005.a; Annex AE, paragraph 8.c]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 19 - EMERGENCY PROTECTION OF COMSEC MATERIAL**

Answer	Area/Item Reviewed
Yes / No	196. Has the command prepared an Emergency Action Plan (EAP) for safeguarding COMSEC material in the event of an emergency? [EKMS-1, Annex M, paragraph 2]
Yes / No	197. Are all authorized personnel at the command / facility made aware of the existence of the EAP? [EKMS-1 (Series), Annex M, paragraph 6]
Yes / No	198. For commands, located within the U.S. and its territories, does the Emergency Action Plan (EAP) provide guidance detailing actions to be taken for natural disasters, civil/mob actions and terrorism? [EKMS-1 (Series), Annex M, paragraph 2]
Yes / No	199. Does the Manager maintain the COMSEC portion of the command EAP? [EKMS-1 (Series), Annex M, paragraph 1]
Yes/No/NA	200. For commands located outside U.S. and its territories, does the EAP provide detailed guidance for both natural disasters and hostile actions? [EKMS-1 (Series), Annex M, paragraph 2]
Yes/No/NA	201. When planning for natural disaster, does the EAP provide for: [EKMS-1 (Series), Annex M, paragraph 4]
Yes / No	a. Fire reporting and initial firefighting by assigned personnel?
Yes / No	b. Assignment of on-the-scene responsibility for protecting COMSEC material held?
Yes / No	c. Protecting material when admitting outside emergency personnel into the secure area(s)?
Yes / No	d. Securing or removing classified COMSEC material and evacuating the area(s)?
Yes / No	e. Assessing and reporting probable exposure of classified COMSEC material to unauthorized persons during the emergency?
Yes / No	f. Completing a post-emergency inventory of COMSEC and Controlled Cryptographic Item (CCI) material and reporting any losses or unauthorized exposures to appropriate authorities?
Yes / No	202. Are EAP training exercises conducted yearly to ensure that everyone is familiar with their assigned duties? [EKMS-1 (Series), Annex M, paragraph 6.d]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 20 - EMERGENCY DESTRUCTION PLAN (EDP)**

Section 22 to Tab A is only applicable to commands located outside the U.S. its territories and deployable commands.

Answer	Area/Item Reviewed
Yes/No/NA	203. Does the COMSEC account have an EDP incorporated into their EAP? [EKMS-1 (Series), Annex M, paragraph 2.c]
Yes/No/NA	204. Does the EDP identify personnel assignments and the chain of authority that is authorized to make the determination that emergency destruction is to begin? [EKMS-1 (Series), Annex M, paragraph 5.d; SECNAV-M 5510.36, exhibit 2B]
Yes / No	205. Are devices and facilities for the emergency destruction of COMSEC material readily available and in good working order? [EKMS-1 (Series), Annex M, paragraphs 5.d, 6.c]
Yes/No/NA	206. Are the sensitive pages of KAMs prepared for <b>ready</b> removal (i.e., upper left corner clipped) and are the front edges of the covers/binders marked with a distinctive marking (i.e., red stripe)? [EKMS-1 (series), Annex M, paragraph 5.e]
Yes / No	207. Are the priorities of destruction indicated in the plan? [EKMS-1 (Series), Annex M, paragraph 8]
Yes / No	208. Are EAP/EDP training exercises conducted on an annual basis to ensure that everyone is familiar with their duties? [EKMS-1 (Series), Annex M, paragraph 6]
Yes / No	209. Is the EDP divided into two parts: one for precautionary and one for complete destruction? [EKMS-1 (Series), Annex M, paragraph 7]
Yes / No	210. Does the EDP provide for adequate identification and rapid reporting of the material destroyed, to include the method and extent of destruction and any classified COMSEC material items presumed compromised? [EKMS-1 (Series), Annex M, paragraph 10]
Yes / No	211. Does the EDP stress that accurate reporting of information concerning the extent of the emergency destruction is second in importance only to the destruction of the material itself? [EKMS-1 (Series), Annex M, paragraph 10]
Yes/No/NA	212. Are document sinking bags available in sufficient quantity and in good condition to permit jettison of COMSEC material? ( <b>Note:</b> Surface units only) [EKMS-1 (Series), Annex M, paragraph 9.d]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 21 - COMMANDING OFFICER (CO, OIC, SCMSRO)**  
**RESPONSIBILITIES**

Answer	Area/Item Reviewed
	213. Has the Commanding Officer:
Yes / No	a. appointed, in writing, qualified and responsible individuals as the Account Manager and Alternate Manager(s), Local Elements (Issuing), and, if desired a Clerk. [EKMS-1 (Series) Article 450.b; EKMS-1B Supp-1A, Article 405.d]
Yes / No	b. established, in writing, a list of personnel authorized access to keying material. [EKMS-1 (Series), Article 450.c]
Yes / No	c. ensured that training procedures are adequate to meet operational requirements. [EKMS 1 (Series), Article 450.d; EKMS-1B Supp-1A Article 603.a]
Yes / No	d. ensured that COMSEC incident reports are promptly submitted and action taken as required. [EKMS-1 Series), Article 450.e]
Yes/No/NA	e. extended crypto periods, if necessary, for up to two hours. [EKMS-1 (Series), Article 450.f]
Yes / No	f. ensured that local procedures were established for identification and reporting of any potentially significant changes in life-style, financial status, or disciplinary problems involving personnel authorized access to COMSEC material. [EKMS-1 (Series), Article 450.h; SECNAV M5510.30 Articles 7-2.C, 10-1.2; Exhibit 10A]
Yes / No	g. ensured that spot checks are conducted where COMSEC material is used and stored. [EKMS-1 (Series), Article 450.i]
Yes / No	h. received debriefings from auditors. [EKMS-1 (Series), Article 450.j]
Yes / No	i. ensured that the Emergency Action Plan (EAP)/Emergency Destruction Procedures (EDP) were established and tested. [EKMS-1(Series,) Article 450.m]
Yes / No	j. ensured that the Manager position is a primary duty. When not possible, ensured that assignment of collateral duties to Manager personnel did not interfere with COMSEC responsibilities. [EKMS-1 (Series), Article 450.o]

Yes / No	k. Has the CO, SCMSROs or OIC, as applicable received the EKMS for COs training facilitated by their local COR Audit Team? [EKMS-1 (Series), Article 325.c; CMS for CO's Handbook figure 4, paragraph 3.b]
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Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 22 - MATERIAL ACCOUNTABILITY TRACKING**

Answer	Area/Item Reviewed
Yes / No	<p>214. Randomly select 10 Short Titles from the accounts Accountable Item Summary (EKMS) or Product Inventory (KOA) and verify that these items are either in the Managers vault or have been properly issued or transferred and that the corresponding SF-153 is on file.</p> <p><b>EKMS Accounts Only</b> - Login to LMD - Accounting - Accountable Item Summary - (If desired, change the filter from "all" to "sub-account", LE, etc... ), Highlight the appropriate level (local account, sub-account, LE), click "Select", Highlight one or more Short Titles, Select "Detailed Data", Select the Item, Click on Material History, for any item not reflected as "On-Hand", Select "View Transaction" and have the Manager pull the corresponding SF-153 and verify for completeness.</p> <p><b>KOA only</b>- Login to the MGC - Products - Inventory - Product Inventory - the "ALL Products" tab should be highlighted - In the filter block under "All Products" type "Issued", "Open Storage" or "Transfer Pending", as desired. Ask the Manager to see the corresponding SF-153 and verify completeness with all required signatures.</p>
Yes / No	<p>215. Randomly select 10 Short Titles held by the account with regular, monthly supersession and request the Manager produce the destruction reports reflecting the Short Titles selected for the previous month and verify that the working copies were signed by a minimum of two personnel and that the combined reports for ALC 1, 2, 6 and ALC 4, 7 material reflect three signatures and that the date of report and TN's match those in MGC. [EKMS-1 (Series), Article 1005.a.1; Annex T Para 2]</p>

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 23 - CLIENT PLATFORM ADMINISTRATOR (CPA), CLIENT PLATFORM SECURITY OFFICER (CPSO), TOKEN SECURITY OFFICER (TSO) RESPONSIBILITIES. THIS SECTION IS ONLY APPLICABLE TO KOA'S.**

Answer	Area/Item Reviewed
Yes/No/NA	216. Has the CPA performed and reported compliance with NSA-directed mandatory software upgrades or IAVA patches specific to the KMI system, when approved by NCMS, the Marine Corps Tactical Systems Support Activity (MCTSSA) (for USMC accounts) or COGARD C4ITSC (for USCG accounts) ? [EKMS-1B Supp-1A, Articles 219.b]
Yes/No/NA	217. Has the CPA established and maintains unique Microsoft Windows user-accounts and permissions on the Client Host?  <b>Note:</b> To verify, have the CPA logon go to the MGC then go to - Start - Settings - Control Panel - Administrative Tools - Computer Management - Local User Groups. [EKMS-1B Supp-1A, Articles 501.e]
Yes/No/NA	218. Are full system backups accounted for in the COMSEC Material Control System (CMCS) and reflected in the MGCs Product Inventory. [EKMS-1B Supp-1A, Articles 501.e, 805.c]
Yes/No/NA	219. Are only database backups and AKPREINIT drives less than 7 calendar days old used to perform a system recovery? [EKMS 1B Supp-1A, Articles 501.e, 903.b]
Yes/No/NA	220. Has the CPSO sent an exact copy of archived audit data to the Central Services Node (CSN) within 30 days of the archive? [EKMS 1B Supp-1A, Articles 501.f, 903.a]
Yes/No/NA	221. Has the CPSO; exported the AKP Diagnostic History Log (DHL) to the MGC every 6 months or more frequently; reviewed the DHL for anomalies and documented the review? [EKMS-1B Supp-1A, Articles 501.f, 903.a]
Yes/No/NA	222. Does the CPSO verify the BIOS password in conjunction with each archive of audit data? [EKMS-1B Supp-1A, Articles 501.f, 903.a]
Yes/No/NA	223. Does the TSO conduct and document a monthly audit trail reviews on active KOV-29s? [EKMS-1B Supp-1A, Articles 411.c, 805.c]
Yes/No/NA	224. Has the TSO created and issued a new password when a new Token SO is appointed? [EKMS-1B Supp-1A, Articles 215.a, 805.c]
Yes/No/NA	225. Does the TSO have a Compromise Recovery Plan (CRP) for KOV-29's associated with the Token SO password on file? [EKMS-1B Supp-1A, Article 215.a]

Yes/No/NA	226. Does the CRP discuss lost token to include revocation procedures? [EKMS-1B Supp-1A, Article 215.a]
Yes/No/NA	227. Is the TSO the TSO for their own token? [EKMS-1B Supp-1A Articles 103.s, 305.n, 411.c, 805.b]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**TAB A SECTION 24 - COMSEC MANAGEMENT WORKSTATION DATA MANAGEMENT  
DEVICE POWER STATION (CMWS/DMD PS)**

Yes/No/NA	228. Do personnel with access to the CMWS/DMD PS possess a minimum SECRET security clearance (current within 10 years)? [EKMS-1 (Series), Annex AH paragraphs 4, 5, and 11]
Yes/No/NA	229. Is the CMWS/DMD PS compliant with SSC-LANT issued Information Security Vulnerability Assessment (IAVA) patches? [EKMS-1 (Series), Annex AH paragraph 11]
Yes/No/NA	230. Is use of the CMWS/DMD PS restricted to "Black Key" only? [EKMS-1 (Series), Annex AH, paragraph 3.b]
Yes/No/NA	231. Is the CMWS/DMD PS addressed in the Emergency Action and/or Emergency Destruction Plan (EAP/ EDP), as applicable? [EKMS-1 (Series), Annex M; Annex AH, paragraph 10]
Yes/No/NA	232. Is there evidence of any unauthorized connections to the CMWS/DMD PS? [EKMS-1 (Series) Annex AH paragraphs 3.d, 11]
Yes/No/NA	233. Is there evidence of unauthorized access (including failure to properly log off the CMWS/DMD PS when not in use? [EKMS-1 (Series) Annex AH, paragraphs 3.c, 5.h, 11.a]
Yes/No/NA	234. Does each CMWS/DMD PS user have a unique user ID/password? [EKMS-1 (Series), Annex AH paragraphs 5, 11]
Yes/No/NA	235. Are CMWS/DMD PS user passwords changed every 90 days? [EKMS-1 (Series), Annex AH paragraph 5.f]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN  
REPORTED TO THE COMMANDING OFFICER.**

**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 1 - SECURITY**

Answer	Area/Item Reviewed
Yes / No	1. Are adequate visitor controls enforced to ensure that access to classified information is given only to visitors who possess the proper identification, proper security clearance, and NEED TO KNOW? [SECNAV-M 5510.30A, Article 11-1 paragraph 2,3; SECNAV-M 5510.36, Article 7-11; EKMS-1 (Series), Article 550.e]
Yes / No	2. Is a visitor's register maintained and retained for one year? (consecutive years in one book authorized) [EKMS-1 (Series), Article 550.e, Annex T]
Yes / No	3. Is the COMSEC Facility or space outwardly identified only as a "RESTRICTED AREA"? [OPNAVINST 5530.14(series), Articles 210.g and 218.a; MCO 5530.14 (Series) Article 3004]
Yes/No/NA	4. <b>For USMC units only.</b> Does the "Restricted Area" sign meet the criteria set forth in MCO 5530.14? [MCO 5530.14 (Series), Article 3004]
Yes / No	5. Is unescorted access limited to individuals whose duties require such access and who meet access requirements? [EKMS-1 (Series), Article 505]
Yes / No	6. Are the names of individuals with regular duty assignments in the COMSEC facility on a formal access list? [EKMS-1 (Series), Article 550.e]
Yes / No	(a) Are personnel whose duties require access to COMSEC material formally authorized in writing by the CO/OIC/SCMSRO? [EKMS-1 (Series), Article 505.d]
Yes / No	(b) If personnel are authorized access to COMSEC material on an access list, has the list been updated annually or whenever the status of an individual changed? [EKMS-1 (Series), Article 505.d]
Yes / No	7. Are users of COMSEC material properly cleared at least as high as the level of classified material handled? [EKMS-1 (Series), Article 505.a]
Yes / No	8. Is security clearance data of personnel whose duties require access to COMSEC material maintained by the Command Security Manager in JPAS? [SECNAV-M 5510.30(series), Article 9-1 paragraph 10]  <b>Note:</b> Clearance data for USMC and USCG personnel is documented in the Management Manpower System (MMS), USCG Direct Access or CG Business Intelligence (CGBI).

**LOCAL ELEMENT (ISSUING AND USING)**

Yes / No	9. If keying material is held/used by LE personnel for SCI/SI circuits, are LE personnel with access to the keying material or device storing the keying material SCI eligible and indoctrinated [EKMS-1 (Series), Article 414.d]
Yes / No	10. Is the exterior of each COMSEC security container free of markings which reveal the classification or description of the material stored in the container? [SECNAV-M 5510.36, Article 10-1, paragraph 3]
Yes / No	11. Are applicable security controls (e.g., guards and alarms) in place? [SECNAV-M 5510.36, Chapter 10; EKMS-1 (Series), Article 520.a; MCO 5530.14 (Series), 3003]
Yes / No	12. Do storage containers meet the minimum security requirements for the highest classification of keying material stored therein? [EKMS-1 (Series), Article 520.d; SECNAV-M 5510.36, Chapter 10]
Yes / No	13. Is a Maintenance Record for Security Containers and Vault Doors (Optional Form 89) maintained for each security container, used to record damages, repairs or alternations and retained within the container? EKMS-1 (Series) Article 520.b; SECNAV-M5510.36 Article 10-15]
Yes / No	14. If Top Secret material is held by the LE, do storage containers conform to the two person integrity (TPI) requirements for the protection of Top Secret COMSEC keying material? [EKMS-1 (Series), Article 520.e]
Yes / No	15. Is a Security Container Information Form (SF 700) maintained for each lock combination and placed in each COMSEC security container? [SECNAV-M 5510.36, Article 10-12, paragraph 3; EKMS-1 (Series), Article 520.b]
Yes / No	16. Is a Security Container Check Sheet (SF-702) maintained for each lock combination of a COMSEC storage container? [SECNAV-M 5510.36, Article 7-10; EKMS-1 (Series), Article 520.b]
Yes / No	17. Are completed SF-702's retained for 30 days beyond the last date recorded? [EKMS-1 (Series) Article 520.b, Annex T paragraph 2.a; SECNAV-M5510.36 Article 7.11]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes / No	18. Except in an emergency, are combinations to security containers used by the LE restricted to properly cleared and authorized LE personnel only? [EKMS-1 (Series), Article 515.c]
Yes/No/NA	19. If the COMSEC facility is <b>continuously</b> manned, are security checks conducted at least once every 24 hours and documented on a SF-701? [EKMS-1 (Series), Article 550.d]
Yes/No/NA	20. In a <b>non-continuously</b> manned COMSEC facility, are security checks conducted prior to departure of the last person and documented on an Activity Security Checklist (SF-701)? [EKMS-1 (Series), Article 550.d; SECNAV-M 5510.36, Article 7-11]
Yes / No	21. Are completed SF-701s retained for 30 days beyond the last date recorded [EKMS-1 (Series) Article 550.d, Annex T paragraph 2; SECNAV-M5510.36 Article 7.11]
Yes / No	22. If a COMSEC facility in a high risk area is unmanned for periods greater than 24 hours, is a check conducted at least once every 24 hours and documented on a SF-701 to ensure that all doors are locked and that there have been no attempts at forceful entry. [EKMS-1 (Series), Article 550.d]
Yes / No	23. Are combinations & associated SF-700s for TPI containers completed, stored, and safeguarded to prevent a single person from having access to both combinations? [EKMS-1 (Series), Article 510.c]
Yes / No	24. Are SF-700s for COMSEC storage containers maintained in an approved security container (other than the container where the COMSEC material is stored), and available to duty personnel for emergency use? [EKMS-1 (Series), Article 515.e]
	25. Are SF-700s protected as follows: [EKMS-1 (Series), Article 515.f]
Yes / No	a. Individually wrapped in aluminum foil and protectively packaged in an SF-700 envelope?
Yes / No	b. Are SF-700s sealed using transparent lamination or plastic tape?
Yes / No	c. Names of individuals authorized access to the combinations recorded on the front of the envelope?
Yes / No	d. Proper classification and downgrading instructions on envelope?

**LOCAL ELEMENT (ISSUING AND USING)**

Yes / No	e. Are the envelopes inspected monthly to ensure they have not been tampered with and the inspection findings documented on a locally generated log?
Yes / No	f. Are combinations to COMSEC containers changed when initially placed in use, taken out of service, at least biennially, upon transfer/reassignment of personnel who have access, or when compromised? EKMS-1 (Series), Article 515.b]
Yes / No	26. Is COMSEC material stored separately from other classified material (e.g. separate container or drawer to facilitate emergency removal or destruction), and segregated by status, type and classification? [EKMS-1 (Series), Article 520.a; Annex M, paragraph 3]
Yes / No	27. When not being used and under the direct control of authorized personnel, is all COMSEC material properly stored? [EKMS-1 (Series), Article 520.a]
Yes / No	28. Are classified COMSEC files, records and logs properly marked with the highest classification level of its contents and annotated with the following statement? [EKMS-1 (Series), Article 715.d]  "Derived from: EKMS 1 (series) "Declassify on: DD September YYYY"
Yes/No/NA	29. If contractor personnel are assigned to and have access to COMSEC material at a DON activity, does the command have a valid (not-expired) DD-254 and does Block 10 indicate the access is required? [EKMS-1 (Series) Article 505.g]
Yes/No/NA	30. Are in-use In-Line Network Encryptors (INEs) such as KG-175s, KG-250s, or KIV-7Ms compliant with NSA directed mandatory software upgrades and if not, has DIRNSA or NCF issued and official waiver, in writing? [EKMS-1 (Series) Article 945.c]  Randomly select devices issued to LEs and verify it is compliant with the latest version authorized and directed by NCMS via ALCOM message. Record the below information for each device verified.  Short Title    Serial Number    LE

**LOCAL ELEMENT (ISSUING AND USING)**

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION  
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**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 2 - LOCAL ELEMENT RESPONSIBILITIES**

Answer	Area/Item Reviewed
Yes/No/NA	31. <b>LE Issuing only:</b> Are Alternate LE issuing personnel actively involved in the performance of LE issuing duties and ready at <u>all</u> times to manage the LE's COMSEC requirements in the absence of the LE Issuing? [EKMS-1 (Series), Article 414]
Yes/No/NA	32. <b>LE Issuing only:</b> Does the Primary (Issuing) LE provide the CO/OIC, SCMSRO and other interested personnel with general information about new or revised EKMS policies or procedures? [EKMS-1 (Series), Article 465.a]
Yes/No/NA	33. <b>LE Issuing only:</b> Does the (Issuing) LE maintain written instructions issued by the supporting COMSEC account governing the handling, accountability, and disposition of COMSEC material? [EKMS-1 (Series), Article 465.b]
Yes/No/NA	34. <b>LE Issuing only:</b> Does the LE provide written guidance concerning accountability, handling, and disposition of COMSEC material to all LE (Using) personnel [EKMS-1 (Series), Article 465.c]
Yes/No/NA	35. Have all USN (military) LE personnel completed the applicable qualification level of the (NAVEDTRA 43462 series) Personnel Qualification Standards (PQS)? [EKMS-1 (Series), Articles 312, 410]
Yes / No	36. Does the LE issuing conduct monthly training with all personnel handling COMSEC material to ensure they are adhering to proper EKMS procedures and document training in accordance with command directives? (EKMS-1 (Series), Article 465.c; Annex T paragraph 2]
	37. Are or have;
Yes / No	a. LE personnel authorized access to keying material in writing
Yes / No	b. Completed a SD Form 572 and is such retained for 90 days from the date the individual no longer requires access to COMSEC material (is reassigned, transfers, etc..)?
Yes/No/NA	38. If the (Issuing) LE has LEs which are responsible to a CO other than the Primary (Issuing) LE's CO, has the Primary (Issuing) LE ensured that Letters of Agreement were exchanged? [EKMS-1 (Series), Article 445, Annex L]

**LOCAL ELEMENT (ISSUING AND USING)**

	39. Does the Letter of Agreement address the minimum issues: [EKMS-1 (Series), Annex L]
Yes / No	a. Compliance with locally prepared COMSEC instructions?
Yes / No	b. COMSEC Incident and PDS documentation and reporting procedures?
Yes / No	c. Responsibility for certifying clearance/access?
Yes / No	d. The issuance of COMSEC material in electronic Form?
Yes / No	e. Notification of Local Element Appointments?
Yes / No	f. Storage/Facility Clearance?
Yes / No	40. Is a copy of the signed, Letter of Agreement held by the LE and retained as required? [EKMS-1 (Series), Article 709.c, Annex T]
Yes / No	41. <b>LE Issuing only.</b> Does the Primary (Issuing) LE ensure that all cryptographic maintenance personnel that perform maintenance within his/her account, have DD 1435(s) documented and on file? [EKMS 5 (Series), Article 111]
Yes / No	42. <b>LE Issuing only.</b> Has a formal Letter of Memorandum of Appointment (LOA/MOA) been completed and signed by the CO for the Primary (Issuing) LE and Alternate(s)? [EKMS-1 (Series), Article 418; Annex J]
Yes / No	43. <b>LE Issuing only.</b> Does the Primary (Issuing) LE and Alternates meet the minimum designation requirements specified in EKMS-1 (Series)? [EKMS-1 (Series), Article 414]
Yes / No	44. <b>LE Issuing only.</b> Has the LOA/MOA been forwarded to the parent account EKMS Manager and a copy retained on file for a minimum of two years following the relief of the Primary (Issuing) LE and/or Alternates? [EKMS-1 (Series), Article 418, Annexes J and T]
Yes / No	45. <b>LE Issuing only.</b> Does the (Issuing) LE maintain required files as directed by the parent account EKMS Manager? [EKMS-1 (Series), Article 703]
Yes / No	46. <b>For external LE's supported through a LOA only.</b> Are inventories completed for Change of Command, (OIC) or LE Issuing (as applicable?) [EKMS-1 (Series) Articles 450, 465, 766.a, 1005.a.22]
Yes / No	47. Do LE personnel have access to written guidance (provided by the account Manager) concerning the proper handling, accountability, and disposition of COMSEC material? [EKMS-1 (series), Article 455.e]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes / No	48. <b>For external LE's supported through a LOA only.:</b> Does the Commanding Officer or OIC, as applicable conduct a minimum of (1) spot check per quarter within their organization? [EKMS-1 (Series) Articles 450.i, 465]
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Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION  
TAKEN REPORTED TO THE COMMANDING OFFICER.**

**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 3 - LOCAL CUSTODY FILE AND LE INVENTORIES**

Answer	Area/Item Reviewed
Yes/No/NA	49. <b>For LE Issuing only.</b> Does the LE Issuing maintain an up to date Accountable Item (A/I) Summary provided by the parent account COMSEC Manager? [EKMS-1 (Series), Article 763.c]
Yes / No	50. Does the LE maintain a local custody file which contains signed, effective local custody documents for each item of COMSEC material issued from the supporting account? [EKMS-1 (Series), Article 712, 945.e]
Yes/No/NA	51. <b>For LE Issuing only.</b> Do local custody documents (i.e., SF 153, or locally prepared equivalent), contain the <u>minimum</u> required information? [EKMS-1 (Series), Article 769.c]
Yes / No	52. Are local custody documents being maintained on file for 2 years after supersession or return of the issue material? [EKMS-1 (Series), Annex T, paragraph 2]
Yes / No	53. Are inactive files/records labeled to reflect the authorized date of destruction? [EKMS-1 (Series), Article 715.c]
Yes/No/NA	54. <b>For LE Using only.</b> If continuously manned, is a watch-to-watch inventory maintained and lists all COMSEC material held (including accountability for resealed segments and CIKS for DTDs, SKLs or TKLs issued)? [EKMS-1 (Series), Article 775.d), Annex Z, paragraph 14.b, Annex AD paragraph 17.b]
Yes/No/NA	55. <b>For LE Using only.</b> Is material reflected on the watch-to-watch inventory listed by short title, edition, accounting number (if applicable) and quantity? [EKMS-1 (Series), Article 775.d, 1005.a]
Yes/No/NA	56. <b>For LE Using only.</b> Has the inventory been properly signed and dated for each change of watch? [EKMS-1 (Series), Article 775.d, 1005.a]
Yes/No/NA	57. <b>For LE Using only.</b> Are watch-to-watch inventories being retained for 30 days beyond the last recorded date on the inventory? [EKMS-1 (Series), Annex T, paragraph j]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes/No/NA	58. Are inventories for a non-watch station environment conducted and recorded on the local custody issue document or a watch-to-watch inventory in accordance with EKMS-1 (Series)? [EKMS-1 (Series), Article 778.c, 1005.a]
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Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION  
TAKEN REPORTED TO THE COMMANDING OFFICER.**

**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 4 - PAGE CHECKS CORRECTIONS & AMENDMENTS**

	59. Are page checks being accomplished as follows: [EKMS-1 (Series), Article 775.e, 778.d; Annex Z]
Yes/No/NA	a. <u>Unsealed COMSEC keying material</u> . Upon initial receipt; during account and watch inventories; and prior to destruction?
Yes/No/NA	b. <u>Resealed keying material</u> . During Fixed-Cycle and Change of EKMS/KOA Manager inventories; and upon destruction?
Yes/No/NA	c. <u>Unsealed maintenance and operating manuals</u> . Upon initial receipt; after entry of an amendment which changes pages; during Fixed-Cycle and Change of EKMS/KOA Manager inventories; and upon destruction?
Yes/No/NA	d. <u>Equipment</u> . Upon initial receipt (uncrating); during Fixed-Cycle and Change of EKMS/KOA Manager inventories; during watch inventories; and upon destruction?
Yes/No/NA	60. Are page check discrepancies being reported? [EKMS-1, Articles 757.h, 945.e, 1015; Annex V]
Yes/No/NA	61. Are corrections to publications made with black or blue-black ink only? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	62. Is each pen and ink correction identified by writing the correction number in the margin opposite the correction? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	63. Has the individual entering a correction signed and dated the ROA page of the publication certifying that he/she has entered the change? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	64. Has the individual who verified proper entry of the correction initialed the entry on the Record of Amendments page? [EKMS-1 (Series), Article 787.g]
Yes/No/NA	65. Have both the person entering the correction and the person verifying the correction conducted a page check of the publication, and recorded this on the Record of Page checks page? [EKMS-1 (Series), Article 787.g]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

**DISCREPANCIES MUST BE CORRECTED IMMEDIATELY AND ACTION TAKEN**

**LOCAL ELEMENT (ISSUING AND USING)**

**REPORTED TO THE COMMANDING OFFICER.**

**TAB B SECTION 5 - RESEALING/STATUS INFORMATION**

Answer	Area/Item Reviewed
Yes/No/NA	66. If keying material was unintentionally removed from its protective canister, is the following recorded on the associated disposition record: [EKMS-1(Series), Articles 772.d, 1005.a, 945.e]
Yes / No	a. A statement that the keytape segment(s) were unintentionally removed?
Yes / No	b. The date of the unintentional removal?
Yes / No	c. Identity of the keytape segment(s) actually removed?
Yes / No	d. Signatures of the individuals who removed the key?
Yes/No/NA	67. Are users provided and maintain up-to-date status information to ensure usage and destruction occurs when required by the Controlling Authority or Command Authority, as applicable? [EKMS-1 (Series) Articles 465, 540, 790, 945, and 1005]
Yes/No/NA	68. Are the effective and superseded dates annotated on all COMSEC; keying material, accountable manuals and publications in accordance with EKMS-1? [EKMS-1 (Series), Articles 760.a, 775.g]
Yes/No/NA	69. Are key tape canisters free of <u>locally applied</u> labels and stickers which may conceal attempted penetration or prevent inspection of protective packaging? [EKMS-1 (Series), Articles 760.e, 760.f, 945.e]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

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**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 6 - ROUTINE DESTRUCTION**

Answer	Area/Item Reviewed
Yes / No	70. Are local destruction records being completed to document destruction of all Top Secret and Secret COMSEC material and all AL1 and AL2 material regardless of its classification? [EKMS-1 (Series), Article 736.b, Article 945.e]
Yes / No	71. Do local destruction records for segmented COMSEC material contain the following: [EKMS-1 (Series), Chapter 7 fig 7-1, 7-2, 7-3, Article 1005.a]
Yes / No	a. Short title and complete accounting data?
Yes / No	b. Date of destruction?
Yes / No	c. Signatures of the two individuals conducting destruction?
Yes / No	d. Marked "CONFIDENTIAL (When filled in)"?
Yes / No	e. Classification and Declassification markings? Derived from: EKMS-1 (Series) Declassify on: DD Month YYYY
Yes / No	72. Is <u>only</u> one copy of a short title, edition, and accounting number recorded on the CMS 25 or locally prepared segmented destruction document? [EKMS-1 (Series), Figure 7-1-3, paragraph 8 and Article 1005.a]
Yes / No	73. Is routine destruction of COMSEC material performed in accordance with the methods prescribed in [EKMS-1 (Series), Articles 540, 945.e]
Yes / No	74. Is destruction of key issued either physically or in electronic form (DTD, SKL, TKL) being completed within the prescribed timeframes (EKMS-1 (Series), Articles 540, 778.c, 945.e]
Yes / No	75. Can Local Element personnel demonstrate the proper procedures for conducting routine destruction of COMSEC material? [EKMS-1 (Series), Articles 540, 790; Annex Z paragraph 15.b, Annex AF paragraph 8.f]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes/No/NA	76. Is modern key loaded in an In-Line Network Encryptor (INE) deleted from the DTD/SKL, and reported as filled in end equipment within 12 hours of loading? [EKMS-1 (Series), Annex AE, paragraph 8.c; Article 1005.a]
Yes/No/NA	77. If the LE has experienced a corrupted/failed DTD, SKL, or TKL storing modern key, did the LE submit a manual SF-153 destruction report to the LE Issuing/supporting COMSEC Account Manager, as applicable? [EKMS-1 (Series), Annex AE paragraph 8.c; Article 1005.a]

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_

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LOCAL ELEMENT (ISSUING AND USING)

TAB B SECTION 7

OVER-THE-AIR-REKEY/OVER-THE-AIR TRANSFER, DATA TRANSFER DEVICE (DTD)/SIMPLE KEY LOADER (SKL)/TACTICAL KEY LOADER (TKL)/TALON CARDS (TCT)

Answer	Area/Item Reviewed
Yes/No/NA	78. If held, does the certified KVG (KG-83/KGV-93) have a certification tag on the handle that displays the classification of the equipment, "CRYPTO" status, date of certification, command that performed certification, and name/rank of the certifying technician? [EKMS-1 (Series), Article 1145.i]
Yes/No/NA	79. If KG-83s or KG-93s are held by the LE, has NSA-furnished tamper detection labels been applied and remain affixed to certified/ recertified KG-83 or KG-93s? [EKMS-1 (Series), Article 1145]
Yes/No/NA	80. If the LE has a KOK-23, are PINS changed every 90 days or more frequently, when required? [DOC 027-09 paragraph 9; EKMS-1 (Series) Article 1005.a]
Yes/No/NA	81. If the LE generates, receives, relays, or transmits electronic key for OTAD, OTAR or OTAT, are accounting records used and maintained for a minimum of 60 days following the date of the last entry? [EKMS-1 (Series), Articles 1005.a, 1175.b, 1182.d]
Yes/No/NA	82. <b>For DTDs only.</b> Is a classification tag attached to the DTD via the lanyard ring to indicate handling requirements when the Crypto Ignition Key (CIK) is <u>not</u> inserted? [EKMS-1 (Series), Annex Z, paragraph 8.f]
Yes/No/NA	83. <b>For DTDs only.</b> Is a tag attached to the CIK via chain) to identify the CIK's classification and serial number? [EKMS-1 (Series), Annex Z, paragraph 9.d]
Yes/No/NA	84. For accounts with a <u>Top Secret</u> CIK, is the CIK removed from the DTD/SKL or TKL, as applicable and returned to TPI storage when authorized Users are not present? [EKMS-1 (Series), Annex Z, Paragraph 10.b; Annex AF, paragraph 4]
Yes/No/NA	85. Is unrestricted access to Supervisory CIKs or the SSO password for the DTD/SKL/TKL or Talon Card, limited to only those individuals who are authorized to perform all of the associated privileges? [EKMS-1 (Series), Annex Z, paragraph 11.d; Annex AF paragraph 4.a]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes/No/NA	86. Have recipients of electronic key issued to either a DTD/SKL/TKL or signed a local custody document acknowledging receipt of the key? [EKMS-1 (Series), Articles 769.h, 945.e; Annex Z, paragraph 13.d; Annex AC; EKMS-1B Supp-1A, Figure 8-5]
Yes/No/NA	87. Does the Talon Card log reflect the KMID and the device serial number? [EKMS-1 (Series), Annex AC]
Yes/No/NA	88. Has the Talon Card keying material (HAIPE FF/EFF Vector set or SCIP FF/EFF Vector set) been rekeyed annually? [EKMS-1 (Series) Article 1005.a; Annex AC, paragraph 5.h]
Yes/No/NA	89. For <b>non-watch station environments</b> , are the Supervisory and User CIKs for either the DTD/SKL or TKL, as applicable inventoried by serial number (DTD) or quantity/association (SKL/TKL) when the security container the devices are stored in is opened and an inventory conducted? [EKMS-1 (Series), Articles 778.c, 1005.a; Annex Z, paragraph 14.a; Annex AF paragraph 5.c]
Yes/No/NA	90. For <b>watch station</b> environments are CIKS for the DTD, SKL or TKL inventoried by serial number (DTD) or quantity/association (SKL/TKL) verified whenever watch personnel change? [EKMS-1 (Series), Annex Z, paragraph 14.b; Annex AF paragraphs 4, 5, and 8.f; Article 1005.a]
Yes/No/NA	91. Are DTDs, SKLs or TKLs which are initialized, storing key or issued reinitialized at a minimum of annually? [EKMS-1 (Series) Annex Z paragraphs 17.a, 26.a; Annex AF paragraphs 9.c, 15.a] <b>N/A if a SSO or Supervisory User is not appointed at the LE level</b>
Yes/No/NA	92. Are DTDs, SKLs or TKLs inspected weekly to detect any breach in the casing? [EKMS-1 (Series) Annex Z paragraph 21, Annex AF paragraph 4.h; DOC 024-12 Paragraph 13]
Yes/No/NA	93. Is DTD, SKL or TKL audit trail data reviewed by the COMSEC Account Manager, Supervisory User or SSO, as applicable at a minimum of monthly or more frequently when required and are these reviews recorded in an Audit Review Log? [EKMS-1 (Series), Annex Z, paragraph 17.c, Annex AF paragraph 9.b]
Yes/No/NA	94. Is the Audit Review Log retained at least two years? [EKMS-1 (Series), Annex Z, paragraph 17.f] <b>N/A if reviews are conducted at the Account Level.</b>

**LOCAL ELEMENT (ISSUING AND USING)**

Commanding Officer: \_\_\_\_\_ Manager: \_\_\_\_\_  
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**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 8 - MANAGEMENT AND USE OF MODERN KEY & COMSEC  
MANAGEMENT WORKSTATION DATA MANAGEMENT DEVICE POWER STATIONS  
(CMWS/DMD PS)**

Answer	Area/Item Reviewed
Yes / No	95. Do LE personnel ensure Modern Key filled in End Cryptographic Units (ECUs) is deleted from the DTD, SKL, or TKL following loading and reported to the COMSEC Account Manager as filled in end equipment? [EKMS-1 (Series), Article 1005.a; Annex AE, paragraph 8.c]
Yes / No	96. Do LE personnel ensure the same KMID for Modern Key is not loaded in more than one ECU? [EKMS-1 (Series), Article 945.c; Annex AE, paragraph 8.d]
Yes/No/NA	97. Are local accounting procedures in place to document HAIPE-TO-HAIPE Key Transfers (HtHKT), if performed? [EKMS-1 (Series), Articles 1182, 1005.a; Annex AE, paragraph 8]
Yes / No	98. Does the LE have a labeling procedure, matrix or make use of the NCMS Modern Key Tracking tool to ensure INE's are not operating on expired key? [EKMS-1 (Series) Annex AE, paragraph 8.b]
Yes / No	99. Do LE personnel submit a destruction report to the COMSEC Account Manager when a DTD, SKL or TKL failure occurs [EKMS-1 (Series), Article 1005.a; Annex AE, paragraph 8.c]
Yes/No/NA	100. Are personnel with access to the CMWS/DMD PS properly cleared? [EKMS-1 (Series), Article 945.e; Annex AH paragraphs 4, 5, and 11]
Yes/No/NA	101. Is the CMWS/DMD PS compliant with SSC-LANT issued Information Security Vulnerability Assessment (IAVA) patches? [EKMS-1 (Series) Annex AH paragraph 11]
Yes/No/NA	102. Is use of the CMWS/DMD PS restricted to "Black Key" only? [EKMS-1 (Series), Annex AH, paragraph 3.b]
Yes/No/NA	103. Is the CMWS/DMD PS addressed in the Emergency Action and/or Emergency Destruction Plan (EAP/EDP), as applicable? [EKMS-1 (Series), Annex M; Annex AH, paragraph 10]
Yes/No/NA	104. Is there evidence of any unauthorized connections to the CMWS/DMD PS? [EKMS-1 (Series) Annex AH paragraphs 3.d, 11]

**LOCAL ELEMENT (ISSUING AND USING)**

Yes/No/NA	105. Is there evidence of unauthorized access (including failure to properly log off the CMWS/DMD PS when not in use? [EKMS-1 (Series) Annex AH, paragraphs 3.c, 5.h, 11.a]
Yes/No/NA	106. Does each CMWS/DMD PS user have a unique user ID/password? [EKMS-1 (Series), Annex AH paragraphs 5, 11]
Yes/No/NA	107. Are CMWS/DMD PS user passwords changed every 90 days? [EKMS-1 (Series), Annex AH paragraph 5.f]

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**LOCAL ELEMENT (ISSUING AND USING)**

**TAB B SECTION 9 - EMERGENCY ACTION/EMERGENCY DESTRUCTION PLAN**  
**(EAP/EDP)**

Answer	Area/Item Reviewed
Yes / No	108. Do all COMSEC users have access to the COMSEC portion of the command's EAP? [EKMS-1 (Series), Article 455.o, Annex M, paragraphs 2,6]
Yes / No	109. Are EAP training exercises conducted annually to ensure that everyone is familiar with their assigned duties? [EKMS-1 (Series), Annex M, paragraph 6.d]
Yes / No	110. For OCONUS commands and deployable commands, does the EAP provide detailed guidance for both natural disasters and hostile actions and include Emergency Destruction Procedures (EDP)? [EKMS-1 (Series), Annex M, paragraph 2.c]
	111. When planning for natural disasters, does the EAP provide for: [EKMS-1 (Series), Annex M, paragraph 4]
Yes / No	a. Fire reporting and initial firefighting by assigned personnel?
Yes / No	b. Assignment of on-the-scene responsibility for protecting COMSEC material held?
Yes / No	c. Protecting material when admitting outside fire fighters into the secure area(s)?
Yes / No	d. Securing or removing classified COMSEC material and evacuating the area(s)?
Yes / No	e. Assessing and reporting probable exposure of classified COMSEC material to unauthorized persons during the emergency?
Yes / No	f. Completing a post-emergency inventory of COMSEC material and reporting any losses or unauthorized exposures to appropriate authorities?
<b>The Emergency Destruction questions which follow are only applicable to commands located outside the U.S., its territories and deployable units unless required by local, ISIC or TYCOM directives.</b>	
Yes / No	112. Does the LE have an Emergency Destruction Plan (EDP) incorporated into its EAP? [EKMS-1 (Series), Annex M, paragraph 2.c]
Yes / No	113. Does the EDP identify personnel assignments and the chain of authority authorized to make the determination that emergency destruction is to begin? [EKMS-1 (Series), Annex M, paragraph 5.d]
Yes / No	114. Are devices and facilities for the emergency destruction of COMSEC material readily available and in

**LOCAL ELEMENT (ISSUING AND USING)**

	good working order? [EKMS-1 (Series), Annex M, paragraph 5.d and 6.c]
Yes/No/NA	115. Are the sensitive pages of KAMs prepared for <b>ready</b> removal (i.e., upper left corner clipped), and are the front edges of the covers/binders marked with a distinctive marking (i.e., red stripe)? [EKMS-1 (Series), Annex M, paragraph 5.e]
Yes / No	116. Are the priorities of destruction indicated in the plan? [EKMS-1 (Series), Annex M, paragraph 8]
Yes / No	117. Is the EDP divided into two parts: one for precautionary and one for complete destruction? [EKMS-1 (Series), Annex M, paragraph 7]
Yes / No	118. Does the EDP provide for the adequate identification and rapid reporting of the material destroyed, to include the method and extent of destruction? [EKMS-1 (Series), Annex M, paragraph 10]
Yes / No	119. Does the EDP stress that accurate information concerning the extent of emergency destruction is second in importance only to the destruction of the material itself? [EKMS-1 (Series), Annex M, paragraph 10.a]
Yes/No/NA	120. (Surface units only) Are document sinking bags available in sufficient quantity and in good condition to permit jettison of COMSEC material? [EKMS-1 (Series), Annex M, paragraph 9.d]
Yes/No/NA	121. 121. If the user deploys in aircraft, does the plan cover specific actions to be followed in aircraft? [EKMS-1 (Series), Annex M, paragraph 9.c]

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