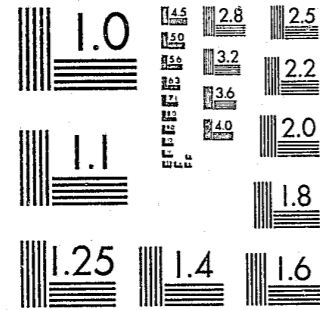


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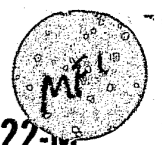
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National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

10/11/84

DoD 5220.22-1



**INDUSTRIAL  
SECURITY  
MANUAL FOR  
SAFEGUARDING  
CLASSIFIED  
INFORMATION**

94723



DEPARTMENT OF DEFENSE

MARCH 1984

94723



DEFENSE INVESTIGATIVE SERVICE  
1900 HALF STREET, S.W.  
WASHINGTON, D.C. 20324

DoD 5220.22-M


March 1, 1984

FOREWORD

This manual is issued under the directional authority of, and in accordance with, Department of Defense Directive 5220.22, "Department of Defense Industrial Security Program." It establishes uniform security practices within industrial plants, educational institutions, and all organizations and facilities used by prime contractors and subcontractors having classified information of the Department of Defense, certain other executive departments and agencies, or certain foreign governments. Users of this publication are encouraged to submit suggestions for improving the publication, through channels, to the Director, Defense Investigative Service.

DoD 5220.22-M, "Industrial Security Manual for Safeguarding Classified Information," January 1983, is hereby canceled and superseded.

This revision is required by the demands of national security as determined by the U.S. Government. It is issued pursuant to and constitutes notice prescribed by section 1A(1) of DD Form 441, "Department of Defense Security Agreement," January 1984 and section 1A of DIS Form 1149, "Department of Defense Transportation Security Agreement," January 1981.

  
THOMAS J. O'BRIEN  
Director

U.S. Department of Justice  
National Institute of Justice

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ACQUISITIONS

DoD 5220.22-M

SUMMARY OF CHANGES

The following is a brief description of substantial changes which have been incorporated into this manual. Asterisks appearing in the right-hand margin of the text delineate such changed material.

Please note that several changes to this manual are only editorial revisions which are intended to make the document more readable. These changes include reductions of some long sentences and minor changes or phrasing. However, since the editorial changes do not affect the context of the regulation, they are not referenced here.

In addition, abbreviations have been used extensively within this manual in an effort to decrease its volume. New acronyms are included in the "Glossary of Acronyms and Abbreviations Commonly Used in the DoD Industrial Security Program" on pages v through vii of this publication. These acronyms are highlighted in the glossary by asterisks which appear in the right-hand margin.

<u>Paragraph</u>	<u>Change</u>
3s, 3ab, 5u 20c, 37d(5), appendix XIII	Changed to be consistent with new DoD 5220.22-S-1, "COMSEC Supplement to Industrial Security Manual for Safeguarding Classified Information."
3bj	Expands definition of organizational officers.
3bt	Expands definition of reference material.
5i	Clarifies the marking of classified container combination records.
5ah	Adds paragraph on contacts with nationals or representatives of Communist countries.
6b(1)	Adds footnote 13/, which defines adverse information.
6c	Revised to include the reporting of employee contacts with nationals or representatives of Communist countries.
11b(8)(f),	Explains marking of U.S. documents containing
11e(2)	NATO extracts.
17a(1)	Eliminates receipt forms when transmitting CONFIDENTIAL material.
17f	Expands methods of transmitting classified material within a facility.

19c	Removes the prohibition against the shredding of TOP SECRET Material.
22	Revised extensively; allows for certain OODEPs to be cleared at a level less than that of the facility.
31	Adds requirement for Canadian citizens born outside of Canada, deletes portion of paragraph 31b, and revises paragraph 31c.
41d	Removes the requirement for reciprocally cleared facilities to process visit requests through foreign embassies. Clarification of foreign national visit request responsibilities is also provided.
45c	Deleted -- DLA sponsored visits will be handled as all other UA visits.
48d(2)	Adds UA procedure for endorsing contractors visit requests outside CONUS.
48e	Changed to comply with existing federal regulations.
60i	Provides a means for contractors to obtain classification guidance.
65	Provides necessary guidance for subcontracting with foreign industry.
Section XI	Revised to include the conditions and instructions for the authorized hand-carrying of NATO classified material across international boundaries.
Appendix I	Eliminates paragraph O.
Appendix IV & V	Revised to reflect that the construction requirements are now mandatory and minor editorial changes.
Appendix VII	Expands paragraphs A2 and B4 to assist the contractor in preparing security briefings.
Appendix VIII	Revised to reflect CSO and DSI name changes.
Appendix XIII	Adds references to assist contractors in checking and assessing the security conditions of their facilities.

GLOSSARY OF ACRONYMS AND ABBREVIATIONS COMMONLY USED  
IN THE DoD INDUSTRIAL SECURITY PROGRAM

ACDA	U.S. Arms Control and Disarmament Agency
ACO	Administrative Contracting Officer
ACSI	Assistant Chief of Staff for Intelligence, Department of Army
ADP	Automatic Data Processing
ADPE	Automatic Data Processing Equipment
APO	Army Post Office
ASD(C)	Assistant Secretary of Defense (Comptroller)
BI	Background Investigation
BL	Bill of Lading
(C)	CONFIDENTIAL
CAB	Civil Aeronautics Board
CBL	Commercial Bill(s) of Lading
CDSS	Canadian Department of Supply and Services
CENTO	Central Treaty Organization
CM	Candidate Material
CNWDI	Critical Nuclear Weapon Design Information
COMINT	Communications Intelligence
COMSEC	Communications Security
CONUS	Continental United States
COR	Central Office of Record
COSMIC--TOP SECRET	Property of NATO and Subject to Special Security Controls
CPU	Central Processing Unit
CSISM	COMSEC Supplement to the Industrial Security Manual
CSO	Cognizant Security Office
CUSR	Central United States Registry
CRT	Cathode Ray Tube
DAR	Defense Acquisition Regulation (formerly ASPR) -- will be renamed FAR (Federal Acquisition Regulation) effective April 1, 1984
DCAS	Defense Contract Administration Services
DCASR	Defense Contract Administration Services Region
DCII	Defense Central Index of Investigations
DIA	Defense Intelligence Agency
DIS	Defense Investigative Service
DISCO	Defense Industrial Security Clearance Office
DISCR, OGC, OSD	Director for Industrial Security Clearance Review, Office of the General Counsel, Office of Secretary of Defense
DLA	Defense Logistics Agency
DNACC	Defense National Agency Check Center
DoD	Department of Defense
DOE	Department of Energy (formerly ERDA)
DOT	Department of Transportation
DSI	Defense Security Institute (formerly the Defense Industrial Security Institute (DISI))
DSP&P	Director for Security Plans & Programs, Office of the Deputy Under Secretary of Defense (Policy)

DTIC	Defense Technical Information Center	
DUSD (P)	Deputy Under Secretary of Defense for Policy	
EAM	Electronic Accounting Machines	*
EAR	Export Administration Regulation	*
ENAC	Expanded National Agency Check	
E.O.	Executive Order	
EPA	Environmental Protection Agency	
FAA	Federal Aviation Administration, Department of Transportation (Formerly Federal Aviation Agency)	
FBI	Federal Bureau of Investigation	
FCL	Facility (Security) Clearance	*
FEMA	Federal Emergency Management Agency	
FMS	Foreign Military Sales	
FOCI	Foreign Ownership, Control, or Influence	
(FRD)	FORMERLY RESTRICTED DATA	
FRS	Federal Reserve System	
FSC	Federal Supply Code	
FSO	Facility Security Officer/Supervisor	*
FSS	Federal Supply Schedule	
GAO	General Accounting Office	
GBL	Government Bill(s) of Lading	
GFE	Government Furnished Equipment	
GFP	Government Furnished Property	
GPO	Government Printing Office	
GSA	General Services Administration	
GSOIA	General Security of Information Agreement	*
HHS	Department of Health and Human Services	
HOF	Home Office Facility	
HQ	Headquarters	
ICC	Interstate Commerce Commission	
IFB	Invitation for Bid	
IPO	International Pact Organization	
ISB	Industrial Security Bulletin	
ISCRO	Industrial Security Clearance Review Office	
ISL	Industrial Security Letter	
ISM	"Industrial Security Manual for Safeguarding Classified Information" (DoD 5220.22-M)	
ISR	"Industrial Security Regulation" (DoD 5220.22-R)	
ITAR	"International Traffic in Arms Regulation"	
KGB	Committee of State Security (Soviet Union)	
LOC	Letter of Consent, DISCO Form 560	*
MAAG	Military Assistance Advisory Group	
MAP	Mutual Aid Program	
MDAP	Mutual Defense Assistance Program	
MFO	Multiple Facility Organization	
MIL-STD	Military Standard (Book Form)	
MTMC	Military Traffic Management Command (formerly MTMTS)	

N/A	Not Applicable	
NAC	National Agency Check	
NASA	National Aeronautics and Space Administration	
NATO	North Atlantic Treaty Organization	
NCSC	National Communications Security Committee	
NIS	Naval Investigative Service	
NPLO	NATO Production Logistics Organization	
NRC	Nuclear Regulatory Commission	
NSA	National Security Agency	
NSF	National Science Foundation	
OASD(C)	Office of the Assistant Secretary of Defense (Comptroller)	
OASD(PA)	Office of the Assistant Secretary of Defense (Public Affairs)	
ODC	Office of Defense Cooperation	
OISI	Office of Industrial Security, International	
ODEPs	Owners, Officers, Directors, Partners, Regents, Trustees, or Executive Personnel	
OPM	Office of Personnel Management	*
OSD	Office of Secretary of Defense	
OSI	Office of Special Investigations, USAF	
PCL	Personnel (Security) Clearance	*
PCO	Procuring Contracting Officer	
PMF	Principal Management Facility	
PRP	Personnel Reliability Program	
PSCF	Personnel Security Clearance Files (Industrial)	
PSQ	Personnel Security Questionnaire	
PSS	Protective Security Service	
(RD)	RESTRICTED DATA	
RFI	Representative of a Foreign Interest	*
RFP	Request for Proposal	
RFQ	Request for Quote	
(S)	SECRET	
SBA	Small Business Administration	
SEATO	Southeast Asia Treaty Organization	
SEC	Securities and Exchange Commission	*
SIOP	Single Integrated Operational Plan	
SPP	Standard Practice Procedure (s)	
SSS	Signature Security Service	
TO	Transportation Officer	
(TS)	TOP SECRET	
TSEC	U.S. Telecommunications Security	
TWX	Teletype Communications	
(U)	UNCLASSIFIED	
UA	User Agency	*
U.K.	United Kingdom	
UL	Underwriters' Laboratories	
U.S.	United States of America	
USAFSS	U.S. Air Force Security Service	
U.S.C	United States Code	

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Section I. GENERAL

1. Scope.

a. This manual establishes the requirements for safeguarding all classified information to which contractors and their subcontractors, vendors, or suppliers have access or possession (see paragraph 3aa). The manual is written in terms of the most common situation where the contractor has access to, or possession of, classified information in connection with the performance of a classified contract. However, it also is applicable to the safeguarding of classified information in connection with all aspects of pre-contract activity, including preparation of bids and proposals, precontract negotiations, and all aspects of postcontract activity. Moreover, the requirements are equally applicable to the safeguarding of classified information not released or disclosed under a procurement contract, such as government-sponsored independent research and development advance agreements or User Agency (UA) programs participated in by a firm, organization, or individual on a voluntary or grant basis. Examples of the latter programs are the long range scientific and technical planning programs and programs designed to provide planning briefings for industry. In such situations the official of the UA (or his or her designated representative) who releases or discloses the classified information to the contractor shall fulfill the responsibilities which this manual assigns to the contracting officer (such as, furnishing necessary classification guidance, authorizing retention of classified material, and certifying contractors' need to attend classified meetings).

b. The requirements of this manual reflect the provisions of applicable federal statutes, E.O.'s, and DoD directives.

c. The Secretary of Defense is authorized to act in behalf of the departments and agencies listed below in rendering industrial security services. This authority is contained in an exchange of letters between the Secretary of Defense and: (i) the Administrator, National Aeronautics and Space Administration; (ii) the Secretary of Commerce; (iii) the Administrator, General Services Administration (GSA); (iv) the Secretary of State; (v) the Administrator, Small Business Administration; (vi) the Director, National Science Foundation (NSF); (vii) the Secretary of the Treasury; (viii) the Secretary of Transportation; (ix) the Secretary of the Interior; (x) the Secretary of Agriculture; (xi) the Secretary of Health and Human Services (HHS); (xii) the Secretary of Labor; (xiii) the Administrator, Environmental Protection Agency (EPA); (xiv) the Attorney General, Department of Justice; (xv) the Director, U.S. Arms Control and Disarmament Agency; (xvi) the Director, Federal Emergency Management Agency (FEMA), (xvii) the Chairman, Board of Governors, Federal Reserve System (FRS); and (xviii) the Comptroller General of the United States, General Accounting Office (GAO).

d. The Deputy Under Secretary of Defense for Policy (DUSD(P)), his or her designee, or higher authority provides overall policy guidance for the DoD Industrial Security Program. The Director, DIS is responsible for the administration of the DoD Industrial Security Program on behalf of all UA's. Except for certain functions performed by the Commander or Head of a UA installation, with respect to those facilities or contractor activities

located on the installation, the Directors of Industrial Security shall perform cognizant security office (CSO) functions prescribed in this manual, with respect to all contractor facilities within their respective regions (see appendix VIII for geographical areas of responsibility).

e. UA's have the authority of, and exercise the functions of, a contracting officer as prescribed in this manual and the ISR. Certain of these functions, under delegation, are performed by the ACO.

f. This manual also shall apply to the safeguarding of foreign classified information, which has been furnished to U.S. contractors and which the U.S. Government is obligated to protect in the interest of national defense. When foreign classified information is made available to a contractor by a UA in connection with a U.S. classified contract, procedures applicable to U.S. classified information shall apply. However, when foreign classified information is made available to U.S. contractors in connection with a foreign classified contract, the responsibility for the actions, which this manual charges to the contracting officer and the contracting UA, shall be as prescribed in appendix III. Responsibilities not specifically assigned in appendix III are reserved to the foreign government agency or foreign contracting activity concerned.

g. Revisions to this manual that have been approved by the DUSD(P) will be published in page change form and will be effective the date of the change.

2. Applicable Federal Statutes, Executive Orders, and Regulations.

- a. Espionage Acts, 18 U.S.C. §§ 793-799
- b. Sabotage Acts, 18 U.S.C. §§ 2151-2157
- c. Conspiracy Statute 18 U.S.C. §§ 371
- d. Internal Security Act (1950) (in part), 50 U.S.C. §§ 781-798
- e. National Security Act of 1947, as amended
- f. Armed Services Procurement Act of 1947, as amended
- g. Atomic Energy Act (1954), Public Law 703, 83rd Congress, as amended,
- h. E.O. 10104, February 1, 1950
- i. E.O. 12356, April 2, 1982
- j. National Aeronautics and Space Act of 1958, as amended
- k. E.O. 10865, February 20, 1960
- l. Federal Aviation Act of 1958, as amended
- m. E.O. 10909, January 17, 1961

n. International Traffic in Arms Regulation (ITAR), Code of Federal Regulations, Title 22, Chapter 1, Parts 121-127

o. Export Control Act of 1949, as amended

p. Mutual Security Act of 1954, as amended

q. Information Security Oversight Office (ISOO) Directive No. 1, June 23, 1982, concerning national security information

3. Definitions. The following definitions are established for the purpose of this manual.

a. Access, Accessibility. This refers to the ability and opportunity to obtain knowledge of classified information. An individual, in fact, may have access to classified information by being in a place where such information is kept, if the security measures which are in force do not prevent him or her from gaining knowledge of the classified information 1/.

b. ADP System. An ADP system is an assembly of computer hardware, software, facilities, personnel, and procedures configured for the purpose of computing, sequencing, storing, retrieving, or otherwise manipulating data and information with a minimum of human intervention.

c. ADP System Security. This includes all hardware/software functions, characteristics, and features; operation procedures, accountability procedures, and access controls at the central computer facility, remote computer, and terminal facilities; management constraints, physical structures, and devices; and personnel and communications controls needed to provide an acceptable level of protection for classified information to be contained in an ADP system.

d. Alien. An alien is any person who is not a citizen or national of the U.S. (see "Immigrant Alien," paragraph 3av).

e. Authorized Persons. Authorized persons are those persons who have a need-to-know for the classified information involved and have been cleared for the receipt of such information (see paragraph 3bg). Responsibility for determining whether individuals' duties require that they possess, or have access to, any classified information and whether they are authorized to receive it rests on the individual who has possession, knowledge, or control of the information involved, and not on the prospective recipients.

1/ The entry into a controlled area, per se, will not constitute access to classified information, if the security measures which are in force prevent the gaining of knowledge of the classified information. Therefore, the entry into a controlled area under conditions that prevent the gaining of knowledge of classified information will not necessitate a personnel security clearance (PCL).

f. Candidate Material. This is material that is referred to collectively as special nuclear materials and nuclear weapons.

g. Central Computer Facility. The term refers to one or more ADP systems, including communications equipment, within a single protected area. This does not include remote computer facilities, terminals, or peripheral devices which are located outside the single protected area, even though they are connected to the ADP system(s) by approved communications links.

h. Classification Authority. This refers to the authority that is vested in an official of a UA to make an initial determination that information requires protection against unauthorized disclosure in the interest of national security.

i. Classified Contract. A classified contract is any contract that requires or will require access to classified information by the contractor or his or her employees in the performance of the contract. (A contract may be a classified contract even though the contract document is not classified.)

j. Classification Guide. This is a document issued by an authorized original classifier that prescribes the level of classification and appropriate declassification instructions for specified information to be classified on a derivative basis. (Classification guides are provided to contractors by the DD Form 254, "Department of Defense Contract Security Classification Specification.")

k. Classified Information. This is information or material that is:  
(i) owned by, produced by or for, or under the control of the U.S. Government;  
(ii) determined under E.O. 12356 or prior orders to require protection against unauthorized disclosure; and (iii) so designated.

l. Classifier. A classifier is an individual who makes a classification determination and applies a security classification to information or material. A classifier may be a classification authority or may derivatively assign a security classification based on a properly classified source or a classification guide. Within this context, contractors may apply security classification markings based on classified source material or a DD Form 254, as required by this manual.

m. Closed Area. A closed area is a controlled area that is established to safeguard classified material, which, because of its size or nature, cannot be adequately protected by the safeguards prescribed in paragraph 16 or stored during nonworking hours in accordance with paragraph 14 (see section IV).

n. Closed Vehicle. A closed vehicle is a conveyance which is fully enclosed by sides, permanent top, and door.

o. Critical Nuclear Weapons Design Information (CNWDI). CNWDI is TOP SECRET RESTRICTED DATA or SECRET RESTRICTED DATA revealing the theory of operation or design of the components of a thermonuclear or implosion-type fission bomb, warhead, demolition munition, or test device. Specifically excluded is information concerning arming, fusing, and firing systems; limited life components; and totally contained quantities of fissionable, and high-

explosive materials by type. Among these excluded items are the components which DoD personnel, including contractor personnel, set, maintain, operate, test, or replace.

p. Cognizant Security Office (CSO). The term refers to the office of the DIS Director of Industrial Security who has industrial security jurisdiction over the geographical area in which a facility is located.

q. Colleges and Universities. This refers to all educational institutions that award academic degrees, and related research activities directly associated with a college or university through organization or by articles of incorporation.

r. Communications Intelligence (COMINT). This is technical and intelligence information derived from foreign communications by other than the intended recipient.

s. Communications Security (COMSEC). COMSEC refers to protective measures taken to deny unauthorized persons information derived from telecommunications of the U.S. Government relating to national security and to ensure the authenticity of such communications. COMSEC protection results from the application of security measures to electrical systems which generate, handle, process, or use national security information and also includes the application of physical security measures to COMSEC information or materials. \*

t. Complex. A complex is a facility, or any element thereof, which consists of one or more buildings or structures physically enclosed within a common perimeter barrier that is supplemented by protective measures to inhibit unauthorized access and control authorized access. \*

u. Compromise. A compromise is the disclosure of classified information to persons not authorized access thereto.

v. CONFIDENTIAL. "CONFIDENTIAL" is the designation that shall be applied to information or material the unauthorized disclosure of which could be reasonably expected to cause damage to the national security. Examples of "damage" include the compromise of information that indicates strength of ground, air, and naval forces in the U.S. and overseas areas; disclosure of technical information used for training, maintenance, and inspection of classified munitions of war; and revelation of performance characteristics, test data, design, and production data on munitions of war.

w. Consignee. The consignee is a person, firm, or government activity named as the receiver of a shipment; one to whom a shipment is consigned.

x. Consignor. The consignor is a person, firm, or government activity by whom articles are shipped. The consignor is usually the shipper.

y. Continental Limits of the United States (CONUS). This refers to U.S. territory, including the adjacent territorial waters located within the North American continent between Canada and Mexico.

z. Contracting Officer. A contracting officer is any government official who, in accordance with departmental or agency procedures, is currently designated as a contracting officer with the authority to enter into and administer contracts, and make determinations and findings with respect thereto, or any part of such authority. The term also includes the designated representative of the contracting officer acting within the limits of his or her authority. For purposes of this manual, the term contracting officer refers to the contracting officer at the purchasing office who is identified as the PCO and the contracting officer at a contract administration office who is identified as the ACO. Normally, the responsibilities which this manual assigns to the contracting officer during the precontract, contract award, and postcontract stages of a classified procurement will be performed by the PCO, with the ACO performing those responsibilities which arise during the performance stages of a classified contract.

aa. Contractor. A contractor is any industrial, educational, commercial, or other entity that has executed a DD Form 441, "Department of Defense Security Agreement," with a DoD agency for the purpose of performing on a classified contract or other classified procurement. The term contractor also refers to an individual who manages such an entity.

ab. CRYPTO. "CRYPTO" is a marking or a designator identifying all \* COMSEC keying material that is used to protect or authenticate telecommuni- \* cations carrying national security-related information. (This CRYPTO mark- \* ing also identifies COMSEC equipment and/or computer software containing \* operational keying variables.) \*

ac. Custodian. A custodian is an individual who has possession of, or is otherwise charged with, the responsibility for safeguarding or accounting for classified information.

ad. Declassification. This is the determination that classified information no longer requires, in the interests of national security, any degree of protection against unauthorized disclosure, together with a removal or cancellation of the classification designation.

ae. Declassification Event. This is an event that eliminates the need for continued classification of information.

af. Department of Defense. DoD refers to Office of the Secretary of Defense (OSD) (including all boards, councils, staffs, and commands), DoD agencies, and the Departments of the Army, Navy, and Air Force (including all of their activities).

ag. Derivative Classification. This is a determination that information is in substance the same as information currently classified and application of the same classification markings.

ah. Document. A document is any recorded information, regardless of its physical form or characteristics, including, without limitation, written or printed matter, data processing cards and tapes, maps, charts, paintings, drawings, engravings, sketches, working notes, and papers; reproductions of such things by any means or process; and sound, voice, magnetic, or electronic recordings in any form.

ai. Downgrade. This is a determination that classified information requires, in the interests of national security, a lower degree of protection against unauthorized disclosure than currently provided, together with a changing of the classification designation to reflect such a lower degree of protection.

aj. Executive Personnel. Executive personnel are those individuals in managerial positions, other than owners, officers, or directors, who administer the operations of the facility. (This category includes such designations as general manager, plant manager, plant superintendent, or similar designations, and facility security supervisor (FSO).)

ak. Facility. A facility is a plant, laboratory, office, college, university, or commercial structure with associated warehouses, storage areas, utilities, and components, which, when related by function and location, form an operating entity. (A business or educational organization may consist of one or more facilities as defined above.) For purposes of industrial security, the term does not include UA installations.

al. Facility (Security) Clearance (FCL). This is an administrative determination that, from a security viewpoint, a facility is eligible for access to classified information of a certain category (and all lower categories).

am. Firmware. Firmware is a method of organizing the ADP system's control hardware in a microprogrammed structure, rather than as wired circuitry, such that the method falls in neither the software nor the hardware subsystems. Microprograms are composed of microinstructions, normally implemented in read-only control storage, to directly control the sequencing of computer circuits at the detailed level of the single machine instruction.

an. Foreign Government Information. This is information that is: (i) provided to the U.S. by a foreign government or governments, an international organization of governments, or any element thereof with the expectation, expressed or implied, that the information, the source of the information, or both, are to be held in confidence; or (ii) produced by the U.S. pursuant to, or as a result of, a joint arrangement with a foreign government or governments, an international organization of governments, or any element thereof, requiring that the information, the arrangement, or both are to be held in confidence.

ao. Foreign Interest. The term refers to any foreign government or agency of a foreign government; any form of business enterprise organized under the laws of any country other than the U.S. or its possessions; and any form of business enterprise organized or incorporated under the laws of the U.S., a state, or other jurisdiction of the U.S. that is owned or controlled by a foreign government, firm, corporation, or person. Included in this definition is any natural person who is not a citizen or national of the U.S. (An immigrant alien as defined in paragraph 3av is excluded from the definition of a foreign interest.)

ap. Foreign Nationals. This refers to all persons not citizens of, not nationals of, nor immigrant aliens to, the U.S.

aq. FORMERLY RESTRICTED DATA (FRD). This is information removed from the RESTRICTED DATA category upon a joint determination by the DOE (or antecedent agencies) and the DoD that such information relates primarily to the military utilization of atomic weapons, and that such information can be adequately safeguarded as classified defense information. For purposes of foreign dissemination, however, such information is treated in the same manner as RESTRICTED DATA.

ar. Graphic Arts. This refers to facilities and individuals engaged in performing consultation, service, or the production of any component or end product which contributes to, or results in, the reproduction of classified information. Regardless of trade names of specialized processes, it includes writing, illustrating, advertising services, copy preparation, all methods of printing, finishing services, duplicating, photocopying, and film processing activities.

as. Hardened Container. A hardened container is a container of such strength and durability as to provide security protection to prevent items from breaking out of the container and to facilitate the detection of any tampering with the container while in transit. Some examples of hardened containers are banded or wired boxes, wooden boxes, and closed cargo transporters.

at. Hardware. Hardware is physical equipment such as mechanical, magnetic, electrical, or electronic devices used in the configuration and operation of an ADP system. This term is synonymous with ADP equipment (ADPE), and includes:

(1) general and special purpose digital, analog, and hybrid computer equipment;

(2) components which are used to create, collect, store, process, communicate, display, or disseminate classified information;

(3) auxiliary or accessorial equipment such as data communications terminals, source data automation recording equipment, and data output equipment (for example, printers, plotters, and computer output microfilmers), either cable-connected or self-standing, used in support of computer equipment;

(4) electrical accounting machines (EAM) used in conjunction with, or independent of, computers; and

(5) computer equipment which supports or is integral to a weapon system.

au. Home Office (HOF). The HOF is the headquarters facility of a multiple facility organization (see paragraph bc below).

av. Immigrant Alien. An immigrant alien is any person who is lawfully admitted into the U.S. under an immigration visa for permanent residence (see paragraph 24 for special prerequisites for clearance of immigrant aliens).

aw. Industrial Security. This refers to that portion of internal security which is concerned with the protection of classified information in the hands of U.S. industry.

ax. Information. Information is knowledge that can be communicated by any means.

ay. Information Security. This refers to the result of any system of administrative policies and procedures for identifying, controlling, and protecting from unauthorized disclosure, information the protection of which is authorized by E.O. or statute.

az. Intelligence. Intelligence is the product resulting from the collection, evaluation, analysis, integration, and interpretation of all available information, which concerns one or more aspects of foreign nations or of areas of foreign operations, and which is immediately or potentially significant to military planning and operations.

ba. Locked Entrance. A locked entrance is an entrance to a closed or restricted area which is kept closed and locked at all times except when temporarily unlocked and opened under supervision for the purpose of passing material or authorized personnel into or out of the area.

bb. Material. Material refers to any product or substance on, or in which, information is embodied.

bc. Multiple Facility Organization (MFO). This refers to a legal entity (single proprietorship, partnership, association, trust, or corporation) that is composed of two or more facilities (see paragraph ak above).

bd. National of the United States. A national of the U.S. is:

(1) a citizen of the U.S., or

(2) a person who, though not a citizen of the U.S., owes permanent allegiance to the U.S. 2/.

be. National Security. This refers to the national defense and foreign relations of the U.S.

bf. NATO Classified Information. The term "NATO classified information" embraces all classified information -- military, political, and economic -- that is circulated within and by NATO, whether such information originates in the organization itself or is received from member nations or from other international organizations.

2/ See 8 U.S.C. § 1101(a)(22). 8 U.S.C. § 1401, subsection (a) lists in paragraphs (1) through (7) categories of persons born in and outside the U.S. or its possessions who may qualify as nationals of the U.S. When doubt exists as to whether or not a person can qualify as a national of the U.S., this subsection should be consulted.

bg. Need-to-Know. This is a determination made by the possessor of classified information that a prospective recipient, in the interest of national security, has a requirement for access to (see paragraph a above), knowledge of, or possession of the classified information in order to perform tasks or services essential to the fulfillment of a classified contract or program approved by a UA.

bh. Negotiator. A negotiator is any employee, in addition to the OODEPs, who requires access to classified information during the negotiation of a contract or the preparation of a bid or quotation pertaining to a prime or subcontract. (This category may include, but is not limited to, accountants, stenographers, clerks, engineers, draftsmen, and production personnel.)

bi. Nuclear Weapon Security Program. A limited number of defense contractors are involved in the DoD nuclear weapon security program. This program identifies certain positions categorized as Critical or Controlled, depending upon the degree of involvement with nuclear weapons. Assignment to such positions is governed by the DoD Nuclear Weapon Personnel Reliability Program (PRP), the specific procedures of which will be set forth separately in appropriate contractual agreements. All personnel in Critical or Controlled positions must have a security clearance commensurate with the security classification of information required by their duties.

bj. Officers (Corporation, Association, or Other Types of Business or Educational Institution). Officers are those persons in positions established as officers in the articles of incorporation or bylaws of the organization. This definition includes all principal officers; that is, those persons occupying positions normally identified as president, senior vice president, secretary, treasurer, and those persons occupying similar positions. In unusual cases, the determination of principal officer status may require a careful analysis of an individual's assigned duties, responsibilities, and authority as officially recorded by the organization. \*

bk. Operating System. This is an integrated collection of computer programs that controls all resources of the ADP system, internally manages job flow through the computer, and plays a central role in ensuring the secure operation of the ADP system (synonymous with monitor, executive, control program, and supervisor).

bl. Original Classification. This is an initial determination that information requires, in the interest of national security, protection against unauthorized disclosure, together with a classification designation signifying the level of protection required.

bl.1. Parent. A parent firm is a corporation that can control another corporation (subsidiary) by ownership of a majority of its stock. The control may exist by direct stock ownership of an immediate subsidiary or by indirect ownership through one or more intermediate levels of subsidiaries.

bm. Personnel (Security) Clearance (PCL). A PCL is an administrative determination that an individual is eligible, from a security point of view, for access to classified information of the same or lower category as the level of the PCL being granted.

bn. Possessions. U.S. possessions are the Virgin Islands, Guam, American Samoa, Swain's Island, Howland Island, Baker Island, Jarvis Island, Midway Islands (this consists of Sand Island and Eastern Island), Kingman Reef, Johnston Atoll, Navassa Island, Swan Island, Wake Island and Palmyra Island.

bo. Principal Management Facility (PMF). The PMF is a cleared facility of a MFO which reports directly to the HOF, and whose principal management official has been delegated the responsibility to administer the contractor's industrial security program within a defined geographical or functional area.

bp. Protected Area. A protected area is an area housing one or more ADP systems, including communications equipment, remote computer facilities, terminals, or peripheral devices, which is continuously protected by physical security safeguards and access controls as set forth in alternatives provided in paragraphs 106 and 107.

bq. Protective Security Service (PSS). This is a Signature Security Service (SSS), as described in paragraph cg below, which requires constant protection of the shipment at all times by one or more carrier custodians, between receipt from the consignor and delivery to the consignee. In the case of air movement, however, observation of the shipment is not required during the period it is stored in the carrier's aircraft in connection with flight, provided the shipment is loaded into a compartment that is not accessible to any unauthorized person aboard. Conversely, if the shipment is loaded into a compartment of the aircraft that is accessible to an unauthorized person aboard, the shipment must remain under the constant surveillance of an escort or carrier custodian.

br. Public Disclosure. Public disclosure is the passing of information and/or materials pertaining to a classified contract to the public, or any member of the public, by any means of communication.

bs. Qualified Carrier. A qualified carrier is a carrier that has met all of the following criteria.

(1) The requirement for the carrier's service has been established by a shipper.

(2) The carrier is authorized by law, regulatory body, or regulation to provide the required transportation service.

(3) A determination has been made by MTMC or the designated Commander overseas that: (i) the carrier is capable of and authorized to furnish PSS in accordance with an applicable tariff, government tender, agreement, or contract provision; and (ii) no other qualified carrier is available to perform the required service.

(4) The carrier has executed a DIS Form 1149, "Transportation Security Agreement," with, and has been granted a SECRET FCL by, the appropriate CSO.

bt. Reference Material. The term reference material means documentary material over which the UA does not have classification jurisdiction, and did

not have classification jurisdiction at the time such material was originated. Most material made available to contractors by the DTIC and other secondary \* distribution agencies is reference material as thus defined. \*

bu. Regrade. This is to assign a higher or lower security classification to an item of classified material.

bv. Remote Terminal. A remote terminal is a device for communication with an ADP system from a location, which is not within the central computer facility.

bw. Representatives of a Foreign Interest (RFI). This term refers to citizens or nationals of the U.S. or immigrant aliens who, in their individual capacities, or on behalf of a corporation (whether as a corporate officer or official, or as a corporate employee who is personally involved with the foreign entity), are acting as representatives, officials, agents, or employees of a foreign government, firm, corporation, or person. However, U.S. citizens and nationals who have been appointed by their U.S. employer to be its representatives in the management of a foreign subsidiary (that is, a foreign firm in which the U.S. firm has ownership of at least 51% of the voting stock) will not be considered RFI's, solely because of their employment, provided the appointing employer is their principal employer and is a firm that possesses or is in process for a FCL.

bx. Restricted Area. This is a controlled area established to safeguard classified material, which, because of its size or nature, cannot be adequately protected during working hours by the safeguards prescribed in paragraph 16, but which is capable of being stored during nonworking hours in accordance with paragraph 14 (see section IV).

by. RESTRICTED DATA. "RESTRICTED DATA" is all data (information) concerning: (i) design, manufacture, or utilization of atomic weapons; (ii) the production of special nuclear material; or (iii) the use of special nuclear material in the production of energy, but not to include data declassified or removed from the RESTRICTED DATA category pursuant to Section 142 of the Atomic Energy Act (see section 11y, Atomic Energy Act of 1954, as amended, and paragraph aq, FORMERLY RESTRICTED DATA, above).

bz. SECRET. "SECRET" is the designation that shall be applied only to information or material the unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security. Examples of "serious damage" include disruption of foreign relations significantly affecting the national security, significant impairment of a program or policy directly related to the national security, revelation of significant military plans or intelligence operations, compromise of significant military plans or intelligence operations, and compromise of significant scientific or technological developments relating to national security.

ca. SECRET Controlled Shipment. This refers to SECRET material moving in commercial transportation service that requires PSS of a qualified carrier in the interest of national security.

cb. Security. Security refers to the safeguarding of information classified TOP SECRET, SECRET, or CONFIDENTIAL against unlawful or unauthorized dissemination, duplication, or observation.

cc. Security Cognizance. This refers to the responsibility for acting for UA's in the discharge of industrial security responsibilities described in this manual.

cd. SENSITIVE COMPARTMENTED INFORMATION (SCI). This is all information and material that requires special controls for restricted handling within compartmented intelligence systems and for which compartmentation is established.

ce. Shipper. A shipper is the one who releases custody of material to a carrier for transportation to a consignee (see also consignor, paragraph 3x.)

cf. Short Title. This is an identifying combination of letters and numbers assigned to a publication or equipment for purposes of brevity.

cg. Signature Security Service (SSS). This is a service designed to provide continuous responsibility for the custody of shipments in transit, so named because a signature and tally are required from each person handling the shipment at each stage of its transit from point of origin to destination. For air shipments, no receipt is required from the flight crew or attendants of the carrier's aircraft. For rail shipments, no receipt is required from the train crew if the car is sealed.

ch. Single Line Service. This refers to freight that moves from point of origin to destination over the lines of only one carrier.

ci. Special Access Program. A special access program is any program imposing "need-to-know" or access controls beyond those normally provided for access to CONFIDENTIAL, SECRET, or TOP SECRET information. Such a program includes, but is not limited to, special clearance, adjudication, or investigative requirements, special designation of officials authorized to determine "need-to-know," or special lists of persons determined to have a "need-to-know."

cj. Subsidiary. A subsidiary is a corporation that is controlled by another corporation (parent) by reason of the latter corporation's ownership of at least a majority (over 50%) of the capital stock. A subsidiary is a legal entity and shall be processed separately for a FCL.

ck. System Software. System software consists of the operating system and associated software, including assemblers, input-output control systems, interpreters, compilers, data base management systems, and other programs that are not considered user application software.

cl. TOP SECRET. "TOP SECRET" is the designation that shall be applied only to information or material the unauthorized disclosure of which reasonably could be expected to cause exceptionally grave damage to the national security. Examples of "exceptionally grave damage" include armed hostilities against the U.S. or its allies, disruption of foreign relations vitally affecting the national security, the compromise of vital national defense

plans or complex cryptologic and communications intelligence systems, and the revelation of sensitive intelligence operations, and the disclosure of scientific or technological developments vital to national security.

cm. Transmission. Transmission is the sending of information from one location to another by radio, microwave, laser, or other nonconnective methods, as well as by cable, wire, or other connective medium. Transmission also includes movement involving the actual transfer of custody and responsibility for a document or other classified material from one authorized addressee to another.

cn. Transshipping Activity (Government). This refers to a government activity to which a carrier transfers custody of freight for reshipment by another carrier to the consignee.

co. United States and Its Territorial Areas. This includes the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Trust Territory of the Pacific Islands (also called Micronesia), Midway Islands, Wake Island, Johnston Atoll, Kingman Reef, Swain's Island, Howland Island, Baker Island, Jarvis Island, Navassa Island, Swan Island and Palmyra Island.

cp. Unauthorized Person. An unauthorized person is any person not authorized to have access to specific classified information in accordance with the provisions of this manual.

cq. United States (U.S.). This refers to the 50 states and the District of Columbia.

cr. Upgrade. This is a determination that certain classified information, in the interest of national security, requires a higher degree of protection against unauthorized disclosure than is currently provided, coupled with a changing of the classification designation to reflect such a higher degree.

cs. User Agencies (UA's). This term refers to the OSD (including all boards, councils, staffs, and commands), DoD agencies, Departments of the Army, Navy, and Air Force (including all of their activities), and Departments of: State, Commerce, Treasury, Transportation, Interior, Agriculture, Health and Human Services, Labor and Justice, NASA, GSA, SBA, NSF, EPA, ACDA, FEMA, GAO, and FRS.

ct. Weapon System. Weapon system is a general term used to describe a weapon and those components required for its operation.

cu. Word Processing System. This refers to a combination of automated equipments, procedures, and personnel employed for the primary purpose of producing documents and other written communications through the storage and manipulation of textual material.

4. Designation of Cognizant Security Office. The Regional Directors of DIS are responsible for administration of industrial security within their respective regions. The office of the Director of Industrial Security in each DIS Region is designated as the CSO for all contractor facilities located within

the region (see appendix VIII). All relationships between the UA and the contractor on industrial security matters shall be handled through, or in coordination with, the CSO, except those matters specifically set forth in this manual as responsibilities of the contracting officer. All questions of interpretation with respect to this manual, or problems involving the industrial security procedures as they pertain to the contractor, shall be forwarded to the CSO. In the case of a facility or contractor activity located on a UA installation, requests for interpretations of this manual shall be forwarded to the CSO through the Commander or Head of the UA installation. The management of each facility that has been assigned to one of the DIS Regions for security cognizance shall be notified in writing of this action at such time as the DoD Industrial Security Program is initiated at the facility. The designation of CSO to exercise security cognizance at a facility will not relieve any UA of the responsibility for protecting and safeguarding its classified information incident to its classified contracts with the facility, or from visiting the facility to review the security aspects of such contracts. However, the security administration of a U.S. classified contract awarded to a U.S. contractor, which requires performance for a UA at a location outside the U.S., Puerto Rico, or a U.S. possession or trust territory, shall be the responsibility of the UA awarding the classified contract, except when the contracting UA has an agreement with the U.S. installation Commander in such area to perform this function for it, or DIS has accepted responsibility at the request of the UA. The Director of Industrial Security in each DIS Region in which the HOF or principal U.S. based office of the contractor is located will assume security cognizance for such U.S. based facility, and except for contractor granted CONFIDENTIAL clearances, DISCO will clear all of the contractor's employees requiring access to classified information in support of a UA contract, regardless of the physical location of such employees. Contractor activities located outside the U.S., Puerto Rico, or a U.S. possession, territory, or trust territory will not be granted a FCL.

5. General Requirements. The contractor shall be responsible for safeguarding all classified information under his or her control. In the furtherance of this requirement, the contractor will be responsible for the following.

a. Facility Security Officer/Supervisor (FSO). The contractor shall appoint a U.S. citizen, who is required to be cleared as part of the FCL, to supervise and direct security measures necessary for the proper application of U.S. Government furnished guidance or specifications for classification, downgrading, upgrading, and for safeguarding classified information.

b. Automatic Data Processing. The contractor shall not utilize an ADP system for the processing of classified data without the prior approval of the CSO (see section XIII).

c. Limitation on Disclosure. Contractors shall ensure that classified information is furnished or disclosed only to authorized persons (see paragraph 3e). To this end they shall determine to what extent their employees, subcontractors, vendors, and suppliers require access to classified information in the performance of tasks or services essential to the fulfillment of



the contract 3/. They shall take all reasonable measures to adjust plant layout and organize work, so as to limit such access to the least number of individuals or firms consistent with the efficient performance of the classified contract. In those exceptional cases where contractors cannot adjust plant layout and organize work so as to prevent access by representatives of food, beverage, or vending equipment organizations, they may request that their CSO process the servicing organization for a FCL, provided the management of the facility can justify the continued need for the service. Representatives of cleared service organizations shall, in such cases, be processed as Category 1 visitors at the facility being visited (see paragraph 4la).

d. Safeguarding. The contractor shall provide suitable protective measures within his or her facility for the safeguarding of classified information. A contractor performing work within the confines of a UA installation must safeguard classified information in accordance with provisions of this manual, unless responsibilities for security are modified by the contract. All classified material received by the contractor which: (1) is not related to a contract, project, or program pursuant to paragraph 1a, or (2) for which no safeguarding or disposition instructions have been received, shall be safeguarded in accordance with the provisions of this manual, and the CSO shall be notified pursuant to paragraph 6a(18).

e. Exclusion of Personnel. Contractors shall exclude from those parts of their plants, facilities, or sites where classified work is being performed, any person or persons whom the Head of a UA concerned, or his or her authorized representative, in the interest of security, may designate in writing. Exclusion does not mean that the affected employee must be dismissed or denied employment in another part of the plant, facility, or site. This should be resolved consistently with normal employer-employee relationships.

f. Individual Responsibility for Safeguarding. The contractor shall on a recurring basis, remind all cleared personnel, including those located outside the U.S., of their continuing responsibilities for safeguarding classified information. Each cleared employee shall be made aware of the security procedures: (i) pertaining to that employee's particular work assignment; (ii) any security deficiencies resulting from recurring inspections by the CSO that require individual corrective action on the part of the employee; and (iii)

3/ A contractor is not authorized to turn over classified intelligence information to a subcontractor, vendor, or supplier without prior written authorization of the contracting UA. All classified intelligence information, whether obtained during a visit or through other sources, shall be safeguarded and controlled in accordance with the provisions of this manual, as well as any additional instructions that may be received from the releasing UA activity and any specific restrictive markings or limitations appearing on documents. All inquiries concerning source, acquisition, use, control, or restrictions pertaining to intelligence information shall be directed to the contracting UA activity concerned.

shall be given an indoctrination in the methods and operations used by hostile intelligence services to subvert U.S. industrial personnel, as well as defensive measures to be employed by employees in order to counter such subversion. Part B of appendix VII provides indoctrination information on this subject. When representatives of the U.S. Government provide specific counterintelligence awareness briefings to the FSO, the FSO shall ensure that all cleared key personnel are also briefed, either at the time the FSO is briefed or at a subsequent briefing to be conducted by the FSO or designee. In addition, the employee who has possession or knowledge of an element or item of classified information shall be informed that the employee is responsible for determining whether a prospective recipient is an authorized person (see paragraph 3e). The employee shall be informed that he or she is required to advise the recipient of the classification of the information which he or she discloses. The contractor shall also inform its employees that unauthorized disclosure of classified information violates DoD regulations and contractual obligations, and is punishable under the provisions of federal criminal statutes.

g. Security Briefing and Termination. Contractors shall, prior to permitting their employees to have access to classified information, brief them on their obligations to safeguard classified information, advise them of its importance, inform them of the required security procedures, and have them read, or have read to them, the portions of the espionage laws, conspiracy laws, and federal criminal statutes applicable to the safeguarding of classified information appearing in appendix VI of this manual. In addition, the employees shall be advised that they must report to the contractor if they become a RFI (see paragraph 3bw). Following the briefing the employees shall be required to execute part 1 of DISCO Form 482, "Security Briefing and Termination Statements." The DISCO Form 482 shall then be retained by the contractor. Employees who execute part 1 of DISCO Form 482 and who subsequently are absent from their places of employment, for any reason, in excess of 12 months, must reexecute part 1 of DISCO Form 482 before being permitted access to classified information. The employee shall be required to execute part II of DISCO Form 482 at the time of termination of employment (discharge, resignation, or retirement) and at the beginning of a layoff or leave of absence for an indefinite period or for a period in excess of 12 months, upon termination or revocation of the FCL, or when administrative termination of PCL is accomplished in accordance with the provisions of paragraph 29. The contractor shall retain part II, DISCO Form 482, or its predecessor form, for not less than 3 years when an employee has had access to TOP SECRET or other information requiring a special access authorization by the U.S. Government, and for not less than 2 years when an employee has had access to SECRET or CONFIDENTIAL information. The importance of the termination statement shall be brought to the terminating employee's attention. If the terminating employee had access to TOP SECRET, COMSEC, or other information requiring a special access authorization by the U.S. Government, he or she shall be given an oral debriefing which shall include a statement of: (i) the purpose of the debriefing, (ii) the serious nature of the subject matter which requires protection in the national interest, (iii) the need for caution and discretion, and (iv) advice concerning any travel restrictions which are appropriate. The CSO shall be notified immediately, in accordance with paragraph 6a(9), of the circumstances involved whenever an employee refuses to execute the DISCO Form 482 4/.

(Footnote 4/ is on the following page.)

h. Special Features of Design. Shall not incorporate any special features of design or construction in any project other than that for which they are furnished by, developed for, or designed for the Government, if such incorporation would disclose classified information unless prior written authorization of the contracting officer concerned has been obtained. However, classified features of design or construction may be incorporated by the contractor in other U.S. User Agency projects of equal or higher classification unless specifically prohibited by the Government. U.S. classified information shall not be used in the performance of a foreign classified contract unless the information was furnished through the designated military department in connection with that contract, or the U.S. contracting officer concerned has expressly authorized in writing the use of that information.

i. Security of Combinations. The contractor shall ensure that the combinations to safes, containers, vaults, and three-position dial-type changeable combination padlocks used to lock containers holding classified material are classified and safeguarded, in accordance with the highest level of the classified material stored in a given container. If a written record is established for the combinations, the record shall be marked with the classification designation, that is, TOP SECRET, SECRET, or CONFIDENTIAL, of the highest level of material stored in the container. Other markings specified in paragraph 11 for classified material are not required. However, if the record is for the combination of a container used for storage of special categories of information, such as NATO, CNWDI, RESTRICTED DATA, or other information that requires special briefings or access requirements, procedures shall be established to ensure that the special requirements are adhered to and only those persons having a need-to-know are given access to the record of the combination. In addition, accountability for the written record shall be established in accordance with paragraph 12. The combinations shall be changed at intervals of at least once every year (if NATO or CRYPTO classified material is stored, the combination shall be changed every 6 months) and at the earliest practical time following:

(1) the reassignment, transfer, or termination of any person having knowledge of the combination, or when the PCL granted to any such person is

4/ When a terminated employee fails to execute part II of DISCO Form 482, the contractor shall make every reasonable effort to contact the former employee for the purpose of correcting the omission; for example, enclosing a copy of the form in a registered or certified letter, return receipt requested, sent to the former employee's last known address. If, once contact is established with the former employee, he or she fails to comply with the request to execute and return the form, such failure shall be considered as tantamount to a refusal and should be reported as such in accordance with paragraph 6a(9), indicating what efforts had been made to locate the former employee. When employees are also required to be given an oral debriefing, the contractor may, if the former employees are located in a remote distance from the facility, direct them to contact the nearest CSO and make arrangements to receive the required debriefing. In such a case, the CSO should be requested in writing to perform the debriefing on behalf of the contractor.

downgraded to a level lower than the category of material stored, or is suspended or revoked by proper authority;

(2) the compromise or suspected compromise of the safes and containers or their combinations, or discovery of the container being left unlocked and unattended; or

(3) the initial receipt of safes, containers, and three-position dial-type changeable combination padlocks.

Combinations to safes, containers, vaults, and three-position dial-type changeable combination padlocks shall be changed under the above schedule by a person entrusted with the combination or authorized access to the contents of the container in accordance with paragraph 14c, or by the FSO or his or her designated representative. Under no circumstances shall the changing of the combinations be performed by an outside locksmith or subcontractor employee. To prevent unauthorized substitution, combination padlocks shall be placed inside of the open container or secured to a hasp, drawer, or handle of the container when it is open.

j. Security Checks. The contractor shall perform security checks within the facility to ensure that at all times security precautions are taken to protect classified material in the possession of the facility and shall designate an individual or individuals to make room or area checks during normal working hours to ensure that all classified material not under surveillance has been properly stored.

k. Transmission. The contractor shall establish procedures for the proper transmittal of classified material under the provisions of paragraph 17.

l. Disposition of Classified Material. The contractor shall return to the contracting officer, or his or her designated representative, all classified material furnished by a UA, including all reproductions thereof, and shall surrender all classified material developed by the contractor in connection with a UA contract, program, or solicitation 5/ 6/, unless the material has been destroyed in accordance with paragraph 19, or the retention of the material is authorized under the provisions of paragraph m below. Such material shall be returned or surrendered in accordance with the following schedule:

5/ The placing of an appropriate notation on each document, indicating the specific contract to which it pertains, will assist in achieving compliance with this paragraph.

6/ Classified material, which is not related to a proposal or classified contract (see paragraph 1a), may be destroyed in accordance with the provisions of paragraph 19c (unless specifically prohibited), or disposed of in accordance with instructions issued by the UA that originally furnished the material.

(1) if a bid, proposal, or quote is not submitted or is withdrawn -- within 90 days after the opening date of bids, proposals, or quotes;

(2) if a bid, proposal, or quote is not accepted -- within 90 days after notification that a bid, proposal, or quote has not been accepted and if further retention is necessary to serve a UA purpose, a request for approval shall be submitted to the appropriate contracting officer in accordance with paragraph m below; or

(3) if a successful bidder -- on final delivery of goods or services, or on completion or termination of the contract, unless otherwise prescribed in the contract or directed by the contracting officer.

m. Retention of Classified Material.

(1) The contractor may retain classified material in special cases when a bid, proposal, or quote is not accepted or on completion or termination of the contract, provided the contractor requests and justifies such retention and its retention is agreed to by the contracting officer. The contractor shall be authorized to retain classified material only:

(a) when retention is necessary for the maintenance of the contractor's essential records;

(b) when classified information is also patentable or is proprietary data in which the contractor has title; or

(c) when retention of the material will assist the contractor and will benefit the U.S. Government in the performance of other UA contracts (the contracting officer of a current classified contract may authorize transfer of the material to the current contract when the material is identified by the contractor in accordance with the procedure set forth in paragraph 5m(1)(d) 7/ -- in these situations the material will be disposed of, in accordance with paragraph 5l, at the completion of the current contract); and

(d) when the contractor justifies and requests retention authority in writing, indicates the period of time retention is necessary, and identifies the classified material for which retention is requested as

7/ When such approval is granted the contracting officer who has cognizance over the classified material shall be notified by the current contracting officer. In the event retention of information under the circumstances contemplated in this paragraph involves information of a DoD UA being retained by a contractor of a non-DoD UA, or vice versa, or between non-DoD agencies, the concurrence of the contracting officer of the completed or terminated contract or bid which was not accepted must be obtained by the current contracting officer prior to authorizing retention of the materials. Information authorized for retention under these circumstances will be identified as to its origin, and its ultimate disposition or declassification will remain with its originating agency.

follows: TOP SECRET and SECRET material shall be identified in a list of specific documents unless, in the case of SECRET material only, the contracting officer has authorized identification by subject matter and approximate number of documents; CONFIDENTIAL material shall be identified by subject matter and approximate number of documents. However, authorization of the contracting officer is not required for the retention of: (i) records held by the contractor in accordance with the records retention requirements of the basic contract; (ii) records authorized for retention for a specific period under the terms of the basic contract; and (iii) records which during the contract period, the contracting officer authorized the contractor to retain for a specific period following completion of the contract; provided that in each case the contractor informs the contracting officer of the material to be retained, identifying it in the manner prescribed above.

(2) The contractor may retain classified material which does not relate to a contract, for a limited time unless indicated otherwise on the material. For example, the contractor may retain material obtained at classified symposiums or meetings as long as needed, but not for a period to exceed 1 year from the date of receipt. Retention beyond that time is authorized only when the contractor requests and justifies such retention, and retention is agreed to by a contracting officer of a current contract or an official of the UA which released the information.

n. Termination of Security Agreement. The contractor shall, notwithstanding the provisions of paragraphs l and m above, in the event that the DD Form 441 is terminated for any reason by either party and is not superseded by a new DD Form 441, render all classified material in his or her possession to the UA concerned, or dispose of such material in accordance with instructions from the UA concerned. The DIS FL 381-R, "Letter of Notification of Facility Security Clearance," and the contractor's copy of the DD Form 441 shall be returned to the CSO. Control station records, reproduction records, destruction certificates, and visitor records for which the retention period is not expired at the time of termination of the DD Form 441, shall continue to be maintained by the contractor until the expiration of the prescribed retention period. These records shall be subject to review and recall by the U.S. Government at any time within the retention period.

o. Public Disclosure. The contractor shall not disclose information pertaining to classified contracts or projects, except as specified in paragraphs (1) through (6) below without the clearance of the Directorate for Freedom of Information and Security Review, Office of the Assistant Secretary of Defense (Public Affairs), the Pentagon, Washington, D.C. 20301 8/, in order to preclude the disclosure of information requiring protection in the interest of national security. Requests for clearance shall be submitted to the activity specified in item 13 of the DD Form 254, "DoD Contract Security Classification Specification." Contractors performing on DoD classified contracts need not submit for clearance the following information:

8/ If the information pertains to a classified contract or project awarded by a non-DoD agency, a request for clearance to disclose information shall be submitted to the contracting agency.

(1) the fact that a contract has been received, including the subject matter of the contract and/or type of item in general terms, provided the name or description of the subject matter is not classified;

(2) the method/type of contract; that is, bid, negotiated, letter, and so on;

(3) the total dollar amount of the contract, unless that information equates to:

(a) a level of effort in a sensitive research area or

(b) quantities of stocks of certain weapons and equipment which are classified;

(4) whether the contract will require the hiring or termination of employees;

(5) other information which from time-to-time may be authorized on a case-by-case basis by the OASD(PA) or the Director for Freedom of Information and Security Review in a specific agreement with a contractor; and

(6) information previously officially approved for disclosure by OASD(PA).

All information developed subsequent to the initial clearance shall also be cleared by the Directorate for Freedom of Information and Security Review prior to public disclosure. The provisions of this paragraph also apply to unclassified brochures, promotional sales literature, reports to stockholders, and similar material 9/. In case of doubt about the need to clear information, a contractor may query the activity identified in item 13 of the DD Form 254 or the Directorate for Freedom of Information and Security Review.

p. Classified Sales Literature. The contractor shall not publish or distribute, or permit to be published or distributed, brochures, promotional sales literature, or similar material containing classified information, without prior review and written authorization by the contracting officer concerned or his or her designated representative. The authorization for such publication and distribution shall be indicated on the cover of the document, or the first page of the document, if there is no cover. However, publication and distribution to authorized persons (see paragraph 3e) may be made without specific authorization from the contracting officer for:

(1) classified material which is published or distributed for necessary use within the organization of the contractor or his or her subcontractor in the performance of the contract,

9/ In addition to the requirements of this paragraph, the disclosure of unclassified technical data is also governed by the Export Administration Act of 1969, as amended, administered by the Secretary of Commerce, and Section 38 of the Arms Export Control Act of 1976, administered by the Secretary of State through the ITAR.

(2) classified material prepared in reply to a request for proposal or invitation to bid received from a UA or a cleared prime contractor or subcontractor of a UA or classified information contained in an unsolicited proposal submitted to a UA, and

(3) classified material submitted in response to an official request of a UA.

q. Disclosure at Meetings. The contractor shall not disclose in any manner classified information at a conference, seminar, symposium, exhibit, or convention (hereinafter referred to as a meeting), unless one of the following conditions is met.

(1) Classified information may be disclosed at a meeting conducted pursuant to, and as a necessary element of, a specific contract held only in the prime or subcontractor's facility and attended only by authorized persons who have a need-to-know in connection with the contract, including employees of the contractor or subcontractors, consultants thereto, and authorized visitors, and over which meeting controls have been established to ensure that the meeting site is physically secure, that the classified notes, minutes, and summaries resulting from the meeting are properly safeguarded and that the attendees are given sufficient classification guidance during the oral presentations.

(2) Classified information may be disclosed at a meeting conducted by a DoD activity, provided that when the information to be disclosed is under the jurisdiction of another U.S. Government agency or when the meeting is to be attended by representatives outside the DoD, the contractor requests the conducting activity to obtain written approval from the contracting officer concerned prior to the disclosure. A copy of such request shall be furnished to the contracting officer concerned. The contractor is not required to obtain approval if only DoD information is to be disclosed, and only the contractor, subcontractors and their employees, and DoD personnel are to attend the meeting.

(3) Classified information may be disclosed at a meeting conducted by a contractor, association, institute, or society whose membership is comprised primarily of contractors cleared by DoD, contractor employees, or DoD personnel, and sponsored for security purposes by the DoD (including the departments and agencies named in paragraph 1c), provided written approval of the contracting officer concerned is furnished to the sponsoring activity prior to the disclosure, and the additional requirements of paragraph 9 are fulfilled. or

(4) Classified information may be disclosed at a meeting conducted or sponsored by U.S. Government agencies other than DoD, provided the contractor requests and obtains written approval from the contracting officer concerned prior to the disclosure. Security sponsorship of a meeting by a UA other than DoD will be in accordance with the provisions of that agency. However, as a minimum the requirements of the ISM shall apply for the safeguarding of classified information.

r. Controlled Areas. The contractor shall place in effect a system to control access of employees and visitors to closed and restricted areas (see section IV).

s. Standard Practice Procedure (SPP). The contractor shall, prior to the issuance of a FCL by the CSO, submit a written SPP (interim or final) in sufficient detail to place into effect all security controls required by the DD Form 441 and this manual which are applicable to the operations of the facility. An interim SPP must implement requirements of this manual which are immediately applicable to the operations of the facility in connection with the facility's anticipated involvement in the DoD Industrial Security Program. A MFO, or, as provided for in paragraph 72c, parent-subsidiary collocated facilities, may publish a SPP applicable throughout the organization, but such publication shall then be adapted as necessary to apply to specific operating locations. A copy of the SPP shall be furnished to each appropriate CSO. The contractor shall modify the SPP on notification from the CSO that it does not adequately implement the requirements of this manual. The SPP may be revised at any time after issuance of a revision to this manual. However, the SPP shall be revised as necessary to implement the revisions applicable to the contractor's operation within 4 months after receipt of a revision. The SPP for a facility at which only one employee or management official is assigned shall provide for the notification to the CSO of the death or incapacitation of that employee. Specifically, the SPP shall:

(1) identify by name, address, and telephone number, the individual(s) who would notify the CSO of such an occurrence (the said individual(s) would not require access to classified information and therefore need not be cleared); and

(2) include provisions for keeping the CSO advised of the current combination to the container and, in the case of one-person facilities of a MFO, keep the HOF FSO advised of the current combination to the container.

t. Special Access Programs. The contractor shall implement special access program requirements, when such requirements are included in a DD Form 254 or other appropriate contract-related document.

u. Defensive Security Briefing.

(1) The contractor shall require all cleared employees (including cleared directors), Type A Consultants, and temporary help supplier personnel, to inform him or her of their intended travel to or through a Communist country 10/; attendance at an international scientific, technical, engineering, or other professional meeting, regardless of the geographic location of such a meeting, when it can be anticipated that representatives of Communist countries will participate or be in attendance; or of plans to host an unclas-

10/ Communist countries are: Albania, Bulgaria, Kampuchea, Peoples Republic of China, (Communist China including Tibet), Cuba, Czechoslovakia, Communist Korea (North Korea), German Democratic Republic (GDR, East Germany including the Soviet Sector of Berlin), Hungary, Laos, Mongolian Peoples Republic (Outer Mongolia), Poland, Rumania, Union of Soviet Socialist Republics (USSR includes Estonia, Latvia, Lithuania, and all other constituent republics, Kurile Islands and South Sakhalin (Karafuto)), Vietnam, and Yugoslavia. \*

sified visit by representatives of Communist countries at a facility engaged in classified work or research. In instances where the individual is located at a using contractor or UA as a consultant or an employee of a temporary help supplier, the using contractor or UA, as appropriate, will be notified of the intended travel, attendance at a meeting, or hosting of a visit. In the case of a facility where only one individual is located, the CSO will be so informed. When an individual works for more than one contractor or UA, each will be notified, and in the case of temporary help supplier personnel, the principal employer, in addition to the using contractor or UA, shall be notified.

(2) The contractor shall give the individual a defensive security briefing, based upon the guidance contained in appendix VII. For temporary help supplier personnel, only one contractor or UA (where access is at the highest level) is required to accomplish the briefing. Usually the individual involved would be in the best position to determine which contractor or UA can most conveniently accomplish the briefing. Accordingly, the individual should make appropriate arrangements with that activity and furnish the other contractors or UA's at which he or she is employed an advance notice, stating when and by whom the briefing is to be given. Individuals who frequently travel, attend meetings, or host visitors as described above, need not be briefed on each such occasion, provided the individuals have been thoroughly briefed at least once within the preceding 6 months and reminded of their security responsibilities. Prior to departure of personnel for travel to or through a Communist country, or to attend a meeting outside the U.S., all classified information in their custody shall be accounted for by the using contractor or UA. Employees expected to engage in marketing activities with representatives of Communist countries shall also be provided with a defensive security briefing based on the guidance contained in appendix VII.

(3) The contractor shall, on completion of the briefing, obtain from the individuals briefed statements identifying who furnished the briefing and attesting that they understand their individual responsibilities for safeguarding classified information. This statement shall be retained for at least 3 years when an employee has had access to TOP SECRET, COMSEC, or special access program information, and for at least 2 years when access has been to SECRET or CONFIDENTIAL information. In the case of temporary help supplier personnel, the statement shall be forwarded to the temporary help supplier for retention. If the UA or CSO conducts the briefing, they are responsible for obtaining the briefing statement. \*

(4) The contractor shall submit a report as required by paragraph 6b(9), unless the UA or CSO conducted the briefing, in which case they shall submit the report.

v. Relationships with Citizens or Residents of Communist Countries 10/.

(1) The contractor shall require all cleared employees, including those in the process of being cleared by the DoD, to immediately notify the contractor who shall submit a report to DISCO, in accordance with paragraph 6b(4), if either or both of the following events should occur subsequent to the completion of the employee's PCL forms:

(a) a member of the immediate family of the employee or the employee's spouse takes up residence in a Communist country; or

(b) through marriage, the employee acquires relatives who are citizens or residents of a Communist country.

(2) The contractor shall require all temporary help supplier personnel, while such personnel are working under the contractor's direction and control on the using contractor's classified programs or contracts, to immediately notify the contractor if either or both of the events in paragraphs (a) and (b) above should occur. In such a case, contractors shall then take action to ensure that the temporary help suppliers are notified, so that they can take action to submit reports to DISCO, in accordance with paragraph 6b(4).

w. Emergency Procedure. Contractors shall include in their SPP general instructions for safeguarding classified material in emergency situations, such as natural disasters or any civil disturbances. The procedure shall be as simple and practical as possible and should be adaptable to any type of emergency that may arise. A procedure shall be incorporated in the SPP to provide for the submission of a report to the CSO and contracting officer, by the most expeditious means, of any emergency situation which renders the facility incapable of safeguarding the classified material (see paragraph 6a(17)). Courses of action, not necessarily limited to the following, are available to contractors to safeguard the classified material in their possession.

(1) Secure the classified material in authorized storage containers or controlled areas. If feasible, a guard(s) should remain with material secured in controlled areas. The storage containers and controlled areas shall be examined on return to the facility to determine whether the classified information has been compromised, or if any classified material is missing. A report shall be submitted in accordance with paragraph 6a(1) or (2), if appropriate.

(2) Request assistance from appropriate civil authorities, including local and state law enforcement agencies.

(3) Seek legal remedies such as the issuance of a court restraining order or injunction against interference with the contractor in the exercise of his or her property rights or in the discharge of his or her contractual obligation to safeguard classified information.

(4) Request, when necessary, the assistance of the CSO; for example: (i) in obtaining the legal remedies described in paragraph (3) above and (ii) in arranging for the removal and safekeeping of the classified material by either the CSO, contracting activity, or a military activity located at or near the facility.

x. Release or Transmission Outside Contractor's Facility. The contractor shall obtain the approval of the contracting officer prior to release or transmission of TOP SECRET information outside a contractor's facility in every instance. With respect to SECRET and CONFIDENTIAL information, the contractor shall obtain the contracting officer's approval for release or transmission outside the contractor's facility, except in the following instances:

- (1) when release is required by the specific terms of the contract;
- (2) when it is necessary in the performance of the contract;
- (3) in connection with precontract negotiations with prospective subcontractors, vendors, or suppliers;
- (4) in prime contractor-subcontractor, MFO, and parent-subsubsidiary relationships as authorized by sections VI and VIII, respectively; and
- (5) during visits among prime contractors which are participating under U.S. Government direction in contracts pertaining to research, development, or production of a weapon system (see paragraph 3ct).

When a contract requires classified material to be disseminated by a contractor to another contractor in accordance with a standard mailing or distribution list, and there is no current contractual relationship of a classified nature between the contractor and a designated recipient, the releasing contractor shall verify the FCL and safeguarding ability of the recipient prior to making the first release of any material, except when advised by the contracting activity supplying the distribution list that it will retain the responsibility for these determinations. If appropriate, the CSO of the recipient shall be advised by the releasing contractor that classified material will continue to be disseminated to the recipient under terms of the contract (identify the contracting activity and contract number) for a specified period (not to exceed the estimated date of contract completion or renegotiation), unless advised by the CSO of a change adversely affecting the recipient's FCL or safeguarding capability. When the mailing or distribution list requires dissemination of the material to a UA installation, the foregoing requirements do not apply, but the material shall be transmitted in accordance with paragraph 17.

y. DoD Technical Information Dissemination Activities. The contractor shall forward the DD Form 1541, "Facility Clearance Register," to the CSO when making the first application for access to classified scientific and technical information in the possession of the DTIC (Cameron Station, Alexandria, Virginia 22314), its field extensions, a DoD information analysis center, or the Redstone Scientific Information Center (U.S. Army Missile Command, Redstone Arsenal, Alabama). This form is used to obtain certification of the category of classified material that an applicant (contractor) is cleared to receive and is capable of safeguarding. A DD Form 1541 shall be submitted only when requesting approval of the first "Registration for Scientific and Technical Information Services" (DD Form 1540). When certified, the DD Form 1541 remains in effect for all future registrations and until the contractor's FCL is suspended, revoked, or terminated, or until the contractor is no longer able to safeguard classified material at the specified category. The DD Form 1540 shall be submitted to the sponsoring UA contracting officer, in accordance with guidance provided by DTIC. Scientific and technical information acquired from DTIC, its field extensions, a DoD information analysis center, or the Redstone Scientific Information Center shall be safeguarded in accordance with the requirements of this manual and the restrictions on the use, disclosure, and dissemination of the information, which are marked on the

documents. When the contract to which the DD Form 1540 applies is completed or terminated, the contractor shall either destroy the material in the manner prescribed in paragraph 19 or obtain authorization to retain the documents from the sponsoring UA in accordance with paragraph 5m. The placing of an appropriate notation on each document, indicating the specific contract to which it pertains, will assist in achieving compliance with this requirement.

z. List of Classified Contracts. The contractor shall, after receiving notice of a forthcoming security inspection, prepare a listing of all classified contracts on which the facility is currently performing.

aa. Investigative Assistance. The contractor shall cooperate fully with representatives of federal investigative agencies and of the CSO conducting official investigations pertaining to the unauthorized disclosure of classified information or concerning the eligibility of personnel requiring access to UA classified information. This should include providing suitable arrangements within the facility for conducting private interviews with employees during normal working hours, making employment and security records available for review on request by such representatives, and otherwise rendering assistance as necessary.

ab. Temporary Help Supplier Personnel. The contractor shall orient temporary help supplier personnel in the security practices and procedures of the facility, which will enable such personnel to understand and comply with the procedures applicable to the duties they are to perform. Using contractors will also submit, as appropriate, reports pertaining to such personnel while they are actually working at their facilities under their direction and control. This action by the using contractor in no way relieves the temporary help suppliers from complying with the requirement for security indoctrination and training of their employees or other concurrent requirements of this manual.

ac. Self Inspections. Contractors shall conduct their own self-inspection program for the purpose of evaluating all security procedures applicable to the facility's operations. Contractors shall review their security system on a continuing basis and shall also conduct a formal self-inspection so as to occur at a reasonable interval; that is, midway between inspections conducted by the CSO. The inspection may be conducted by a security representative(s) from the facility or by a HOF of cleared parent representative(s) at the discretion of management. In any event, management shall establish, at an appropriate organizational level, a procedure for evaluating the effectiveness of the self-inspection program. Self-inspection shall consist of an audit of all the facility's operations in light of its SPP and the requirements of this manual. As a minimum, self-inspections will include all elements normally inspected by the CSO. The guidelines used by U.S. Government inspectors in conducting inspections of contractors are outlined in appendix XIII. These guidelines will change from time to time to reflect changes in ISM requirements. Not all of the items listed in appendix XIII are intended to be covered during any one inspection, but over a reasonable period of time those items in appendix XIII that pertain to a facility should be covered during the self-inspections.

Deficiencies identified as a result of self-inspections shall be corrected as expeditiously as possible. In the event difficulty is encountered in resolving a deficiency, the CSO will provide assistance on request. The contractor shall maintain a record of the dates on which the self-inspection has been accomplished, and this record must be available for review during the next scheduled inspection by the CSO.

ad. Classification Responsibilities of Contractors. The contractor is responsible to implement the classification decisions of the U.S. Government contracting authority. Contractor implementation shall be based on classified source material or a DD Form 254 with its enclosed or referenced classification guides.

ae. Verification of U.S. Citizenship. The contractor shall require each employee who is an applicant for a PCL (including the "CONFIDENTIAL" level) and who claims U.S. citizenship to produce evidence which will verify such citizenship. Documents which are acceptable evidence of U.S. citizenship are listed at appendix XII. Unless the form has a verification block, a statement as follows will be typed or stamped by the contractor in the "Remarks" portion of the appropriate DoD clearance forms: "Authorized evidence of U.S. citizenship has been reviewed by the certifying official and the name, date, and place of birth therein are as stated on this form." (The recent revisions of DD Forms 48 and 49 have included verification blocks added to the forms.) In the case of PCL's by the DoD, if the required documentary evidence is not immediately obtainable prior to submission on the application to DISCO, a statement as follows will be typed or stamped in the "Remarks" portion of the appropriate DoD clearance form: "Applicant has applied to (insert name of agency organization) for authorized evidence of citizenship (insert acceptable document from appendix XII)." On receipt of evidence of citizenship, the contractor will notify DISCO that authorized evidence of U.S. citizenship has been reviewed and that the name and date and place of birth are as stated in the previously submitted clearance form. DISCO will not forward a LOC until the contractor has certified the applicant's U.S. citizenship. CONFIDENTIAL clearances by the contractor shall be granted in accordance with paragraph 24b.

af. Supervisory and Managerial Responsibility for Reporting Adverse Information. Supervisory and managerial personnel shall be reminded of their responsibilities for advising the FSO of the existence of any information coming to their attention concerning any employee who has been cleared or is in the process of being cleared for access to classified information, when information indicates that such access may be questionable or not in the interest of national security.

ag. Security Inspections. As provided for in section II of the "Department of Defense Security Agreement," security inspections shall be conducted by the CSO for all cleared contractor facilities in order to ensure that the procedures, methods, and physical safeguards employed by contractors are adequate for the protection of classified information, which may be entrusted to them. The frequency of such inspections is normally determined by the highest level of classified material possessed at the facility. However, security inspections may be conducted on an announced basis, or they may be unannounced.

ah. Contacts With Nationals or Representatives of Communist Countries \*  
10/. Such contact shall require all cleared employees, including those in \*  
the process of being cleared by the DoD, to immediately notify the contractor\*  
of all questionable or suspicious contacts with nationals or representatives \*  
of Communist countries. A questionable or suspicious contact in this regard \*  
is any personal exchange, encounter, or relationship, which is determined to \*  
consist of an actual, probable, or possible hostile intelligence collection \*  
effort (see paragraph B, appendix VII, for assistance in recognizing a \*  
reportable contact). \*

6. Reports.

a. The contractor shall immediately submit in writing to the CSO a report of any of the following 11/.

(1) Espionage, Sabotage, or Subversive Activities. The contractor shall submit an information copy of any report filed under paragraph 6c with the FBI.

(2) Loss, Compromise, or Suspected Compromise. The contractor shall submit a report, classified, if appropriate, of any loss, compromise (including deliberate compromise), or suspected compromise of classified information 12/.

(3) Other Security Violations. The contractor shall submit a report, in addition to the requirement of paragraph (2) above, classified, if appropriate, of each violation of the requirements of this manual involving

11/ When reports are submitted or information is provided pursuant to these requirements, either classified if qualified, or offered in confidence, and so marked by the contractor, applicable exemptions to the Freedom of Information Act will be invoked as a matter of policy to withhold the information contained in such reports from public disclosure. When any of the reports submitted pursuant to these requirements contain unclassified information pertaining to an individual, the Privacy Act of 1974 permits the withholding of that information from that individual only to the extent that the disclosure of the information would reveal the identity of a source who furnished the information to the U.S. Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence. In appropriate cases, the DoD will entertain a request from a defense contractor or its employees for such assistance as may be necessary against legal action based on the reporting of information in accordance with the requirements of this manual. Such assistance may include support for a claim by the contractor or the employees concerned that the information was reported under an absolute or qualifying privilege. In such cases, the DoD will request appropriate assistance from the Department of Justice.

12/ When the facility or contractor is located on a UA installation, and the Commander or Head of that installation is performing certain prescribed functions of a CSO, the original copy of the report shall be furnished to the Commander or Head of the installation with an information copy of the report furnished to the CSO.

TOP SECRET or special access information, RESTRICTED DATA, or COMSEC information, regardless of classification, which the contractor possesses in connection with UA contracts or programs 12/.

(4) Changed Conditions.

(a) The contractor shall submit a report of any change of ownership, including stock transfers that affect control of a corporation.

(b) The contractor shall submit a report of change of operating name or address of the facility(s) covered by the DD Form 441.

(c) The contractor shall submit a report of any change (that is, additions, deletions, or any change relative to the information which was previously submitted) in officers, directors, partners, regents, trustees, or executive personnel, including, as appropriate, the names of the individuals they are replacing. In addition, a statement shall be made indicating: (i) whether the new officers, directors, partners, regents, trustees, or executive personnel are cleared, and if so, to what level and when, their date and place of birth, social security number, and their citizenship; (ii) whether they have been excluded from access in accordance with the provisions of 22e; (iii) or whether they have been temporarily excluded from access pending the granting of their PCL's. A new complete listing of OODEPs need only be submitted at the discretion of the contractor and/or when requested in writing by the CSO.

(d) The contractor shall submit a report about any OODEP who becomes a RFI, as defined in paragraph 3bw, or whose status as a RFI changes in a manner that would make the OODEP ineligible for a PCL pursuant to paragraph 20k.

(e) The contractor shall submit a report of action to terminate business for any reason, imminent adjudication or reorganization in bankruptcy, or any change that might affect the validity of the DD Form 441.

(f) The contractor shall submit a report of any change which affects the information previously reported by the contractor on the DD Form 441s, "Certificate Pertaining to Foreign Interests." This report will be made by the submission of a revised DD Form 441s. Moreover, when entering into discussions or consultations with foreign interests which may reasonably be expected to lead to the introduction or increase of FOCI and necessitate the submission of a revised DD Form 441s, the contractor shall report the details by letter. Additionally, when the contractor becomes aware of negotiations for the sale or transfer of securities to a foreign interest and such sale or transfer would necessitate the submission of a revised DD Form 441s, the details will be reported by letter. Reports made pursuant to the foregoing are presumptively proprietary and will be protected from unauthorized disclosure and handled on a strict need-to-know basis. When such reports are submitted in confidence, and so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold them from public disclosure. In cases where the contractor considers the information to be particularly sensitive or delicate and wishes to further restrict dissemination, the foregoing report may be appropriately marked and submitted to the Director, DIS, ATTN: Deputy Director (Industrial Security), 1900 Half Street, S.W., Washington, D.C. 20324.



(5) Change in Closed or Restricted Areas, Vaults, and Strongrooms. The contractor shall submit a report of any change in the extent or location of closed areas, restricted areas, vaults, or strongrooms created under the provisions of section IV and appendix IV, respectively, including the establishment of such areas.

(6) Change in Storage Capability. The contractor shall submit a report of any change in the storage capability that would raise or lower the level of classified information the contractor is able to safeguard. (This provision does not require the contractor to report the acquisition of additional containers approved for storage at the same level as that previously reported to the CSO.)

(7) Employee Information in Compromise Cases. The contractor shall submit a report, on the written request of the CSO, of information concerning any employee working in any of his or her plants, factories, or sites where work for a UA is being performed, when the information is needed in connection with the loss, compromise, or suspected compromise of classified information.

(8) Category of Classified Information. The contractor shall submit a report of the highest classification category of classified material received or generated at the facility. However, when the classification of the material received or generated is no higher than that of the material in possession of the facility during the last inspection or previously reported pursuant to this paragraph since the last inspection, an additional report need not be submitted.

(9) Termination Statement. The contractor shall submit a report, in accordance with paragraph 5g, when an employee refuses to execute DISCO Form 482.

(10) Delay in Shipment. The contractor shall submit a report, in accordance with paragraphs 17c(5)(d) and 17d(3)(d), of the delay in the movement of classified material by commercial carriers of more than 48 hours after the expected time of arrival.

(11) Evidence of Tampering. The contractor shall submit a report, in accordance with paragraph 12e(2) or 17g, of evidence of tampering with a shipment containing classified material.

(12) Improper Shipment. The contractor shall submit a report when a classified shipment is received by other than an approved method prescribed by paragraph 17.

(13) Badges and Identification Cards. The contractor shall submit a report, in accordance with paragraph 8c, which will inform the CSO of the adoption of a new or revised employee badge or identification card system.

(14) Authorization to Apply Classifications. On request, the contractor shall submit a report, in accordance with paragraph 10f(4), of the number of individuals currently authorized by the contractor to apply a classification to information at each of the following categories: TOP SECRET, SECRET, and CONFIDENTIAL.

(15) Location or Disposition of Classified Material Terminated From Accountability. The contractor shall submit a report, in accordance with para-

graph 12h(2), when the whereabouts or disposition of classified material previously terminated from accountability is subsequently determined.

(16) Inability to Safeguard Classified Material. The contractor shall submit a report, by the most expeditious means, of any emergency situation, such as a natural disaster or civil disturbance, which renders the facility incapable of safeguarding all classified material (see paragraph 5w). A report shall also be provided to all contracting officers concerned. This requirement of the DoD does not preclude similar reporting of the incident to appropriate local, state, and federal civil authorities, as the situation warrants.

(17) Foreign Classified Contracts. The contractor shall submit a report of any precontract negotiation or award of a foreign or NATO contract for a foreign firm or government involving either U.S. or foreign classified information which is not placed through a UA.

(18) Receipt of Classified Material Not Related to a Classified Contract, Project, or Program. The contractor shall submit a report of the receipt of any classified material, which is not related to a contract, project, or program and for which no specific safeguarding and disposition instructions have been received; further, if the contractor has been unable to obtain classification guidance or disposition instructions from the government originator, or the government activity releasing the material, the report shall state so. The report should identify the material by source, originator, quantity, subject or title, date, and classification category.

(19) Visits by Communist Country Representatives or Nationals. The contractor shall submit a report, as soon as the visit arrangements are known, of the intent to host an unclassified visit by representatives or nationals of a Communist country 10/. The report shall include the name and address of the contractor to be visited, the name(s) of the visitor(s) and the foreign firm or government agency and country represented, and the date and purpose of the visit. If access to information which relates to a classified contract or project is involved, the report shall include a description of the information and any other information concerning the visit which may be pertinent. In preparation for the visit, the contractor, in accordance with paragraph 5u, shall provide a defensive security briefing and a counterintelligence awareness briefing to cleared personnel hosting the visitor(s), as well as employees expected to engage in marketing activities. Disclosure of unclassified information pertaining to classified contracts or projects is governed by the provisions of paragraph 5o. The contractor shall include in the report a statement as to whether paragraph 5o is applicable or an export license 9/ is required.

b. For all cleared personnel, the contractor shall submit the following reports immediately to the DISCO, Columbus, Ohio 43216, unless the individual involved is or was required to be cleared in connection with the FCL pursuant to paragraph 22, in which case the report will be submitted to the CSO 11/ 12/.

(1) Adverse Information 13/. Contractors shall submit reports, classified, if appropriate, of any information coming to their attention

(Footnote 13/ is on the following page.)

concerning any of their employees who have been cleared or who are in the process of being cleared for access to classified information, which indicate that such access or determination may not be clearly consistent with the national interest. The subsequent discharge of an individual by the contractor who receives this information does not obviate the requirement to submit this report. In addition, if the individual is employed on a UA installation, a copy of such report shall be furnished to the Commander or Head of the UA installation. Where the employee concerned had been granted a CONFIDENTIAL clearance by the contractor, in accordance with paragraph 24b, and is not in process for a U.S. Government granted PCL, the PCL forms specified in paragraph 26c shall accompany the report of adverse information. This requirement to submit information reports also applies to cleared temporary help supplier personnel or Type A Consultants utilized by the contractor. This requirement in no way affects the temporary help supplier's responsibility for submission of such reports when adverse information regarding his or her employee is brought to his or her attention.

(2) Change in Employee's Status. The contractor shall submit a report of the death, the change in name, or the termination of employment of those employees who have been or are in the process of being cleared by the DoD for access to classified information, or who have taken residence or assignment outside the U.S., Puerto Rico, Guam, or the Virgin Islands for a period in excess of 90 consecutive days during any 12-month period. Visiting contractor employees under section V are not included under provisions of this paragraph. Such changes will be reported by submission of a DISCO Form 562, "Personnel Security Clearance Change Notification." If the individual is reemployed within a 12-month period, DISCO shall be notified immediately. Clearances may not be reinstated after the 12-month period has elapsed. Additionally, if it is subsequently determined that an employee who is in the process of being cleared

13/ As a general rule, any information that reflects adversely on the integrity or character of the employee, which suggests that his or her ability to safeguard classified information may be impaired, should be reported to DISCO. In turn, DISCO will evaluate the information and decide whether further action is warranted. The following are some examples of the types of information (that is, based on incidents which may occur within or outside the contractor facility), which should be reported to DISCO: criminal activities; bizarre or notoriously disgraceful conduct; treatment for mental or emotional disorders; excessive use of intoxicants; use of illegal, controlled substances such as marijuana, heroin, cocaine, and hashish; and excessive indebtedness or recurring financial difficulties. These examples are not all inclusive, but are intended only to serve as a sample of the types of information which should be reported. Only information which has been confirmed by the contractor as fact need be reported. Reports based on rumor or innuendo should not be made under this paragraph. If there is doubt whether information should be reported, furnish the information to DISCO for evaluation. In two court cases, Becker vs. Philco and Taglia vs. Philco (389 U.S. 979), the U.S. Court of Appeals for the 4th Circuit decided on February 6, 1967, that a contractor is not liable for defamation of an employee because of reports made to the government pursuant to the requirements of the ISM.

by the DoD will not require access, DISCO shall be notified immediately so as to permit termination of the investigative action. When an individual is placed in temporary layoff status, a report of termination of employment is not required, provided reemployment occurs within 12 months.

(3) Official Investigation. Contractors shall submit reports, on the written request of DISCO, of information concerning any employees working in any of their plants, factories, or sites where work for a UA is being performed, when the information is needed in connection with an official investigation.

(4) Relationships in Communist Countries. The contractor shall submit a report, in accordance with paragraph 5v, of the establishment of a relationship between a cleared employee, or one who is in the process of being cleared by the DoD, and a citizen or resident of a Communist country.

(5) Representative of a Foreign Interest. The contractor shall submit a report of any cleared employee (including those in the process of being cleared by the DoD), except those covered by paragraph 6a(4), who becomes a RFI, as defined in paragraph 3bw, or whose status as a RFI changes in a manner that would make him or her ineligible for a PCL pursuant to paragraph 20k.

(6) Changed Intentions and Foreign Residence or Assignment of Immigrant Aliens. The contractor shall submit a report of: (i) residence or the assignment of a cleared immigrant alien outside the U.S. -- such individuals on visits of 90 consecutive days or less to foreign areas are not considered to be assigned outside the U.S., or (ii) a change in the intention of a cleared immigrant alien to reside permanently in the U.S. An immigrant alien's change of intent to reside permanently in the U.S., and residence or assignment of an immigrant alien outside the U.S., negates the basis (see paragraph 25) on which the LOC was issued, and the LOC will be administratively terminated without prejudice by DISCO on receipt of contractor notification. Except in connection with visits of 90 consecutive days or less, immigrant aliens may not be authorized access to classified information when visiting outside the U.S. Visits in excess of 90 consecutive days duration, shall invalidate any existing clearance.

(7) Citizenship by Naturalization. The contractor shall submit a report of a cleared immigrant alien who becomes a citizen through naturalization. This report will be made by the "Personnel Security Clearance Change Notification" (DISCO Form 562), setting forth in the "Remarks" block: (i) city, county, and state where naturalized; (ii) date naturalized; (iii) court; and (iv) certificate number. On receipt of such a report, DISCO will issue a new LOC (DISCO Form 560).

(8) Category 5 Visit Authorization. The contractor shall submit a report of the termination of a Category 5 visit authorization, in accordance with paragraph 4le, when the requirement for such authorization ceases to exist prior to the expiration of the period for which it is valid.

(9) Travel or Attendance at Meeting. The contractor shall submit a report, in accordance with paragraph 5u, on completion of travel to or through a Communist country, or attendance at an international meeting where Communist

representatives participated or attended. The report shall include the employee's full name, clearance status, date and place of birth, a brief description of the projects, including the category of classified information, to which he or she had access during the past 2 years (depending on the period of employment or utilization by the contractor in the case of temporary help supplier personnel), the countries visited or the meeting attended, the dates of the travel, and the employee's statement of the purpose and objective of the travel. The report shall include, if appropriate, a narrative statement of the circumstances surrounding all hostile intelligence efforts to obtain information from or to compromise the traveler, or any endeavor by an unfriendly interest to establish a continuing relationship with the employee.

(10) Employees Desiring Not to Perform on Classified Work or Accept Security Responsibility or Requests to Terminate Clearance or Clearance Processing. The contractor shall submit a report on notification by an employee that he or she no longer wishes to be processed for a PCL, pursuant to paragraph 26, or to continue an existing PCL.

c. The contractor shall submit immediately, in writing 14/, to the nearest field office of the FBI a report, classified, if appropriate, regarding the following events:

(1) information coming to his or her attention concerning existing or threatened espionage, sabotage, or subversive activities at any of his or her plants, factories, laboratories, or other sites, at which work for any UA is performed, or at which related material is acquired, stored, fabricated, or manufactured, or is in process of research or development, and

(2) information coming to his or her attention concerning employ- \*  
ee contacts with nationals or representatives of Communist countries (see \*  
paragraph 5ah). \*

7. Loss, Compromise, or Suspected Compromise of Classified Information.

a. The contractor shall establish a procedure to ensure that each loss, compromise, or suspected compromise of classified information and each failure to comply with a requirement of this manual is immediately reported to the FSO. Classified material which is out of the control of its custodian or which cannot be located shall be presumed to be lost until an investigation determines otherwise.

b. The contractor shall establish such procedures as are necessary to ensure that any employee discovering the loss, compromise, or suspected compromise of classified information outside a facility promptly reports such a fact to:

(1) the nearest office of the FBI, and furnishes sufficient information to assist in identification of the information -- if the loss,

14/ If time is of the essence and the initial report is made via phone to the FBI, it must be followed in writing, regardless of disposition made of the report by the FBI.

compromise, or suspected compromise occurs outside the U.S., the nearest U.S. authorities shall be notified in lieu of the FBI; and

(2) the FSO, by the fastest means of communication, who will then comply with paragraph c below.

c. Immediately on receipt of a report, in accordance with paragraphs a or b above, the contractor shall initiate a preliminary inquiry to ascertain all of the circumstances surrounding the reported loss, compromise, suspected compromise, or failure to comply with a requirement of this manual. In the event of loss, a thorough search shall be conducted for the classified material.

d. If the contractor's inquiry prescribed in paragraph c above confirms: (i) that a loss, compromise, or suspected compromise of any classified information occurred; or (ii) that a violation of a requirement of this manual involving TOP SECRET, COMSEC, special access information, or RESTRICTED DATA occurred, the contractor immediately shall submit a report of the incident to the CSO in accordance with paragraph 6a(2) or 6a(3), as appropriate, and conduct a complete investigation of the incident unless otherwise notified by the CSO. Submission of the report shall not be deferred pending completion of the contractor's investigation.

e. On completion of the investigation prescribed in paragraph d above, a final report shall be submitted to the CSO referencing the preceding preliminary report, and containing the following:

(1) a resume of the essential facts surrounding the incident, such as where, when, and how it occurred, and what were the contributing factors;

(2) the name and position of the individual(s) who was primarily responsible for the incident, including a record of prior loss, compromise, suspected compromise, or failure to comply with the requirements of this manual for which the individual had been determined responsible;

(3) a statement as to the corrective action taken to preclude a recurrence of similar incidents and the disciplinary action taken against the responsible individual(s), if any; and

(4) specific reasons for reaching the conclusion that: (i) loss or compromise occurred, (ii) compromise is suspected, (iii) the probability of compromise is considered remote, or (iv) compromise did not occur. In reporting the loss or compromise of classified material, sufficient descriptive data shall be furnished to permit the UA concerned to properly identify the material involved, such as originating activity or contractor, date of origin, document title, number of pages, description of contents, and the contract or program under which the material was received or produced.

8. Badges and Identification Cards.

a. Employee Badges and/or Identification Cards. Provided the contractor deems it necessary, he or she may use color or symbol coded identification badges or cards, or a combination of the two to assist in identifying the level of security clearance of the holder and/or to indicate that the holder is authorized to enter specified closed or restricted areas. However,

coded badges and cards shall be considered only as an aid in determining the current level of PCL of the holder or the closed or restricted areas to which the holder may have access. Release of classified information or entrance to a closed or restricted area, on the sole basis of an identification badge or card, is not authorized. Further, whenever a combination of badges or cards is used, both must bear correlating data such as the same registration number or the name of the holder. If identification cards or badges are used for such purposes, the following shall apply.

(1) The minimum identifying information to be shown on an employee's identification badge or card shall be the name and photograph of the holder. Other descriptive information to identify the authorized holder may be included on badges and/or cards at the option of the contractor.

(2) The words TOP SECRET, SECRET, or CONFIDENTIAL, or abbreviations thereof, shall not appear on the badges or identification cards.

(3) For entry into a closed or restricted area or access to classified information the contractor must establish some additional method for verifying clearance and need-to-know to be used in collaboration with the identification badge or card system. To the maximum extent possible, personal recognition should be the basis for ensuring that the holder of the badge or identification card has an appropriate PCL and need-to-know. When personal recognition is not possible, the individual responsible for the security of the closed or restricted area or holder of the classified information shall verify the identity of the individual and determine whether the individual has the appropriate PCL and need-to-know. This can be accomplished in a number of ways, including access lists, verification of clearance status through the office of the FSO, and the need-to-know through the prospective recipient's supervisor. Where cipher or similar locks are used in closed or restricted areas, the individual's knowledge of the cipher-lock combination, coupled with his or her badge, would establish the individual's authority for entry into the area.

(4) The make-up and construction of badges and identification cards shall be designed to minimize the possibility of tampering or unauthorized use.

(5) Badges and identification cards coded to indicate the level of security clearance or access to closed or restricted areas, shall be rigidly controlled and accounted for by the contractor by use of a numbering system. Such controls shall apply equally to permanent and temporary cards and badges. Badges and identification cards shall be promptly recovered or, when appropriate, recoded whenever an employee's requirement for entry to a closed or restricted area no longer exists due to an internal transfer, termination of employment, revocation of PCL, or for other appropriate reasons.

(6) Coded badges and cards shall be considered only as an aid in determining the current level of PCL of the holder or the areas to which the holder may have access. The clearance status of a person who holds such a badge or identification card shall be verified when there is doubt as to the validity of the badge or card.

(7) An employee badge and/or identification card may be issued to persons referred to in paragraphs 37h and 41a.

b. Visitor Badges. A badge of such design as the contractor considers suitable may be issued to assist in identifying visitors who are authorized to be present in closed or restricted areas. Visitors' badges, except for those issued in accordance with paragraph a(7) above, shall not be used to indicate a visitor's PCL status. Visitors' badges shall be recovered at the conclusion of their visit, and they shall be rigidly controlled and accounted for by the contractor.

c. Reporting. The procedure for use of badges or identification cards, as authorized in paragraphs a and b above, shall be incorporated in the SPP. In addition, the adoption of a new employee badge or identification card system or any change in an existing badge or identification card system shall be reported to the CSO in accordance with paragraph 6a(13).

d. Use on User Agency Installations. The use of badges or identification cards to indicate the level of PCL of individuals performing duties within a UA installation shall be subject to regulations which apply to the installation.

9. DoD Sponsorship of Meetings. Meetings described in paragraph 5q(3) which serve a government purpose and at which adequate security measures have been provided for in advance may be sponsored. As used herein, sponsorship shall refer only to sponsorship for security purposes which shall require a DoD Component to undertake all security responsibility and administration of the meeting. However, in the case of a meeting as described in paragraph 5q(3), the DoD Component having primary responsibility for the information involved may designate a cleared DoD contractor to undertake overall responsibility for security and administration.

a. Requests for Sponsorship. Contractors desiring to conduct meetings requiring DoD sponsorship shall submit their requests to the DoD activity having principal interest in the subject matter of each meeting. Only one activity may sponsor a meeting on behalf of the DoD. Therefore, a request shall be sent only to one DoD activity at a time. If that activity declines to accept sponsorship, or if it is appropriate to change the sponsoring agency, the request may be sent to another DoD activity having a principal interest in the subject matter of the meeting. Such requests shall include the details concerning all prior requests. Approval and sponsorship by the DoD will normally be granted only for a meeting conducted by a cleared DoD contractor. However, a meeting conducted by an association, contractor, institute, or society, whose membership is comprised primarily of cleared DoD contractors, contractor employees, or DoD personnel, may be sponsored for security purposes by the DoD, provided that a cleared contractor is designated and accepts overall security responsibility for the meeting on behalf of the association, society, or group. The request shall explain how the interests of national defense will be served by disclosing classified information at the meeting, and why the use of conventional channels for release of the information will not accomplish the purpose of those interests. The request shall also include a list of any foreign nationals or RFI's (including the names of the individuals, firms, or governments) whose attendance at the meeting is required.

b. Attendance of Foreign Nationals or RFI 15/. No invitation, written or oral, shall be tendered to a foreign national, or to a RFI, to attend any

(Footnote 15/ is on the following page)

session of a meeting sponsored by a DoD activity, until approval for his or her attendance has been received from the sponsoring activity. If the attendance of a foreign national or RFI is required, a written request in advance of the meeting shall be submitted and shall include:

- (1) identification of the foreign national or RFI by name, nationality, and government, for the individual or firm represented;
- (2) sessions or subject matter for which access authorization is desired (nationals or representatives of Communist countries shall be excluded without exception, from attendance at any classified session); and
- (3) subject titles of scientific, technical, and other papers scheduled for presentation by any foreign national or representative of a foreign national or RFI.

c. Location of Meetings. The sponsoring activity is responsible for evaluating and approving the location proposed for the meeting.

(1) Meetings at which TOP SECRET or SECRET information is to be disclosed shall be held only at a U.S. Government installation or at an appropriately cleared facility of a contractor, which has adequate means for safeguarding classified presentations. Under this criteria, the proposed site would have to be located within the physical boundaries of a cleared facility as indicated on the DD Form 374, "Facility Security Clearance Survey." An auditorium, assembly hall, or gymnasium which is used primarily for campus activities and public gatherings will not be approved for a classified meeting at which TOP SECRET or SECRET information would be disclosed, even though it is located on the campus of a college or university, portions of which are a cleared facility.

(2) Meetings at which information classified no higher than CONFIDENTIAL is to be disclosed shall normally be held at a U.S. Government installation or a cleared facility. However, if suitable facilities are not available at a U.S. Government installation or contractor facility, the use of other locations may be approved, provided adequate security can be maintained. Contractor requests to use a location other than a U.S. Government installation or contractor facility shall include:

- (a) a justification of the proposed location;
- (b) an explanation why a U.S. Government installation or cleared facility cannot be used; and
- (c) an explanation why separate classified and unclassified sessions cannot be scheduled, thereby permitting the use of a U.S. Government installation or a cleared facility for the classified portions of the meeting.

15/ Persons granted reciprocal clearances, and RFI's cleared for access to classified information under the DoD Industrial Security Program, are not subject to the limitation of paragraph 9b. However, persons granted reciprocal clearances are subject to the access limitations prescribed in paragraph 31.

d. Security Procedures. When sponsorship of a meeting has been accepted by a DoD activity, the contractor shall develop the security measures and procedures to be used, and obtain the sponsoring activity's approval thereof. The security measures shall include adequate arrangements for the following.

(1) Security measures shall include strictly limiting attendance at classified meetings to those persons whose presence is necessary in the interest of national defense and who are otherwise eligible. This shall include measures for the following.

(a) Security measures shall include determining and ensuring that all persons selected and approved to attend classified sessions have been granted a PCL for access to classified information equal to or higher than the category of information to be disclosed, and have duties in connection with a classified contract or program that requires such access in promoting the interests of national defense. For contractor personnel, the certification of PCL and need-to-know shall be accomplished as provided in paragraph f below.

(b) Security measures shall include review and approval by the sponsoring activity of all announcements and invitations related to the meetings and lists of attendees pertaining thereto. Announcements and invitations shall be unclassified, and shall include the name of the sponsoring activity and the date of the approval.

1 Notices and announcements of meetings, whether classified, unclassified, or mixed, and not amounting to invitations to attend, may be published publicly, provided classified information is not included in such notices or announcements.

2 In the case of classified meetings, invitations to attend (whether on an individual or class basis) shall not be sent to a person known to be a national from or a representative of a Communist country.

3 In the case of mixed meetings, that is, those having both classified and unclassified sessions, the restrictions as to invitations to persons known to be nationals from, or representatives of, a Communist country to attend are applicable to the classified session. As to the unclassified session, such notice or invitation to attend shall not be sent to persons known to be nationals from, or representatives of, a Communist country, unless and until specific authorization, on an individual name basis, has been made in advance by the Secretary or Head of the DoD Component.

(2) Security measures shall include safeguarding and controlling the distribution of notes, minutes, summaries, recordings, proceedings, and reports on the classified portions of the meeting. Such material shall normally be sent only to those approved for attendance at the classified sessions. However, the sponsoring activity may also authorize distribution to others who are determined to be eligible for, and require access to, the classified information involved. In any event, the material shall only be sent to a U.S. Government activity or cleared contractor facility and marked for the attention of the intended recipient, as provided for in paragraph 17k.

(3) Security measures shall include notifying each person who presents or discloses classified information at the meeting of the security limitations on disclosures for such reasons as the level of clearance or need-to-know of members of the audience or other limitations established by the U.S. Government.

(4) Security measures shall include ensuring the physical security of the meeting site and the area used for classified sessions or displays. This shall include provisions for guards, entrance controls, personnel identification, storage facilities, and adequate security against unauthorized access to, or illicit acquisition of, the classified information.

(5) Security measures shall include ensuring that attendance at a meeting or session at which classified information is to be disclosed is limited to persons whose names appear on an approved access list, and then only on proper identification.

(6) Security measures shall include submitting the minutes, summaries, recordings, proceedings, and reports of the meeting to the sponsoring activity for security review and for approval of the proposed distribution.

(7) Security measures shall include ensuring that individuals making oral presentations at meetings provide classification guidance sufficient to enable attendees to identify what information is classified or unclassified and, if classified, at what category or categories of classification.

e. Request for Disclosure Authority. A contractor desiring to disclose classified information at a meeting as provided in paragraph 5q(3) or 5q(4) shall:

(1) obtain prior written authorization for each proposed disclosure of classified information from the contracting officer having jurisdiction over the information involved -- if authorization for foreign nationals to attend the meeting has been requested from the sponsor, that fact shall be stated in the request for disclosure authority;

(2) furnish a copy of the disclosure authorization to the U.S. Government activity conducting or sponsoring the meeting; and

(3) furnish a written copy of the presentation, as made, to the contracting officer and to the conducting or sponsoring activity, if they are not one and the same.

f. Requests to Attend Classified Meetings. A contractor desiring to have an employee attend a classified meeting shall:

(1) certify to the PCL status and need-to-know of the employee who will attend the classified meeting, and

(2) forward the application or request to attend the meeting, together with the necessary justification (see paragraph d(1)(a) above), to the contracting officer for the classified contract under which access is being justified, requesting that it be forwarded to the sponsoring activity. However, where access is being justified under a UA program, rather than a contract, the request shall be forwarded to the official of the UA activity who is monitoring the contractor's participation in the program.

## Section II. HANDLING OF CLASSIFIED INFORMATION

### 10. Classification.

a. The security classification (TOP SECRET, SECRET, or CONFIDENTIAL) to be applied to information involved in UA contracts and programs will be supplied by the contracting officer or the designated representative of the UA concerned. The DD Form 254, with attachments and supplements, as appropriate, provides classification specifications to be used for this purpose. The completed DD Form 254 is the basic document for conveying to the contractor the classification, regrading, downgrading, and declassification specifications for a classified contract. It is designed to identify the specific items of classified information involved in the contract which require security classification protection. Contractors are encouraged to advise and assist in the development of the classification specification in order that their technical knowledge may be utilized and they may be in a better position to anticipate the security requirements under the contract and organize their procedural and physical plant layout accordingly. Contractors are also urged to submit recommended changes to the classification specification if they encounter difficulty in applying or interpreting the guidance provided.

b. An original DD Form 254, which sets forth the classification specifications or cites the classification guidance in item 15, is provided to the contractor by the UA with an RFP, RFQ, IFB, or other solicitation and with the award of a contract which will necessitate access to classified information. A revised DD Form 254 will be issued at any time a change or additional classification guidance is necessary. The UA reviews the existing classification specifications periodically during the contract and at least once every 2 years. When the biennial review establishes that no change is necessary in the existing guidance, the prime contractor is advised in writing. A final DD Form 254 is issued on final delivery of goods or services or on termination of the contract when authority is granted under paragraph 5m for the contractor to retain classified material originated by the UA or generated by the contractor in the performance of the contract, or when all classified material, for which retention authority would be required, is ordered immediately declassified. A final DD Form 254 is not issued, however, when authority is granted under paragraph 5m for the contractor to retain only reference material (see paragraph 3bt).

c. At the end of a retention period authorized under paragraph 5m, if the contractor requests an extension of the retention period, the UA will conduct a review to ensure that the contractor has a continued requirement for possessing the classified material and to revise the existing classification specifications as necessary to cover the classified material for which an extension of retention authority is authorized.

d. The application of a security classification to information developed by the contractor shall be based on: (1) the classification guidance furnished by the the contracting officer of the UA, in accordance with

paragraph a above, or (ii) the contractor's knowledge that such information is in substance the same as, or would reveal, other information known to be currently classified. Material developed by the contractor containing classified information, or from which classified information could be obtained, shall be marked in the manner prescribed in paragraph 11.

e. If contractors holding classified information have substantial reason to believe that the information is classified improperly or unnecessarily, they are encouraged to discuss such classification with the classifier of the information, with a view to bringing about correction, if appropriate. If unsuccessful and it is believed that corrective action is still required, a formal challenge may be made to the element of government that originally classified the information. Challenges to classification made under the provisions of this paragraph must include a sufficient description of the information and the identification of the original classifier. Challenges to a classification must also include the reason(s) why the challenger believes that the information is classified improperly or unnecessarily. Likewise, if a contractor who receives classified information has reason to believe that current security considerations justify downgrading to a lower classification or upgrading to a higher classification, the foregoing procedures will also apply. However, in all of the above instances pending a final determination, the material shall be safeguarded as required for its assigned or proposed classification, whichever is higher, until the classification is changed or verified as correct. If no answer is received within a 45-day period, the CSO may be requested to provide assistance in obtaining a response.

f. The contractor shall establish a procedure to ensure the following.

(1) In the case of a document, and except as specified in paragraph (3) below, the manager or supervisor, whose signature or other form of approval is required before the document may be issued, transmitted, or referred outside of the facility, determines the necessity, currency, and accuracy of the classification applied to that document.

(2) In the case of material other than a document, and except as specified in paragraph (3) below, the manager or supervisor in charge at the operational level where the material is being produced or assembled determines the necessity, currency, and accuracy of the classification applied to that material.

(3) In those situations involving the copying or extracting of classified information from another document, or involving the reproduction or translation of a whole classified document, the individual responsible for such copying, extracting, reproduction, or translation marks the new document or copy with the same classification as that applied to the information or document from which the new document or copy was prepared. However, if the contractor believes the classification marking is improper in any respect, such marking shall be in accordance with a final disposition of the contractor's action under paragraph 10e.

(4) Employees responsible for the currency, necessity, and accuracy of the classification applied to information, under paragraphs (1) and (2)

above, are held to a minimum number consistent with operational requirements. The number of such employees shall be reported to the CSO on request in accordance with paragraph 6a(14).

(5) Questions on the currency of the classification of reference material are referred as indicated in paragraph 60i.

g. Whenever a contractor develops an unsolicited proposal or originates information not in the performance of a UA contract or program, the following rules shall apply.

(1) If information is included in the proposal or other material which the contractor identifies as already being classified, the proposal or other material shall be marked with the appropriate classification in accordance with paragraph 11.

(2) If the case does not fall within paragraph (1) above, and the contractor believes that the proposal or other material contains information which may or should be safeguarded, the contractor is requested to protect the information as though classified at the appropriate level, until an advisory classification opinion is obtained from a UA which has an interest in the subject matter. In any such case, the following protective marking, or a similar marking which clearly conveys the same meaning, will be used:

Classification determination pending.  
Protect as though classified  
(CONFIDENTIAL, SECRET, or TOP SECRET)

This marking shall appear conspicuously at least once on the material, but it is not necessary to mark the material further in accordance with paragraph 11 until the advisory classification opinion is received. In addition, if applicable, contractors are not precluded from designating such information as company private or proprietary information.

(a) Pending determination by the UA, the following precautionary measures should be taken in regard to safeguarding such information.

1 Access to the information should be limited to the minimum number of personnel practical.

2 Persons selected to have access to the information should be limited to U.S. citizens or immigrant aliens who are known to be trustworthy. They should be advised of the importance of the information.

3 When not in use, documents containing the information should be stored in a secure container.

4 In forwarding the information between persons or locations, a secure method of transmission should be used.

5 Reproduction of the information should be kept to a minimum.

(b) It is the policy of the U.S. Government not to classify information over which it has no jurisdiction. The proposal or other material shall not be classified by the UA: (i) unless it incorporates classified information to which the contractor was given prior access, or (ii) unless the government first acquires a proprietary interest in the information.

h. The contractor shall provide security classification specifications to employees performing in a sales or technical capacity and under a classified contract outside of the U.S.

i. The fact that information currently classified by a UA has been disseminated by a public medium of communication does not automatically mean that it has been declassified. Classification shall be continued until advised to the contrary by the UA. Questions as to the propriety of continued classification in these cases should be brought to the immediate attention of the contracting officer.

#### 11. Marking.

a. General. Classification designation by physical marking, notation, or other means serves to warn and to inform the holder what degree of protection against unauthorized disclosure is required for that information or material. Other notations facilitate downgrading, declassification, and aid in derivative classification actions. Therefore, it is essential that all classified information and material be marked in such a manner that it is clear to the holder what level of classification is assigned to the information or material, exactly what portions of the information or material contain or reveal classified information, how long the protection is required, and any other additional markings required for protection of the information or material.

b. Marking Requirements for Information and Material. The markings shown in paragraphs (1) through (8) below are required for all classified information, regardless of the form in which it appears. Some material, such as documents, letters, and reports, can be marked easily with the appropriate markings. Marking other material, such as equipments, ADP media, and slides, will be more difficult due to size or other physical characteristics. Since the purpose of the markings is to warn the holder that the information requires special protection, it is necessary that all classified material be marked with the appropriate markings to the fullest extent possible to ensure that it is afforded the necessary safeguards.

(1) Identification Markings. All classified material shall be marked to show: (i) the name and address of the facility responsible for its preparation, and (ii) the date of preparation. These markings are required on the face of all classified documents.

(2) Overall Markings. The overall classification of a document, or any copy or reproduction thereof, shall be conspicuously marked or stamped at the top and bottom on the outside of the front cover (if any), on the title page (if any), on the first page, and on the outside of the back cover (if any). If the document does not have a back cover, the outside of the back or last page, which may serve as a cover, may also be marked at the top and bottom with the overall classification of the document. The markings shall be

stamped, printed, etched, written, engraved, painted, or affixed by means of a tag, sticker, decal, or similar device on classified material, other than documents, and on containers of such material, if possible. If marking the material or container is not practical, written notification of the appropriate markings shall be furnished to recipients. Copies of documents shall include the appropriate markings on the documents themselves.

(3) Page Markings. Interior pages of classified documents shall be conspicuously marked or stamped at the top and bottom with the highest classification of the information appearing thereon, or the designation UNCLASSIFIED, if all the portions on the page are UNCLASSIFIED. Alternatively, the overall classification of the document may be conspicuously marked or stamped at the top and bottom of each interior page, when necessary to achieve production efficiency and so that the particular information to which classification is assigned is adequately identified, in accordance with paragraph b(5) below. In any case, the classification marking of a page shall not supersede a lower level of classification indicated by a portion marking applicable to information on that page.

(4) Component Markings. The major components of complex documents are likely to be used separately. In such instances, each major component shall be marked as a separate document utilizing the classification marking requirements of this manual. Examples include: (i) each annex, appendix, or similar component of a plan, program, or project description; (ii) attachments and appendices to a letter; and (iii) each major part of a report.

(5) Portion Markings. Each section, part, paragraph, or similar portion of a classified document shall be marked to show the level of its classification, or that such portion is unclassified. Portions of documents shall be marked in a manner that eliminates doubt as to which of its portions contains or reveals classified information. For the purpose of applying these markings, a portion or paragraph shall be considered a distinct section or subdivision of a chapter, letter, or document dealing with a particular point or idea which begins on a new line and is often indented. Classification levels of portions of a document shall be shown by the appropriate classification symbol placed immediately following the portion's letter or number, or in the absence of letters or numbers, immediately before the beginning of the portion. In marking portions, the parenthetical symbols "(TS)" for TOP SECRET, "(S)" for SECRET, "(C)" for CONFIDENTIAL, and "(U)" for UNCLASSIFIED shall be used. When appropriate, the symbols "RD" for RESTRICTED DATA and "FRD" for FORMERLY RESTRICTED DATA shall be added, for example, "(S-RD)" or "(C-FRD)." In addition, portions that contain Critical Nuclear Weapon Design Information (CNWDI) will be marked "(N)" following the classification, for example, "(TS-RD)(N)."

(a) Portions of U.S. documents containing foreign government information shall be marked to reflect the country or international organizations of governments of origin as well as the appropriate classification, (for example, "(NATO-S)" or "(U.K.-C)," or "(NATO-R)" for NATO-RESTRICTED), except where such markings would reveal that the information is foreign government information, when that fact must be concealed, or if a confidential source or relationship not otherwise evident in the document is revealed. Where a UA determines that this information would be revealed, the classification specifications and source documents furnished to contractors will not bear



this information, and in these cases contractors will not identify the foreign governments in any classified material generated. See paragraph e below for other marking requirements for foreign government information.

(b) When illustrations, photographs, figures, graphs, drawings, charts, or similar portions are contained in classified documents they shall be marked clearly to show their classified or unclassified status. In this instance, such markings shall not be abbreviated and shall be prominent and placed within or contiguous (touching or near) to such a portion. Captions of such portions shall be marked on the basis of their content alone by placing the symbol "(TS)," "(S)," "(C)," or "(U)" immediately preceding the caption.

(c) If, in an exceptional situation, parenthetical marking in the portions is determined to be impractical, the classified document shall contain a description sufficient to identify the exact information that is classified and the classification level(s) assigned to it. For example, each portion of a document need not be separately marked if all portions are classified at the same level, provided a full explanation is included in the document.

(d) When elements of information in one portion or paragraph require different classifications, but segregation into separate portions or paragraphs would destroy continuity or context, the highest classification required for any item shall be applied to that portion or paragraph.

(6) Subject and Title Markings. Subjects and titles of documents shall be selected, if possible, so as not to require classification. A classified subject or title shall be marked with the appropriate symbol (TS), (S), or (C) placed immediately following and to the right of the item. An unclassified subject or title shall be marked with a (U) placed immediately following and to the right of the item. When applicable, other appropriate symbols, for example, "(RD)," "(FRD)," "(N)," or "(NATO)" shall be added.

(7) Downgrading/Declassification and "Classified by" Markings. Procedures for marking downgrading and declassification instructions, and for completion of the "Classified by" line are prescribed in appendix II. These markings shall be placed either on the cover, first page, title page, or in a similarly prominent position on classified documents.

(8) Additional Markings. In addition to the markings specified above, classified material shall be marked, if applicable, with one or more of the notations prescribed below, or other markings specified by a UA. The appropriate notation shall be printed, stamped, typed, or otherwise affixed conspicuously at least once on classified material possessed 1/, prepared, or reproduced by the contractor. In addition, when a copy, extract, or paraphrase of a document contains classified information, or when a page, chapter, or other component is separated from such a document, the extract or component shall also be conspicuously marked at least once with the

1/ Classified material that is already marked with officially prescribed additional warning notices that convey in substance the same meanings as those prescribed in paragraph b(8) need not be re-marked.

appropriate notation. In the case of documents, these warning notices shall be conspicuously marked on the outside of the front cover (if any) or on the first page if there is no front cover. When display of warning notices on other materials is not feasible, the warnings shall be included in the written notification provided to recipients.

(a) RESTRICTED DATA Notation. The following notation shall be affixed on all material which contains "RESTRICTED DATA":

RESTRICTED DATA  
This material contains RESTRICTED DATA as defined  
in the Atomic Energy Act of 1954. Unauthorized disclosure  
subject to administrative and criminal sanctions.

(b) FORMERLY RESTRICTED DATA Notation. Except when the "RESTRICTED DATA" notation is used, all material containing information in the "FORMERLY RESTRICTED DATA" category shall be marked with the following notation:

FORMERLY RESTRICTED DATA  
Unauthorized disclosure subject to administrative  
and criminal sanctions. Handle as RESTRICTED DATA in foreign dissemination.  
Section 144 b, Atomic Energy Act 1954.

(c) INTELLIGENCE SOURCES OR METHODS Notation. Classified information or material involving intelligence sources or methods and subject to specific dissemination controls shall be marked with the following warning notice 2/:

WARNING NOTICE  
INTELLIGENCE SOURCES OR  
METHODS INVOLVED

(d) DISSEMINATION AND REPRODUCTION NOTICES. From time to time certain UA's may promulgate certain classified information, which the government agency originating the material has determined should be subject to special dissemination or reproduction limitations or both. Statements substantially as follows will be included on the front cover of such documents:

REPRODUCTION REQUIRES APPROVAL OF  
ORIGINATOR OR HIGHER GOVERNMENT AUTHORITY.

(Reproduction of all portions of the information contained in such documents is absolutely prohibited without the permission of the originating office or higher government authority.)

2/ Existing stamps and preprinted labels containing the caveat, "Warning Notice -- Intelligence Sources and Methods Involved," may be used until a replacement stamp is obtained or the supply of labels is exhausted.

FURTHER DISSEMINATION ONLY AS  
AUTHORIZED BY CONTRACTING  
OFFICER

(Further dissemination within the receiving contractor facility is restricted to persons authorized by the addressee. Dissemination outside the facility is prohibited without the permission of the contracting officer.)

(e) FOREIGN GOVERNMENT INFORMATION. This marking is used on U.S. documents containing "FOREIGN GOVERNMENT INFORMATION" to ensure that such information is not declassified prematurely or made accessible to nationals of a third country without the consent of the originator.

(f) THIS DOCUMENT CONTAINS NATO INFORMATION. This marking is \* used on U.S. documents which contain extracts from NATO documents to ensure \* that such information is not declassified or made accessible to nationals of \* non-NATO countries without NATO approval. \*

c. Marking Specific Types of Material. The following procedures for marking specific types of material are not all inclusive. Due to the many variations that may occur in the preparation of classified materials, every possible marking situation cannot be addressed. These procedures are for marking various types of material, which are most often encountered by contractors, and may be varied to accommodate the physical characteristics of the material and organizational and operational requirements.

(1) Artwork. Original artwork shall have the overall security classification stamped or conspicuously marked in the top and bottom margins of the mounting board and on all overlays and cover sheets. Other markings specified in paragraphs b(1) through (8) above also shall be included on such documents, as applicable.

(2) Charts, Maps, Drawings, and Tracings. The appropriate classification markings for the legend, title, or scale block shall be shown in the legend, title, or scale block itself, or in such a manner as to differentiate between the overall classification assigned to the document and any classification assigned to the legend or title itself. The overall classification of the document shall be marked or stamped at the top and bottom of each document. Any identifiable portions of such documents shall be marked in the manner prescribed in paragraph b(5) above, if possible. When the customary method of folding or rolling charts, maps, drawings, or tracings would cover the classification markings, additional classification markings shall be placed so as to be clearly visible when the document is folded or rolled. Other markings specified in paragraphs b(1) through (8) above also shall be included on such documents, as applicable.

(3) Decks of Automatic Data Processing Punched Cards. When a deck of classified automatic data processing punched cards is handled and controlled as a single document, only the first and last cards require classification markings. An additional card shall be added (or the job control card modified) to identify the contents of the deck, and to show the appropriate markings specified in paragraphs b(1) through (8) above. Cards removed for separate processing or use, and not immediately returned to the deck, shall be protected to prevent compromise of any classified information

contained therein, and for this purpose shall be individually marked as prescribed in paragraphs b(1) through (8) above. Alternatively, a grouping of cards so removed may be controlled as a separate document and so marked.

(4) Documents Produced by ADP Equipment. These documents are divided into two groups: (i) printouts and listings which are produced in a continuous form, and (ii) all other documents produced by ADP equipments.

(a) Continuous Form Documents. The overall classification markings shall be affixed as prescribed in paragraph b(2) above. Classification markings of interior pages may be applied by the ADP equipment or by other means. If individual pages of a continuous form document are removed or reproduced, they shall be marked as prescribed in paragraph b(4) above. The other applicable markings may be applied by the ADP equipment or, if not practical, by other means.

(b) Other ADP Produced Documents. Other documents produced by ADP equipment shall be marked in the same manner as prescribed by paragraphs b(1) through (8) above.

(5) Files, Folders, or Groups of Documents. Files, folders, binders, envelopes, and other items, containing classified documents, when not in secure storage, shall be conspicuously marked according to the highest classification of any classified document included therein. Classified document cover sheets may be used for this purpose.

(6) Messages. Electronically transmitted messages (that is, those transmitted via authorized CRYPTOSYSTEMS) shall bear appropriate markings as specified in paragraphs b(1) through (8) above, except as noted herein. The first item of information in the text shall be the overall classification of the message. The message also shall show the date or event for declassification or the notation "Originating Agency's Determination Required" or "OADR," and downgrading action, if applicable. The "Classified by" line information is not required. Portions shall be marked in the manner required for other documents. When messages are printed by an automated system, all markings may be applied by that system, provided that the classification markings are clearly distinguished from the printed text. (NOTE: The highest level official identified on the message as the sender, or in the absence of such identification, the highest level official at the facility originating the message, is deemed to be the classifier of the message. The originator is responsible for maintaining adequate records to show the source of an assigned derivative classification.)

(7) Microforms. Microforms are copies usually produced on transparent or opaque materials in sizes too small to be read by the unaided eye. Accordingly, the appropriate markings as specified in paragraphs b(1) through (8) above shall be conspicuously marked on the microform medium or its container, so as to be readable by the unaided eye. These markings shall also be included on the image so that when the image is enlarged and displayed or printed, the markings will be conspicuous and readable. The markings specified in paragraph b(7) above may be abbreviated. Further markings and handling shall be as appropriate for the particular microform involved. For example, roll film microforms (or roll microfilm employing 16, 35, 70, or 105 mm films) may generally be handled as provided for roll motion picture films,

and decks of "aperture cards" may be handled as decks of automatic data processing punched cards. Whenever possible, microfiche, microfilm strips, and microform chips shall be handled in accordance with this paragraph.

(8) Motion Picture Films. Classified motion picture films and video tapes shall be marked at the beginning and end of each reel by titles bearing the appropriate classification and applicable associated markings. Such markings shall be visible when projected. Motion picture film and video tape containers shall bear conspicuous classification, declassification, and if applicable, downgrading markings. Other markings specified in paragraphs b(1) through (8) above shall also be applied, if applicable.

(9) Photographs. Photographs shall be marked in such a manner so that a recipient or viewer will know that information of a specified level of classification is involved. Negatives and positives shall be marked, whenever practical, with the appropriate classification and applicable associated markings. Roll negatives or positives may be so marked at the beginning and end of each strip. Containers for negatives and positives shall be conspicuously marked with the highest level of classification of their contents. Other markings specified in paragraphs b(1) through (8) above shall also be applied, if applicable. All prints and reproductions shall be conspicuously marked with the appropriate markings, as specified in paragraphs b(1) through (8) above, on the face side of the print, if possible. Where such markings cannot be applied to the face side, they may be stamped or marked on the reverse side, or affixed by pressure tape label, stapled strip, or other comparable means. (NOTE: When self-processing film or paper is used to photograph or reproduce classified information, all parts of the last exposure shall be removed from the camera and destroyed as classified waste, or the camera shall be protected as classified information.)

(10) Recordings. Magnetic, electronic, or sound recordings shall contain a clear statement of the overall classification at the beginning and end of the recording which will provide adequate assurance that any listener or receiver will know that classified information is involved. Containers for recordings shall be conspicuously marked with the appropriate classification and applicable associated markings, as specified in paragraphs b(1) through (8) above.

(11) Removable Automatic Data Processing and Word Processing Storage Media.

(a) External. Removable information storage media and devices, employed with ADP systems and typewriters or word processing systems, shall bear external markings clearly indicating the appropriate markings as specified in paragraphs b(1) through (8) above. Included are media and devices that store recorded information in analog or digital form, and are generally mounted or removed by the users or operators. Examples include magnetic tape reels, cartridges, and cassettes; removable disks, disk cartridges, disk packs, and diskettes; paper tape reels; and magnetic cards.

(b) Internal. In addition, ADP systems and word processing systems employing such media shall provide for internally recorded security markings to ensure that classified information contained therein, when reproduced or generated, will bear appropriate markings as specified in paragraphs

b(1) through (8) above. (Existing ADP systems and word processing systems, that is, systems previously approved by the CSO, shall provide this internal classification identification where the capability exists for implementation without extensive system modification. Alternately, where extensive system modification would be required for existing systems, an exception may be made by the CSO, provided procedures are established to ensure that users and recipients of the media, or the information therein, are clearly advised as to the appropriate markings for the contents. Requirements for the security of nonremovable ADP storage media and clearance or declassification procedures for various ADP storage media are contained in section XIII.)

(12) Translations. Translations of U.S. classified information into a language other than English shall be marked to show the U.S. as the country of origin, with the appropriate U.S. markings as specified in paragraphs b(1) through (8) above, and the foreign language equivalent thereof (see appendix XIV of this manual).

(13) Transmittal Documents. A transmittal document, including endorsements and comments when such are added to the basic communication, shall carry on its face a prominent notation as to the highest classification of information transmitted by it and a legend showing the classification, if any, of the transmittal document, endorsement, or comment standing alone. For example, an unclassified document that transmits as an attachment a classified document shall bear a notation substantially as follows: "Unclassified when Separated from Classified Enclosures."

(14) Transparencies and Slides. Applicable classification markings shall be shown clearly on the image of each transparency or slide, and on its border, holder, or frame. Other applicable markings as specified in paragraphs b(1) through (8) above shall be shown on the border, holder, or frame, if possible, or in the image area, in accompanying documentation, or other written notification. When a set of transparencies or slides is handled and controlled as a single document, only the title slide or transparency requires the other applicable markings. Slide and transparency storage containers shall also be marked with the appropriate markings as specified in paragraph b(1) through (8) above.

(15) Working Papers. Workings papers and material such as notes, drafts, and drawings accumulated or created in the preparation of a finished document, shall be dated when created and marked in the same manner as prescribed in paragraphs b(2) and (3) above. The remainder of the markings required by paragraphs b(1) through (8) above need not be affixed to the material, until it is entered into the accountability records in accordance with paragraph 12, made a part of a permanent record, or dispatched outside the facility.

(16) Miscellaneous Material. Unless a requirement exists to retain material such as rejects, typewriter ribbons, carbons, and similar items for a specific purpose, there is no need to mark, stamp, or otherwise indicate that the information is classified. (NOTE: Such material developed in connection with the handling, processing, production, and utilization of classified information shall be handled in a manner that ensures adequate protection of

the classified information involved and destruction at the earliest practical moment.)

d. Marking of Regraded Documents and Material. Whenever classified information is downgraded, declassified, or upgraded, the material shall be promptly and conspicuously marked to indicate the change 3/.

(1) Automatic Downgrading or Declassification Actions. Holders of classified material may take automatic downgrading or declassification actions, as specified by the markings on the material, without further authority for the action. All old classification markings shall be canceled and the new markings substituted, whenever practical 4/. In the case of documents, as a minimum, the outside of the front cover (if any), the title page (if any), the first page, and the outside of the back cover (if any), must reflect the new classification markings, or the designation UNCLASSIFIED. Other material shall be re-marked by the most practical method for the type of material involved to ensure that it is clear to the holder what level of classification is assigned to the material. Old markings shall be canceled, if possible, on the material itself. If not practical, the material may be marked by affixing new decals, tags, stickers, and the like to the material or its container.

3/ In the interest of providing quick and efficient service on requests for classified documents, DTIC re-marks downgraded or declassified documents to reflect such action only on the front and back covers and the title, first, and back pages. A notice will be affixed by DTIC to the front cover or the title page of such documents indicating that it is the responsibility of the recipient (the contractor who requested the document) to complete the re-marking of the regraded document in accordance with this paragraph. Documents originally marked under the provisions of previous E.O.'s may contain pages which do not bear any classification markings. Before extracting or reproducing the information from these pages, recipients should direct any questions they may have concerning the classification of an individual page, chapter, section, and the like, to the originator of the document.

4/ When the volume of material is such that prompt re-marking of each classified item cannot be accomplished without unduly interfering with operations, the custodian may attach downgrading and declassification notices to the inside of the file drawers or other storage container in lieu of the re-marking otherwise required. Each such notice shall specify the authority for the downgrading or declassification action, the date of the action, and the storage container to which it applies. When documents or other material subject to downgrading or declassification are withdrawn from the container solely for transfer to another, or when the container is transferred from one place to another, the transfer may be made without re-marking, if the notice is attached to the new container or remains with each shipment. When the documents or material are withdrawn for use or for transmittal outside the facility, they shall be re-marked in accordance with paragraph d(1) or d(2) above.

(2) Other than Automatic Downgrading or Declassification Actions. When contractors are notified of downgrading or declassification actions that are contrary to the markings shown on the material, the material shall be re-marked to indicate the change. All old classification markings shall be canceled and the new markings substituted, whenever practical 4/. In the case of documents, as a minimum, the outside of the front cover (if any), the title page (if any), the first page, and the outside of the back cover (if any) shall reflect the new classification markings or the designation UNCLASSIFIED. In addition, the material shall be marked to indicate the authority for the action, the date of the action, and the identity of the person or contractor taking the action. Other holders shall be notified if further dissemination has been made by the contractor.

(3) Upgrading Action. When a notice is received to upgrade material to a higher level, for example from CONFIDENTIAL to SECRET, or from UNCLASSIFIED to CONFIDENTIAL, the new markings shall be immediately entered on the material, in accordance with the notice to upgrade, and all the superseded markings should be canceled, if applicable. Other holders shall be notified, if further dissemination of the material has been made by the contractor. If contractor-generated material is inadvertently distributed outside the facility without the proper classification assigned to it, or without any markings to identify the material as classified, the following procedures shall apply.

(a) Determine that all holders of the material are authorized access to it.

(b) Determine that control of the material has not been lost by the communication. (NOTE: When both these conditions are determined to exist, then promptly notify 5/ all holders of the proper classification and markings applicable to the material. If it is found that control of the material has been lost or that unauthorized personnel have had access to it, a report of the compromise to the CSO under the provisions of paragraph 7d is required.)

e. Marking of Foreign Classified Material. Foreign classified material shall be marked in accordance with instructions received from the foreign contracting authority, the CSO, or the UA. In any case, if the classification and the country of origin are in a language other than English, the appropriate equivalent U.S. classification and the country of origin will be marked on the foreign classified material. Except for the foreign security classification designation RESTRICTED, foreign security classification

5/ In the case of material being upgraded, the contractor's written notice shall not be classified, unless the notice contains additional information warranting classification. In the case of material which was inadvertently released as UNCLASSIFIED, the contractor's written notice shall be classified CONFIDENTIAL, unless the notice contains additional information warranting a higher classification. The notice should cite the applicable DD Form 254 or other classification guide on the "Classified by" line and be marked with a declassification instruction such as, "UNCLASSIFIED WHEN UPGRADING ACTION IS COMPLETED."

designations, including those of international organizations of governments, such as NATO, generally parallel U.S. classification designations. A table of equivalent classifications is contained in appendix XIV. Many foreign governments and international organizations, such as NATO, use a fourth security designation identified as RESTRICTED to denote a foreign requirement for security protection of a lesser degree than CONFIDENTIAL. Documents received by contractors that are marked with any of the classification designations listed in the last column of appendix XIV shall be marked RESTRICTED together with the country of origin and protected in all respects in the same manner as U.S. CONFIDENTIAL, except that foreign RESTRICTED material may be stored in locked filing cabinets, desks, or other similarly closed spaces that will prevent access by unauthorized persons.

(1) When foreign government information is incorporated in a contractor-generated document, that document shall be identified in a manner to ensure that such information is not declassified prematurely or made accessible to nationals of a third country without consent of the originator. This requirement may be satisfied by marking the face of the document with the notation "FOREIGN GOVERNMENT INFORMATION" or with another marking that otherwise indicates that the information is foreign government information. Portions of documents containing foreign government information shall be marked as specified in paragraph b(5)(a) above. All such documents containing foreign government information shall include on the "Declassify on" line the following notation, "ORIGINATING AGENCY'S DETERMINATION REQUIRED," or "OADR," unless the foreign entity has specified or agreed to a date or event for declassification.

(2) U.S. documents which contain extracts of NATO classified information shall be marked on the face of the document with the following notation: "THIS DOCUMENT CONTAINS NATO CLASSIFIED INFORMATION." This notation is required to ensure that NATO information is not declassified or made accessible to nationals of non-NATO countries without NATO approval. Portions of such documents shall be marked "NATO" with the appropriate classification, for example, (NATO-S) or (NATO-C). The "Declassify on" line shall be completed with the notation, "ORIGINATING AGENCY'S DETERMINATION REQUIRED," or "OADR," unless the foreign entity has specified or agreed to a date or event for declassification. The marking "FOREIGN GOVERNMENT INFORMATION" is not required on these documents.

f. Marking Wholly Unclassified Material. Normally, wholly UNCLASSIFIED material will not be marked or stamped "UNCLASSIFIED," unless it is essential to convey to a recipient of such material that: (i) the material has been examined specifically with a view to impose a security classification and has been determined not to require classification, or (ii) the material has been reviewed and has been determined to no longer require classification and it is declassified.

g. Marking Compilations. In some instances, certain information that would otherwise be unclassified when standing alone may require classification when combined or associated with other unclassified information. When classification is required to protect a compilation of such information, the overall classification assigned to the document shall be conspicuously marked or stamped at the top and bottom of each page and on the outside of the front

and back covers, if any. The reason for classifying the compilation shall be stated at an appropriate location at or near the beginning of the document. In this instance, the portions of a document classified in this manner need not be marked.

12. Record of Classified Material.

a. Accountability Records. The contractor shall maintain, at one or more control stations, an accountability record of all TOP SECRET and SECRET material, and CRYPTO, regardless of classification. The record shall include all such classified material received or produced by, or in the possession or custody of, the contractor and shall reflect as a minimum: (i) the date of receipt or origin, (ii) the activity from which received or by which originated, (iii) the classification of the material, (iv) a brief, unclassified description of the material and (v) the disposition of the material and the date thereof (that is, destroyed, downgraded to CONFIDENTIAL, declassified, or dispatched outside the facility). These records shall be retained by the contractor for a minimum of 3 years for TOP SECRET material, special access material, and CRYPTO, regardless of classification; and for SECRET material for 2 years from the date the last item recorded thereon was destroyed, downgraded to CONFIDENTIAL, declassified, dispatched outside the facility, or transferred to another accountability record.

b. Inventory/Accounting of Classified Material. When directed by a Director of Industrial Security, the contractor shall make an inventory and accounting of all TOP SECRET and SECRET material, and CRYPTO, regardless of classification, and shall submit a report of all unresolved discrepancies to the CSO. The inventory and accounting shall consist of the actual sighting of each item listed in the accountability records or an examination of the evidence of its proper disposition (the receipt, certificate of destruction, authorization to terminate from accountability, or record of downgrading or declassification); and an examination of the contents of all containers authorized for storage of classified material to ensure that all TOP SECRET and SECRET material, and CRYPTO, regardless of classification, has been entered into the accountability records.

c. Receipt and Dispatch Records. In addition to the accountability records required in paragraph a above, the contractor shall maintain a record at one or more control stations of all nonaccountable classified material received by, or dispatched from, the facility. This record shall reflect as a minimum: (i) the date of receipt or dispatch, (ii) the activity from which received or to which dispatched, (iii) the classification of the material, and (iv) a brief, unclassified description of the material. These records shall be retained by the contractor for a minimum of 2 years from the date of the last entry. However, if the contractor combines this record of receipt and dispatch with the accountability records prescribed in paragraph a above for TOP SECRET material, special access material, and CRYPTO, regardless of classification, the 3-year retention period shall apply.

d. Control Station Personnel. Employees designated by the contractor to operate a control station shall be cleared at the same level as the facility at which they are assigned. However, such personnel will be required to have a TOP SECRET clearance only if the person's duties afford him or her access to, possession of, or custody of TOP SECRET material.

e. Receipt of Classified Material. When classified material is received at the facility, either by mail, bulk shipment, or messenger, the following controls shall apply.

(1) All classified material shall be delivered unopened to personnel designated by the contractor to receive it at the control station(s). In addition, when U.S. Registered Mail, U.S. Express Mail, U.S. Certified Mail, or classified material delivered by messenger is not received directly by the designated control station personnel, procedures shall be established to ensure that such mail is received by appropriately cleared and authorized personnel, for delivery with the inner container unopened to the control station(s). In effect, all contractor personnel who handle U.S. Registered Mail, U.S. Express Mail, or U.S. Certified Mail shall be appropriately cleared.

(2) The package shall be examined for any evidence of tampering and the classified contents shall be checked against the receipt. Evidence of tampering shall be reported immediately to the CSO, in accordance with paragraph 6a(11). Discrepancies in the contents of a package or absence of a receipt for TOP SECRET or SECRET material, and CRYPTO, regardless of classification, shall be reported immediately to the sender. If the shipment is in order, the receipt shall be signed and returned to the sender. For purposes of positive identification, the name of the employee signing the receipt shall be printed, stamped, or typed on the receipt. In those special cases where the sender includes a receipt form with CONFIDENTIAL material, the receiver shall execute the receipt and return it to the sender, if the contents of the package are in order.

f. Production of Classified Material. When a contractor produces TOP SECRET or SECRET material, and CRYPTO, regardless of classification, accountability shall be established, as follows.

(1) TOP SECRET Documents and CRYPTO Documents, Regardless of Classification. Such documents shall be entered into the control station accountability records when the first of any of the following events occurs: (i) the document is retained after the next successive stage in its development is completed (for example notes converted to draft, final draft placed on masters, or photographic prints developed from negatives); (ii) the document, including classified working papers and drafts, is retained for more than 30 days from the date of origination; (iii) the document is reproduced for internal purposes (for example, draft review or coordination prior to preparation of final copy); or (iv) the document, regardless of its stage of development, is transmitted outside of the facility on a temporary or permanent basis.

(2) SECRET Documents. Such documents shall be entered into the control station accountability records, when the first of any of the following events occurs: (i) the document is retained as a completed document (including working papers) in excess of 30 days from the date of completion; (ii) the document is reproduced for internal purposes; (iii) the document is retained as a partially completed document on discontinuance of the work; or (iv) the document, regardless of its stage of development, is transmitted outside of the facility on a temporary or permanent basis.

(3) Other Material. TOP SECRET and SECRET material, and CRYPTO, regardless of classification, in other than documentary form, shall be entered into the control station accountability records, when the first of any of the following events occurs: (i) the material reaches the final stage in the fabrication or manufacturing process; (ii) the material is retained for more than 30 days from the date of origination; or (iii) the material, regardless of its stage of development, is transmitted outside of the facility on a temporary or permanent basis.

(4) Incorporation of Classified Material. When a classified document or other material is joined to, incorporated in, or otherwise made a part of another classified document or item of material, accountability for the incorporated document or item of material shall be terminated, and accountability for the document or item of material in which it was incorporated shall be established. The control station records shall be posted accordingly. Similarly, when a classified document is disassembled for the purpose of creating a new document or an item of material is removed from a classified assembly or end item (for example, for testing or replacement), accountability for the new material, if classified, shall be established or adjusted, as appropriate, in the control station accountability records, and the accountability for the basic document or end item shall be terminated, provided the residue is unclassified.

g. Dispatch of Classified Material. When classified material is to be dispatched from the facility, the following rules shall apply.

(1) The proposed transmittal shall be examined to ensure compliance with the preparation for transmission requirements of paragraph 17.

(2) Receipts, when required by paragraph 17, shall identify the classified contents, the control station, and the name and address of both sending and receiving facilities. Receipts shall not contain classified information. A short title or abbreviation shall be substituted for a classified title.

(3) A duplicate copy of the receipt shall be retained in a suspense file until the signed copy is returned. A suspense date (normally not to exceed 30 days) shall be established, and follow-up action shall be initiated, if the signed receipt is not received within that period. If after the follow-up action a signed receipt is not returned or the addressee indicates nonreceipt of the classified material, an inquiry shall be conducted, in accordance with paragraph 7. Copies of signed receipts for classified material shall be retained at the control station for a minimum of 2 years.

h. Termination of Accountability.

(1) On notice from the CSO that accountability may be terminated for classified material determined to be lost after completion of the inquiries prescribed in paragraph 7, the contractor shall annotate the accountability records to show the date, reason, and authority for terminating accountability for the lost material.

(2) If the location or disposition of the material should subsequently be determined, the contractor shall immediately submit a report to the

CSO in accordance with paragraph 6a(15), and shall reestablish accountability for, or indicate correct disposition of, the material on the control station accountability records.

13. Special Requirements for TOP SECRET.

a. It is mandatory that an up-to-date record be maintained of all persons who are afforded access to TOP SECRET information. A record shall be maintained that identifies each item of TOP SECRET material, and shows the names of all individuals given access to the item and the date (or inclusive dates) on which access by each individual occurred. In the case of employees whose duties require knowledge of the combination of containers of TOP SECRET material, the record need only identify the material, the employee(s), and the period of time during which access was available. Such records shall be retained in the appropriate control station for a period of 3 years from the date the material was destroyed, dispatched outside the facility, declassified, or downgraded. This record requirement also shall apply to those employees to whom the contractor affords visual or aural access to TOP SECRET information.

b. The number of persons afforded access to TOP SECRET information shall be kept to an absolute minimum, and each person shall be individually warned against disclosing such information to persons whose duties do not require knowledge thereof.

c. The dissemination of TOP SECRET information should be effected orally whenever practical, without the physical transmittal of material.

d. The transmittal of TOP SECRET material shall be covered by a continuous receipt system both within and outside of the facility.

e. Each copy of a TOP SECRET document shall be numbered in series. The copy number shall be placed on accountability records and on the distribution record and receipt for each TOP SECRET document transmitted.

f. Only designated employees in the control station, cleared for access to TOP SECRET information, shall open incoming TOP SECRET transmittals. Deliveries of TOP SECRET material within the facility shall be accomplished in accordance with paragraph 17f.

g. An annual inventory and accounting of all TOP SECRET material shall be conducted in the manner prescribed by paragraph 12b.

h. TOP SECRET material shall be reproduced only with the prior written authorization of the contracting officer (see paragraph 18a).

i. Transmission of TOP SECRET material outside of the facility requires the written authorization of the contracting officer (see paragraph 17b).

j. Written approval of the contracting officer is required before disclosing TOP SECRET information to a subcontractor, vendor, or supplier (see paragraph 59a).

14. Storage.

a. Containers. Contractors shall not be eligible to receive, nor have possession of, classified material at their cleared facilities, until they have adequate storage capability. Classified material, when not in actual use and safeguarded as prescribed in paragraph 16, shall be stored as follows.

(1) TOP SECRET -- Cabinets and Vaults. When not in use, TOP SECRET material shall be stored in a GSA approved security filing cabinet originally procured from a FSS supplier 6/ 7/, and bearing a GSA Test Certification Label or in a Class A vault constructed in accordance with the requirements of appendix IV 8/.

(2) TOP SECRET -- Supplemental Controls. In addition to the cabinets and vaults specified in paragraph (1) above, during nonworking hours the following area controls are required 9/.

(a) Entry to the room, building, or structure in which the container is located shall be controlled by a properly cleared, authorized employee or guard stationed so as to control admittance to the room, building, or structure, or by a lock which provides reasonable protection against surreptitious entry. and

6/ Cabinets, contractors, and prices are listed in the FSS (FSC Group 71-Part III of the GSA, Federal Supply Service). Copies of specifications and schedules may be obtained from any regional office of the GSA.

7/ Security file cabinets conforming to federal specifications bear a Test Certification Label on the locking drawer attesting to the security capabilities of the cabinet and lock. Such cabinets manufactured after February 1962 will also be marked "General Services Administration Approved Security Container" on the outside of the top drawer. Acceptable tests of the cabinets shall be performed only by a testing facility specifically approved by GSA.

8/ When authorized vaults or strongrooms are used for the storage of classified material, bin or shelf storage methods may be employed inside the vault or strongroom. In addition, any type of file cabinet or locking container may be used in the vault or strongroom to provide internal control over dissemination of the classified information.

9/ Working hours shall, for purposes of this paragraph, be considered as that period of time when: (i) there is present in the specific area in which the container is located, a work force on a regularly scheduled shift, as contrasted with employees working within an area on an overtime basis outside of the scheduled work shift; and (ii) the number of employees in the scheduled work force is sufficient in number and so positioned as to be able to detect and challenge the presence of unauthorized personnel. This would, therefore, exclude custodians, maintenance personnel, and other individuals whose duties require movement throughout the facility.

(b) For the purpose of detecting unauthorized personnel or attempted illegal entry to the container, the interior of the room, building, or structure (whichever is controlled in accordance with paragraph (a) above) in which the container is located shall be patrolled and each container inspected at least once during each 2-hour period by a guard, one of whose principal duties is safeguarding classified information, and who is supervised by a system that provides a written record of the coverage of key points within the area. or

(c) The room, building, or structure in which the container is located, or the container itself, shall be equipped with an alarm system as prescribed in paragraph 35. The response time to an activated alarm shall not exceed 15 minutes.

(3) SECRET -- Cabinets, Strongrooms, and Vaults. When not in use, SECRET material shall be stored in a cabinet or vault authorized for the storage of TOP SECRET, or in a security cabinet, strongroom, or vault as specified in paragraphs (a) through (g) below.

(a) A GSA approved cabinet originally procured from an FSS supplier and bearing a GSA Test Certification Label 6/ 7/ may be used.

(b) A Class B Vault constructed, in accordance with the requirements outlined in appendix IV 8/, may be used.

(c) A safe, steel file cabinet, or safe-type steel file container having an automatic unit locking mechanism and a built-in three-position dial-type changeable combination lock may be used. (See subparagraph (4) below.)

(d) A steel file cabinet secured by a steel bar 10/ and a three-position dial-type changeable combination padlock, listed on the GSA Qualified Products List as meeting the requirements of Federal Specification FF-P-110 may be used. Non-FSS three-position dial-type changeable combination padlocks in use at the present time may remain in use until replacement is necessary, or additional padlocks are required. (See subparagraph (4) below.)

(e) A Class C Vault constructed in accordance with the requirements of appendix IV 8/. (See subparagraph (4) below.)

(f) A strongroom may be used, provided the strongroom is supplementally controlled by a regularly scheduled 2-hour guard patrol, or is equipped with an alarm system as prescribed in paragraph 35, and response time to an activated alarm shall not exceed 15 minutes. (See paragraph F, appendix IV, for construction requirements.)

10/ The keepers of the steel lock bar shall be secured to the cabinet by welding, rivets, or bolts, so that it cannot be removed and replaced without leaving evidence of the entry. The drawers of the container shall be held securely, so that their contents cannot be removed without forcing open the drawer.

(g) A steel container in a desk pedestal, which encloses the container on five sides and is riveted or bolted to the desk may be used, provided the exposed face of the container is secured by a steel bar and a three-position dial-type changeable combination padlock 10/. (See subparagraph (4) below.)

(4) SECRET -- Supplemental Controls. In addition to the cabinets and vaults specified in paragraphs (3)(c), (d), (e), and (g) above, during non-working hours the following area controls are required 9/.

(a) Entry to the room, building, or structure in which the container is located shall be controlled by a properly cleared, authorized employee or guard stationed so as to control admittance to the room, building, or structure, or by a lock that provides reasonable protection against surreptitious entry; or by a properly cleared guard stationed at each unsecured perimeter entrance to a complex 11/ that is enclosed by a physical barrier, and provided further that the area is patrolled adequately to provide reasonable opportunity to detect unauthorized personnel. and

(b) For the purpose of detecting unauthorized personnel or attempted illegal entry into the room, building, or structure (whichever is controlled in accordance with paragraph (a) above) in which the container is located, the area shall be patrolled at least once during each 4-hour period by a properly cleared, authorized employee or guard. One of this employee's or guard's duties must be safeguarding classified information and he or she must be supervised by a system that provides a written record of the coverage of key points within the area. or

(c) The room, building, or structure in which the container is located, or the container itself, shall be equipped with an alarm system, as prescribed in paragraph 35, and the response time to an activated alarm shall not exceed 15 minutes.

(5) CONFIDENTIAL -- Cabinets, Strongrooms, and Vaults. When not in use, CONFIDENTIAL material shall be stored in the same manner as TOP SECRET or SECRET material; however, supplemental controls are not required.

b. Bulky Material. When it is impractical to store classified material because of its nature, size, or unique characteristics, in accordance with paragraph a above, the contractor shall safeguard such material by control of the area in which it is located, to the extent required by section IV.

c. Supervision of Storage Containers. Only a minimum number of authorized persons shall possess the combinations to the storage containers or have access to the information stored therein. To facilitate investigation of a container found open and unattended, a record shall be maintained of the names and addresses of persons having knowledge of the combination. Cabinets,

11/ A complex is a facility or any element thereof which consists of one or more buildings or structures physically enclosed within a common perimeter barrier supplemented by protective measures, which prevent unauthorized access and control authorized access.



vaults, and other containers in which classified material is stored shall be kept locked, when not under the direct supervision of an authorized person entrusted with the combination or the contents. In the case of a one-person facility, the management official shall inform the CSO of the combination of the container. The combination shall be classified, in accordance with paragraph 5i, shall be placed in a sealed envelope marked, "to be opened upon death or incapacitation of (name of management official)," and shall be transmitted to the CSO, in accordance with paragraph 17. In addition, conspicuously displayed on the outside of the container shall be a notice to contact the CSO, prior to opening or moving the container. This notice shall contain the mailing address of and an appropriate telephone number at the CSO. The above provisions pertaining to one-person facilities do not apply to cleared one-person facilities of a MFO. For such facilities, provisions should be made in the HOF SPP for affixing an appropriate notice on the outside of the cabinet, and for furnishing the combination to the FSO of the HOF who shall be identified as the official to contact rather than the CSO.

d. Protection During Nonworking Hours. Unless specified in a UA contract, a contractor shall not be required to establish additional controls over classified material stored in accordance with paragraph a above.

e. Removal to Residence. Although the contractor may have provided for adequate storage facilities at the respective residences of his officers, directors, and other employees, removal of classified materials to such dwellings for "after hours" work as a convenience to such persons is not authorized. These facilities, provided they meet the requirements of this manual, may be utilized for temporary storage purposes only in connection with authorized travel when the individual, in order to accomplish the objectives of the trip, is authorized to carry classified material as prescribed in paragraph 17h, or in other cases of necessity on approval by an official of the facility who was cleared in connection with the granting of the FCL. In no case will TOP SECRET material be removed to a private residence without: (i) the written authorization of the contracting officer in accordance with paragraph 17b, and (ii) approval of the CSO as to the security controls to be maintained over the TOP SECRET material while it remains outside of the facility.

f. Repair of Damaged Security File Cabinets. Neutralization of lockouts or repair of any damage which affects the integrity of a security file cabinet approved for storage of classified information shall be accomplished only by appropriately cleared or continuously escorted personnel specifically trained in approved methods of maintenance, neutralization of lockouts, and repair of perforations.

(1) A GSA approved security file cabinet is considered to have been restored to its original state of security integrity if:

(a) all damaged or altered parts (for example locking drawer and drawer head) are replaced with manufacturer's replacement or identical cannibalized parts, or

(b) when a container has been drilled immediately adjacent to or through the dial ring to neutralize a lockout, the replacement lock is equal to the original equipment and the drilled hole is repaired with a tapered case-hardened steel rod (for example, dowel and drill bit) with a diameter

slightly larger than the hole, and of such a length that when driven into the hole there shall remain at each end of the rod a shallow recess of not less than 1/8 inch deep, nor more than 3/16 inch, to permit the acceptance of substantial welds, and be welded both on the inside and outside surfaces. The outside of the drawer head shall then be puttied, sanded, and repainted in such a way that no visible evidence of the hole or its repair remains on the outer surface after replacement of the damaged part (for example, new lock.)

(2) If damage to a GSA approved or other approved security file cabinet is repaired with welds, rivets, or bolts, which cannot be removed and replaced without leaving evidence of entry, the cabinet thereafter may be used for storage of CONFIDENTIAL material or SECRET material with supplemental controls as outlined in paragraph 14(a)4. If the damage is repaired using methods other than those specified in paragraph (1) above or this paragraph, use of the cabinet shall be limited to unclassified material.

g. Damage to Approved File Cabinets 7/. A list shall be maintained by the FSO of all approved file cabinets which have sustained damage other than normal marring or scratching from use. Each cabinet listed shall be identified by giving its location and a description of the damage. There shall also be on file a signed and dated certification, provided by the repairer, setting forth the method of repair used. The list and certification shall be retained for the life of the file cabinet and shall be available for review during recurring security inspections. Each such cabinet shall have a label posted on the inside of the top drawer to indicate the highest category of classified material which may be stored therein. If the damage affects the integrity of a GSA approved cabinet, the GSA Approved Security Container Label and the GSA Test Certification Label shall be removed. However, these labels may be retained by the FSO for a period of 30 days for those GSA approved cabinets designated for repair to restore their original integrity. If integrity is not restored within 30 days, the labels shall be destroyed. When a GSA approved cabinet is repaired in accordance with --

(1) Paragraph f(1)(a) above, the replacement locking drawer will have its GSA Test Certification Label affixed. In this case the retained GSA Approved Security Container Label shall be affixed to the outside of the top drawer and the retained GSA Test Certification Label shall be destroyed.

(2) Paragraph f(1)(b) above, the retained GSA Approved Security Container Label shall be affixed to the outside of the top drawer, and the GSA Test Certification Label shall be affixed to the inside of the locking drawer.

15. Alternate Storage Locations.

a. General. Material classified no higher than SECRET, requiring protection in the interest of national defense and essential to continuity of production operations, may be duplicated and stored in an alternate location, provided the contracting officer approves the use of such storage for information pertaining to the contract. The provisions of section VI shall apply to the procurement of this service. Acceptable alternate storage locations are cleared facilities of: (i) a parent, a subsidiary, or another facility of a MFO; (ii) a bank offering safe deposit box/vault facilities; or (iii) a company providing a protective storage service.

b. Security Clearance Requirements. The alternate storage location shall be a cleared facility. PCL requirements will depend on the type of service provided. Where the alternate storage facility is required to provide both secure storage and other services requiring access to the classified information, PCL's are required for employees whose duties will involve access to the classified material or responsibility for providing security protection for the classified material. When the facility is to provide only secure storage space, PCL's are required only for those personnel whose duties involve responsibility for security protection of the classified material.

c. Records. When the alternate storage facility provides both secure storage and file service for the classified information, all of the security requirements prescribed in this manual shall apply. When the alternate storage facility provides only secure storage service, accountability for the alternate files shall be maintained on a separate record by the facility which deposits the material.

d. Containers. When the services of a bank are utilized, safe deposit boxes will be considered equivalent to FSS security cabinets, provided the prime contractor:

(1) controls the keys to the safe deposit box in the same manner that combinations to storage containers are safeguarded, in accordance with paragraph 5i;

(2) utilizes only cleared employees, whose signatures are on file with the bank, to deposit and remove classified material; and

(3) ensures that established procedures preclude access to the classified information by employees of the bank.

16. Safeguards During Use. Classified materials, when not safeguarded as provided for in paragraphs 14a or b, or 34, and when in actual use by authorized personnel, shall be protected as follows:

a. kept under the constant surveillance of an authorized person, who is in a physical position to exercise direct security controls over the material;

b. covered, turned face down, placed in storage containers, or otherwise protected, when unauthorized persons are present; and

c. returned to storage containers as soon as practical after use.

17. Transmission.

a. Preparation for Transmission of TOP SECRET, SECRET, and CONFIDENTIAL Material.

(1) Outside of a Facility. TOP SECRET, SECRET, and CONFIDENTIAL material to be transmitted outside of a facility shall be enclosed in opaque inner and outer containers, except as provided for in paragraph (b), (c), or (d) below. If the classified material is printed or written, and is of

such size as to permit the use of envelopes for wrapping, the classified information shall be protected from direct contact with the inner container by a cover sheet or by folding inward. Except as indicated in paragraph (e) below, the inner container shall be addressed, return addressed, carefully sealed, and shall be plainly and conspicuously marked with the classification of the contents and, if appropriate, with the notations required by paragraphs 11b(8), 88a, and 123. The outer container shall be addressed, return addressed, and carefully sealed with no markings or notations to indicate that the contents are classified. If the outer container is not sufficiently opaque to prevent the classification markings on the inner cover from being visible, the inner container shall be wrapped with sufficient paper to conceal the markings. If the classified material is of a size, bulk, weight, or nature which precludes wrapping as described above, materials used for the packaging shall be of such strength and durability as to provide protection while in transit. To prevent items from breaking out and to facilitate the detection of tampering with the container, the following will be used, whenever practical: seals, kraft paper, kraft tape laminated with asphalt and containing rayon fibers (snake type) or nylon sensitive tape, puncture resistant material, wire mesh, or other knife-slash resistant material. As long as the material is enclosed in a double container, the material may be wrapped or boxed in paper, wood, metal, or a combination thereof. When transmitting TOP SECRET and SECRET material the inner container shall contain a receipt form which identifies the addressor, the addressee, and the contents by unclassified or short title. Where this is not practical, the receipt shall be sent to the proposed recipient with the advance notice of shipment required by paragraphs c(5)(c) and d(3)(d) below, or hand-carried by a responsible employee designated to accompany the classified shipment to its destination. When transmitting CONFIDENTIAL material, a receipt form is not required. Special provisions for the packaging of classified material are as follows. \*

(a) The transmission of written materials of different classifications, for example, the inclusion of CONFIDENTIAL and UNCLASSIFIED with SECRET in a single package, should be avoided. However, when written materials of different classifications are transmitted in one package, they shall be wrapped in a single inner envelope or container, and the receipt required by paragraph (1) above, shall be enclosed. The inner envelope or container shall be marked with the highest classification of its contents.

(b) If the classified material is an internal component of a packageable item of equipment with an outside shell or body, which is not classified and which completely shields the classified aspects of the item from view, the shell or body may be considered as the inner container.

(c) If the classified material is an inaccessible internal component of a bulky item of equipment that is not reasonably packageable, such as a missile, the outside shell or body of the item may be considered as the outer container, provided the shell or body is not classified.

(d) If the classified material is an item of equipment that is not reasonably packageable and the shell or body is classified, it shall be draped with an opaque covering that will conceal all classified features. Such coverings must be capable of being secured so as to prevent inadvertent exposure of the item.

(e) Specialized shipping containers, including closed cargo transporters, may be used in lieu of the above packaging requirements. In such cases the container may be considered to constitute the outer container.

(f) The address may be omitted from the inner and outer container for shipment in full truckload lots, when such an exception is contained in the provisions of the contract. The DAR requires that complete consignment and marking instructions, to the extent known at the time the contract is awarded, be included in the contract to assist in ensuring delivery of items to proper destinations without delay. It further requires that additional consignment instructions be furnished to the contractor as soon as they become known. Under no circumstances will the outer container, or the shipping document attached to the outer container, reflect the classification of the contents or the fact that the contents are classified.

(2) Additional Requirements for SECRET Material to be Shipped by Commercial Carrier 12/. SECRET material to be transmitted outside a facility by commercial carrier shall be prepared for transmission to afford additional protection against pilferage, theft, and compromise. Specific provisions for shipment of SECRET material are as follows.

(a) Except as authorized in paragraph 17a(1), SECRET material shall be shipped in hardened containers (see paragraph 3as), unless specifically authorized otherwise by the contracting officer or his or her designated representative.

(b) The outer container shall be plainly and conspicuously marked, labeled, or tagged with the words, "Protective Security Service Required" (see paragraph 3bq).

(c) Carrier equipment shall be sealed by the shipper, or at his or her direction, when there is a full carload, a full truckload, exclusive use of the vehicle, or a closed and locked compartment of the carrier's equipment is used. The seals shall be numbered and the number indicated on all copies of the BL. When seals are used, the BL shall be annotated substantially as follows:

DO NOT BREAK SEALS EXCEPT IN CASE OF EMERGENCY OR UPON PRIOR AUTHORITY OF THE CONSIGNOR OR CONSIGNEE. IF FOUND BROKEN OR IF BROKEN FOR EMERGENCY REASONS, APPLY CARRIER'S SEALS AS SOON AS POSSIBLE AND IMMEDIATELY NOTIFY BOTH THE CONSIGNOR AND THE CONSIGNEE.

12/ Commercial carriers have been issued instructions in the "Carrier Supplement to Industrial Security Manual for Safeguarding Classified Information," DoD 5220.22-C applicable to their responsibilities for transmissions of SECRET controlled shipments.

(d) The notation "Protective Security Service Required" 13/ shall be reflected on all copies of the BL. The BL will be maintained in a suspense file to follow up on overdue or delayed shipments.

(3) Within a Facility. TOP SECRET, SECRET, and CONFIDENTIAL material shall be prepared for transmission within a facility in such manner as to ensure a degree of security protection adequate for the method of transmission to be used, using guidance contained in paragraph (1) above. Material does not require double wrapping for intraplant transmission. However, in all cases, adequate measures shall be taken to protect against unauthorized disclosure of classified information.

b. Method of Transmission of TOP SECRET Material Outside a Facility. When a contractor is authorized in writing, by the contracting officer or his or her designated representative, TOP SECRET material may be transmitted by: (i) specifically designated escort or courier cleared for access to TOP SECRET information (military, U.S. civilian employee, or a responsible employee designated by the contractor, except that the contractor employee shall not carry classified material across international boundaries); (ii) Armed Forces Courier Service, in accordance with the instructions of the contracting officer; and (iii) by electrical means in a CRYPTOSYSTEM approved for encryption of TOP SECRET information. Under no circumstances shall TOP SECRET material be transmitted through the U.S. or company mail channels.

c. Method of Transmission of SECRET Material Outside a Facility. SECRET material shall be transmitted by one of the following means within and between the U.S., Puerto Rico, or a U.S. possession or trust territory.

(1) SECRET material shall be transmitted by one of the means established for TOP SECRET.

(2) SECRET material shall be transmitted by U.S. Registered Mail, including U.S. Registered Airmail, through U.S. civil postal facilities or Army, Navy, or Air Force postal facilities. Addresses may be obtained from the "DoD Activity Address Directory," DoD 4000.25-D (a reference copy is located at the CSO), or from the ACO/PCO. A copy of DoD 4000.25-D may also be purchased from the GPO.

(3) SECRET material shall be transmitted by appropriately cleared employees of the contractor who have been designated and briefed in their responsibilities as couriers or escorts for protecting the SECRET material. When such couriers or escorts are utilized, the classified material remains under the constant custody and protection of the contractor personnel at all times and the commercial transportation service (ship, rail, air, or truck) is not required to have a FCL. Escorts or couriers shall always accompany shipments when rail or ship transportation is involved (see appendix IX for use of escorts for classified shipments and appendix X for hand-carrying of classified documents aboard commercial passenger aircraft).

13/ In such cases the SECRET shipment shall be routed via a cleared commercial carrier under a tariff, tender, or contract that provides PSS in accordance with the DoD 5220.22-C.

(4) SECRET material shall be transmitted by electrical means over approved CRYPTOGRAPHIC communication circuits (telephone, wire, radio, or an intercommunication system), including computer data, but only with the prior written approval and in accordance with the instructions of the contracting officer.

(5) SECRET material shall be transmitted by commercial carriers 14/ (air or surface) only when the size, bulk, weight, nature of the shipment, shipping costs, or escort considerations make the use of the foregoing methods impractical. Only qualified carriers (see paragraph 3bs) will be used for the transmission of SECRET material. When the services of a commercial carrier are required, the contractor as consignor shall be responsible for the following.

(a) The contractor shall utilize a qualified carrier selected by the U.S. Government that will provide a single line service from point of origin to destination, when such service is available, or by such transshipping procedures as may be specified by the U.S. Government. and

(b) The contractor shall request routing instructions, including designation of a qualified carrier, from the contracting officer or designated representative (normally the government transportation officer.) The request shall specify that the routing instructions are required for the shipment of SECRET material via Protective Security Service (DO NOT ABBREVIATE THIS) and include the point of origin and point of destination. or

(c) As an exception to the general requirements enunciated above, if time is of the essence and the total shipment weighs less than 200 pounds gross, the contractor, as consignor, may make arrangements directly with a cleared commercial carrier to provide PSS for the transporting of the SECRET shipment when a CBL is to be used. This exception may not be utilized for COMSEC or SENSITIVE COMPARTMENTED INFORMATION material without the approval of the PCO. Under this exception the contractor must specify to the commercial carrier that SECRET material is to be shipped and that PSS is required. The points of origin and destination must also be provided. Verifications of the clearance of the commercial carrier and the fact that it provides PSS are to be obtained from the CSO of the HOF of the carrier prior to release of any classified material. and

(d) The contractor shall notify the consignee (including U.S. Government transshipping activity) of the nature of the shipment, the means of the shipment, numbers of the seals, if used, and the anticipated time and date of arrival by separate communication at least 24 hours in advance, (or immediately on dispatch if transit time is less than 24 hours) of the arrival of the shipment, in order that the consignee may take appropriate steps to receive and protect the shipment. This notification shall be addressed to the appropriate organizational entity in the same manner as provided in paragraph

14/ Commercial carriers may be used only within and between the 48 contiguous States and the District of Columbia or wholly within Alaska, Hawaii, Puerto Rico, or a U.S. possession or trust territory.

17k and not to an individual. Request the consignee activity (including a military transshipping activity) to notify the consignor of any shipment not received within 48 hours after the estimated time of arrival indicated by the consignor. In addition, the consignor shall annotate the BL to require the carrier to provide immediate notice to the consignor of any delay en route, regardless of the reason of delay. On receipt of either, the consignor shall immediately request the carrier to trace the shipment and shall notify his or her CSO, in accordance with paragraph 6a(10), of the delay in the delivery of the classified material and the circumstances as known to the consignor. Subsequent developments concerning the delayed shipment shall also be reported to the CSO. A copy of the report shall also be submitted to the contracting officer concerned or his or her designated representative. The consignee, consignor, and carrier are required to take similar inquiry and reporting action if a shipment is received with broken seals, or the numbers on the seals do not match those on the advance notice of shipment.

(6) SECRET material shall be transmitted by a commercial messenger service which has been granted a SECRET FCL and is engaged in the intra-city/local area delivery (same day delivery only) of classified material between cleared contractors, or between cleared contractors and a UA and/or the U.S. Post Office. Transmission of COMSEC information and SENSITIVE COMPARTMENTED INFORMATION will not be released to a commercial messenger service without contracting officer approval.

(7) SECRET material shall be transmitted by such other methods directed through specific instructions from the contracting officer or his or her designated representative, because of special considerations or the nature of the shipment (for example, explosives, high priority items, nuclear weapons or direct shipments between military installations) 15/.

d. Method of Transmission of CONFIDENTIAL Material Outside a Facility 15/. Such material shall be transmitted by one of the following means within and between the U.S., Puerto Rico, or a U.S. possession or trust territory.

(1) One of the means established for SECRET in paragraphs c(1), (2), (3), (4), (6), and (7) above 14/ may be used.

(2) U.S. Express Mail 16/ or U.S. Certified Mail for CONFIDENTIAL material may be used. However, U.S. Registered Mail shall be used for trans-

15/ When a shipment by truck is contemplated for classified CM (CONFIDENTIAL or SECRET), the contracting officer will issue specific shipping instructions requiring a driver holding a final SECRET clearance in addition to the military escort normally provided for such shipments.

16/ U.S. Express Mail is a premium mail service consisting of both programmed and regular service. The service is intended for, but not limited to use by, the business mailer or other large volume users of the mails. The service is a high-speed intercity delivery system that usually can negate the requirement to hand-carry CONFIDENTIAL material in cases of short notice. Additional information is available through a local postal customer service representative regarding the specific options that are available.

mittal of such material between any of the following points: the CONUS, Alaska, Hawaii, Puerto Rico, or a U.S. possession or trust territory. Addresses may be obtained from the "Department of Defense Activity Address Directory," DoD 4000.25-D (a reference copy is located at the CSO), or from the ACO/PCO. A copy of the DoD 4000.25-D may be purchased from the GPO.

(3) A commercial carrier 14/ (air or surface) may be used only when the size, bulk, weight, nature of the shipment, shipping costs, or escort considerations make the use of the foregoing methods impractical. The commercial carrier must be authorized by law, regulatory body, or regulation to provide the required transportation service and a determination must be made by MTMC that the carrier has a tariff, government tender, agreement, or contract that provides a SSS. A FCL is not a requirement. The foregoing information may be obtained from the contracting officers or their designated representatives. In addition to the aforementioned coordination with the contracting officers or their designated representatives, the contractor, as consignor shall:

(a) utilize containers of such strength and durability as to provide security protection to prevent items from breaking out of the container and to facilitate the detection of any tampering with the container while in transit; \*

(b) indicate on the BL, "Signature Security Service Required" -- in addition, the consignor shall annotate the BL to require the carrier to notify the consignee immediately, if the shipment is delayed en route for any reason;

(c) instruct the carrier to ship packages weighing less than 200 pounds gross in a closed vehicle or a closed portion of the carrier's equipment; and

(d) notify the consignee (including a U.S. Government transshipping activity) of the nature of the shipment, the means of shipment, and the anticipated date and time of arrival by separate communication at least 24 hours in advance (or immediately on dispatch if transit time is less than 24 hours) of the arrival of the shipment in order that the consignee may take appropriate steps to receive and protect the shipment. This notification shall be addressed to the appropriate entity in the same manner as provided in paragraph 17k and not to an individual. Request the consignee (including a military transshipping activity) to notify the consignor of any shipment not received within 48 hours after the estimated time of arrival indicated by the consignor. On receipt of such notice, the consignor shall immediately request the carrier to trace the shipment and shall notify his or her CSO, in accordance with paragraph 6a(10), of the delay in the delivery of the classified material and the circumstances as known to the consignor. Subsequent developments concerning the delayed shipment shall also be reported to the CSO. A copy of the report shall also be submitted to the contracting officer concerned or his or her designated representative, for forwarding to the MTMC.

e. Method of Transmission of SECRET and CONFIDENTIAL Material Outside of Areas Enumerated in Paragraphs 17c and d. SECRET and CONFIDENTIAL material shall be transmitted only under the provisions of the contract or with the written authorization of the contracting officer. However, when the classified

material had previously been authorized for export under a State Department license or letter, the contractor shall notify the contracting officer of the classified material to be transmitted outside of the areas enumerated in paragraphs c and d above. A contractor shall not transmit classified material directly to a foreign government or firm. The only exception to this would be when a foreign government, with whom the U.S. has entered into a reciprocal agreement pertaining to the filing of classified patent applications in the respective countries, has authorized its U.S. patent agent to return its foreign classified information directly to that foreign government. Except as noted above, transmission shall take place between the contractor and a designated U.S. Government representative for forwarding to the foreign activity. This is known as transmission by government-to-government channels. Transmittal arrangements shall be made by the CSO, when the foreign firm or government has awarded a contract to the U.S. contractor. When authorized, SECRET and CONFIDENTIAL material shall be transmitted by one of the following means.

(1) SECRET and CONFIDENTIAL material shall be accompanied by a contractor employee, courier or escort, who is cleared for access to the classified information involved and who has been designated by the contractor, provided: (i) the classified material is not transported across international borders (this does not preclude use of regularly scheduled nonstop flights on U.S. carriers between the U.S. mainland and Alaska, Hawaii, Puerto Rico, or U.S. possessions or trust territories); (ii) time limitations do not permit the use of U.S. Government channels; (iii) an appropriate courier or escort authorization is issued to the employee; (iv) the transmission is begun and completed during normal daytime duty hours of the same day and is by surface means only and within the national borders of the country within which the transmission takes place; and (v) the employee can comply with the specific security instructions for the safeguarding of classified material involved; that is, storage at a U.S. Government installation within the country concerned.

(2) SECRET and CONFIDENTIAL material shall be accompanied by a U.S. Government civil service employee or military person who is cleared for access to the level of the classified information involved and who has been designated by the contracting officer. (Appropriately cleared officers of the Department of Navy, Military Sea Transportation Service Civilian Marine Personnel, may also be designated as escorts by the contracting officer.) Foreign carriers may not be utilized, unless the designated escort has continuous physical control of the material being transported.

(3) SECRET and CONFIDENTIAL material shall be transmitted by registered mail through U.S. Army, Navy, or Air Force postal facilities. If the intended recipient is not authorized to receive classified material through APO channels, arrangements shall be made with an activity which is so authorized to receive and hold the classified material pending pickup by the intended recipient.

(4) SECRET and CONFIDENTIAL material shall be transmitted by U.S. and Canadian registered mail with registered mail receipt to and from Canada in accordance with instructions from the contracting officer and via a U.S. or a Canadian government activity.

(5) SECRET and CONFIDENTIAL material shall be transmitted by Armed Forces Courier Service in accordance with specific instructions from the contracting officer.

(6) SECRET and CONFIDENTIAL material shall be transmitted in accordance with specific instructions from the contracting officer, whenever the nature of the classified shipment does not lend itself to transmission by any of the above methods. In such cases, the procedures for advance notice to consignee, reporting of delayed receipt, and so on set forth in paragraph c(5)(d) above apply.

f. Method of Transmission of TOP SECRET, SECRET, and CONFIDENTIAL Material Within a Facility. This material shall be transmitted within a facility by a responsible employee designated by the contractor who has been cleared for access to the category of classified information involved. Also, a responsible subcontractor guard who is employed on a full-time basis at the facility, possesses an appropriate PCL, and has been designated and briefed by the contractor, may be utilized to transmit SECRET and CONFIDENTIAL material. The classified material shall remain under the direct surveillance of the designated individual at all times. This material may be transmitted by electrical means over approved CRYPTOGRAPHIC communications circuits with the prior written approval and in accordance with instructions of the contracting officer, or other approved circuits with the prior written approval of the CSO.

g. Inspection of Classified Shipment. On receipt of a classified shipment, the consignee shall examine it to ensure that there is no evidence of tampering (see paragraph 12e(2)). Evidence of tampering shall be reported to the CSO in accordance with paragraph 6a(11).

h. Protection En Route by Contractor Employees. When employees designated by the contractor are used to transmit or carry classified material, the storage provisions of paragraph 14 shall apply at all stops en route to destination, unless the material is retained in the personal possession of the employee at all times. This involves constant surveillance by the employee who is in a physical position to exercise direct security controls over the material at all times. The hand-carrying of classified material on trips that involve an overnight stopover is not permissible, unless arrangements are made in advance of departure for overnight storage of the hand-carried classified material in a U.S. Government installation or a cleared contractor's facility. Transmission or carrying of classified material shall not be authorized when there is doubt as to whether the material can be properly handled and protected. Additional special requirements for hand-carrying of envelopes containing classified documents aboard commercial passenger aircraft are contained in appendix X. These procedures, however, apply to classified documents only. Instructions for hand-carrying classified hardware and other bulky packages aboard commercial passenger aircraft shall be obtained from the CSO on a case-by-case basis.

i. Additional Protection in Connection With Visits. When classified material, other than TOP SECRET, is required on a visit, such material shall be addressed by the contractor to his or her employee making the visit and shall be transmitted to the destination being visited, to be held for the employee, in accordance with paragraphs c(2) or d(2) above. This method

also shall be used for the return of the material. However, if contractors determine that time limitations do not permit mailing materials required during visits, they may authorize the employees concerned to carry the classified material, subject to the provisions of paragraph h above. An inventory of the material shall be made prior to departure and retained at the control station. A copy of the inventory shall be carried by the employee. Only that classified material absolutely essential to the purpose of the visit may be carried by the employee. On the employee's return from the visit, an inventory shall be made of the material for which he or she is charged. If, in connection with the purpose of the visit, classified material is not returned to the facility, a receipt shall be obtained and the transaction shall be recorded in the records of the control station, in accordance with paragraph 12. However, should there be a need to leave CONFIDENTIAL material at the facility visited, a receipt is not necessary, except if otherwise required in accordance with paragraph 12.

j. COMSEC Information. Classified COMSEC information shall be transmitted as prescribed in the "COMSEC Supplement to Industrial Security Manual for Safeguarding Classified Information" (CSISM), DoD 5220.22-S-1.

k. Addressing Mail or Shipments of Classified Material. Except as provided below, mail or shipments containing classified material shall be addressed to the Commander or Head of the UA activity or installation (Commander, Commanding Officer, Director, TO, or similar designation) or to the cleared facility concerned, using the appropriate business name and address, and not to an individual. This does not prevent use of office code letters or numbers, or such phrases in addition to the address as, "ATTN: Research Dept.," or similar aids in expediting internal routing.

(1) When it is considered desirable or appropriate to direct SECRET or CONFIDENTIAL material to the attention of a particular employee of a facility or UA, other than to a consultant as prescribed below, the identity of the intended recipient shall be indicated on an attention line on the inner container or on an attention line placed in the letter of transmittal. If such mail is to be delivered directly to the specified employee, a procedure shall be established to ensure that all classified enclosures are promptly entered into the facility's document control system in accordance with paragraph 12.

(2) When transmitting SECRET or CONFIDENTIAL material to an individual operating as a cleared facility or engaged as a Type B or C Consultant, or to any facility at which only one employee is assigned, the contractor shall specify on the outer container: "TO BE OPENED BY ADDRESSEE ONLY." Further, the outer container shall be annotated: "Postmaster -- Do Not Forward. If undeliverable to Addressee, Return to Sender." Postal regulations allow "Restricted Delivery" mail to be delivered to the addressee or to an agent the addressee has authorized in writing to receive "Restricted Delivery" mail. In all such instances, only appropriately cleared personnel shall be designated as agents for the addressee. Type C Consultants shall make arrangements to ensure that all incoming U.S. Certified Mail, U.S. Registered Mail, and U.S. Express Mail addressed to them in their capacity as independent consultants is delivered unopened to them personally through their employer's mail distribution system before entering it into their employer's document control system.

1. RESTRICTED DATA and FORMERLY RESTRICTED DATA. RESTRICTED DATA and FORMERLY RESTRICTED DATA shall not be transmitted or otherwise made available to any regional defense organization or foreign government, except under the provisions of the Atomic Energy Act of 1954, as amended, and in accordance with instructions issued by the contracting officer concerned.

18. Reproduction. All reproductions of classified material shall be marked or stamped with the same classification as the original. Only sufficient copies necessary to meet operational requirements shall be prepared, and reproductions shall be destroyed, if otherwise proper, as soon as they have served their purposes. Reproduction of classified material shall be made only on equipment specifically designated for the reproduction of classified material. Rules governing the use of such designated equipment will be conspicuously posted on or near the equipment. Further, appropriate warning notices prohibiting reproduction of classified material shall be posted on or near equipment used only for the reproduction of unclassified material.

a. Reproduction by Authorization Only. The contractor shall not make nor permit to be made without prior written authorization of the contracting officer, or his or her designated representative, any photograph or other reproduction of TOP SECRET information, SECRET information (when specifically prohibited), or CRYPTO information, regardless of classification, for any purpose. However, if the contract is for a TOP SECRET, SECRET, or CRYPTO report, then additional reproduction authority is not necessary. (See paragraph 87a regarding restrictions on the reproduction of COSMIC TOP SECRET information.) In addition, TOP SECRET and SECRET material originated by the DOE or its contractors may be reproduced only with the consent of the originator or higher authority within the responsible DOE activity.

b. Reproduction Not Requiring Authorization. The contractor may reproduce, without prior authorization of the contracting officer, non-CRYPTO information classified SECRET (unless specifically prohibited) or CONFIDENTIAL, when such reproduction is essential to the:

- (1) performance of the contract,
- (2) preparation of a solicited or unsolicited bid, quotation, or proposal to a UA of the U.S. Government or another authorized contractor for U.S. Government work,
- (3) correspondence in connection with the contract, and
- (4) preparation of patent application to be filed in the U.S. Patent Office. (This paragraph shall not be deemed to authorize the filing of patent applications, and such applications shall not be filed, except as specifically provided in the contract).

c. Records. The contractor shall maintain a record of the number of copies of all TOP SECRET, SECRET, and CRYPTO material, regardless of classification, that is reproduced. Reproduction records shall be retained by the contractor, for a minimum of 3 years for TOP SECRET, CRYPTO, or other special access material and for a minimum of 2 years for SECRET, and shall be incorporated in the control station records required by paragraph 12.

d. Additional Markings. When reproducing classified material, any additional marking shown on the original shall be shown on all reproductions.

19. Destruction.

a. Requirement for Destruction. The contractor shall establish a program for the review of classified material for the purpose of reducing to an absolute minimum the quantity on hand at any given time. With the exception of information listed in paragraph b below, contractors shall destroy classified material in their possession as soon as practical, after it has served the purpose for which it was:

- (1) released by the government,
- (2) developed or prepared by the contractor, and
- (3) retained after completion or termination of the contract.

b. Disposition by Specific Authorization. COSMIC TOP SECRET material (see paragraph 85c(2)) shall not be destroyed, but shall be returned to the contracting officer or his or her designated representative. Accountable COMSEC classified material shall be destroyed only when destruction is authorized in writing by an appropriate government official. In all instances where specific instructions have been issued by the contracting officer, such instructions will dictate the disposition to be accomplished.

c. Methods of Destruction. Classified material shall be destroyed beyond recognition so as to preclude reconstruction of the classified information in whole or in part. The destruction, which may be limited to those components or portions of the material that incorporate classified information, can be accomplished by burning, melting, mutilation, or chemical decomposition. In addition, pulping, disintegration, pulverizing, or shredding may be used for the destruction of paper products. Methods of destruction, other than burning, and the equipment used for such, shall be approved by the CSO. Public incinerators may be used only with the prior approval of, and under conditions prescribed by, the CSO. The following additional requirements pertain to destruction.

- (1) If classified material is removed from the facility for destruction, it shall be destroyed on the same day it is removed.
- (2) The equipment and methods used to destroy classified material shall be inspected each time destruction is effected to ensure that the minimum requirements approved by the CSO are met.
- (3) When classified paper products are shredded, the residue shall not exceed a size greater than 1/32 of an inch in width (with a permissible plus tolerance of 1/64 of an inch) by 1/2 inch in length, and shall be accomplished in sufficient quantities of material, and types of paper, to preclude reconstruction or recognition of the material being destroyed. \*
- (4) The SPP shall include specific instructions which apply to the method of destruction, and shall incorporate instructions provided by the CSO.

d. Witness to Destruction. The destruction of classified material shall be accomplished by, or in the presence of, two employees of the contractor who possess appropriate security clearances. One shall be a responsible employee who has been briefed in the destruction provisions of this paragraph, and who has been designated by the contractor to perform the destruction. The other shall be a responsible employee or a subcontract employee who is working on the premises of the contractor and who has been designated to witness the destruction of the classified material. However, CONFIDENTIAL material, other than accountable COMSEC material, may be destroyed at the facility and witnessed by: (i) one responsible employee or (ii) one responsible subcontractor guard who is employed on a full-time basis at the facility, is under the supervision and direction of the FSO, possesses an appropriate PCL, has been briefed in the destruction procedures, and has been designated to perform and witness the destruction.

e. Destruction Records and Certificates for TOP SECRET, SECRET, or CRYPTO Material. When TOP SECRET, SECRET, or CRYPTO material, regardless of classification, is destroyed, the contractor, in addition to maintaining accountability records reflecting the destruction of such material, shall execute a destruction certificate indicating the date of destruction and identifying the material destroyed. The certificate shall be signed by both the individual designated to destroy and the individual designated as a witness at the time the material is destroyed. Both individuals shall be required to know, through their personal knowledge, that such material was destroyed. The contractor may, at his or her discretion, combine the information required in the destruction certificate with the accountability records maintained in accordance with paragraph 12a. On request, a copy of the destruction certificate shall be sent to the contracting officer at the time of destruction. Destruction records and destruction certificates shall be maintained at the control stations established under paragraph 12, and shall be retained by the contractor for a minimum of 3 years for TOP SECRET, special access, or CRYPTO material, regardless of classification, and for 2 years for SECRET material.

f. Classified Waste. Classified waste shall be destroyed as soon as practical, in accordance with the provisions of paragraph c above. This applies to all waste material containing classified information, such as preliminary drafts, carbon sheets, carbon ribbons, plates, stencils, masters, stenographic notes, worksheets, and similar items. Typewriter and ADP equipment ribbons used in transcribing classified material shall be safeguarded in the manner appropriate for the classification category involved, until the ribbon is cycled through the typewriter or printer a sufficient number of times to obliterate information contained thereon. Normally this can be accomplished if the ribbon is completely overprinted five times in all ribbon typing or printing positions. Any ribbon which remains substantially stationary (that is, receives at least five consecutive impressions) shall be treated as unclassified. CONFIDENTIAL waste, except waste containing CRYPTO or other special access information, may be destroyed by one employee or one responsible subcontractor guard pursuant to the provisions of paragraph d above. Pending destruction, classified waste shall be safeguarded in accordance with paragraph 14. Receptacles utilized to accumulate classified waste shall be clearly identified. If not promptly destroyed, accountability shall be established over that material containing information classified SECRET or

higher, special access information, or CRYPTO, regardless of classification, in accordance with paragraph 12f. When destruction does take place, the provisions of paragraph e above are applicable.

g. Alternate Procedure. Where there is only one employee assigned at a facility and there is a need to destroy material, one or more of the following alternate procedures shall be used for disposal of the classified material.

(1) Return all classified material eligible for destruction, including classified waste, to the contractor or UA for whom the classified work is being performed, or to another facility of the same MFO.

(2) Utilize the destruction facilities of another DoD contractor or UA, provided that the individual granted use of such facilities retains physical custody of the classified material and personally ensures its complete destruction. To satisfy the requirements of paragraphs d and e above, an appropriately cleared employee of the contractor or UA providing the destruction service may serve as a witness to the destruction and sign the destruction certificate.

(3) Employ the destruction services of a subcontractor, vendor, or supplier specializing in the destruction of classified material, provided that the controls set forth in paragraph c above are observed and an appropriately cleared employee of another DoD contractor or UA is present to witness the destruction, when required pursuant to paragraph d and e above.

h. Magnetic Recordings.

(1) All classified information recorded on magnetic media shall be safeguarded and accounted for, according to the requirements prescribed in this manual for the highest level of classified information ever recorded thereon.

(2) When the classified information recorded on magnetic media is itself regraded or declassified, the recording media shall be regraded, in accordance with the provisions of paragraph 11d, and, except when completely declassified, safeguarded according to the requirements prescribed in this manual for the new level of classification.

(3) Procedures for declassification of magnetic recording media are contained in paragraph 116.



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**1 OF 5**

Section III. SECURITY CLEARANCES

20. General.

a. An individual shall be permitted to have access to classified information only when cleared by the U.S. Government or by the contractor, as specified in this section, and the contractor determines that access is necessary in the performance of tasks or services essential to the fulfillment of a contract or program; that is, the individual has a need-to-know (see paragraph 3bg). The contractor shall limit the number of personnel processed for clearance to the maximum extent possible consistent with contractual obligations.

b. To be eligible for a PCL, the following age must have been attained.

	Years
For CONFIDENTIAL.....	16
For SECRET or TOP SECRET.....	18

c. A PCL granted by the DoD, or by a contractor as specified in this section, is valid for access on a need-to-know basis to all classified defense information at the same or lower category, except for the following.

(i) Contractor-granted CONFIDENTIAL PCL's are not valid for access to RESTRICTED DATA, FORMERLY RESTRICTED DATA, COMSEC information (see DoD 5220.22-S-1), SENSITIVE COMPARTMENTED INFORMATION (see paragraph 75), ACDA classified information, NATO information (see paragraphs 85 and 86) (however, a contractor-granted CONFIDENTIAL PCL is valid only for access to NATO RESTRICTED information), or to meet the PCL requirement as a prior condition for certification to fill a Critical or Controlled Position under the Nuclear Weapon PRP (see paragraph 3bi).

(ii) Interim SECRET or interim CONFIDENTIAL PCL's are not valid for access to RESTRICTED DATA, NATO, or COMSEC, and SENSITIVE COMPARTMENTED INFORMATION (however, interim TOP SECRET PCL's are valid for access to RESTRICTED DATA, NATO, COMSEC, and SENSITIVE COMPARTMENTED INFORMATION at the SECRET level and below).

(iii) Access under reciprocal clearances is limited as set forth in paragraph 3lc.

(iv) PCL's granted to immigrant aliens are not valid for access to NATO classified information, COMSEC information, or SENSITIVE COMPARTMENTED INFORMATION. In addition to a final security clearance granted by the DoD, specific authorization of the UA is required for access to SENSITIVE COMPARTMENTED INFORMATION.

d. Personnel shall not be cleared for access to classified information of a higher level than the clearance of the facility at which they are employed, except for:

- (1) Type A Consultants, as provided in paragraph 68, and

(2) employees of a MFO who are physically located at an uncleared facility or a facility with a lower level of clearance, who require access to a higher category of classified information exclusively in connection with the performance of duties at another cleared facility or at a U.S. Government installation; or who are transferred to an uncleared facility or to a facility with a lower level of FCL within the MFO, provided the contractor desires to retain the LOC at the higher level, so it will be available in the event the individual is transferred back to a facility at which the clearance will be needed. A PCL granted under this authority shall not be of a higher level than the FCL of the HOF of the contractor, and the LOC will be issued or forwarded to the HOF or to the PMF, as appropriate. If the contractor elects to have the LOC retained at a PMF, in accordance with paragraph 26k, PCL's granted to personnel located within the geographical or functional area of responsibility assigned to the PMF shall not be of a level higher than the FCL of the PMF.

e. All personnel assigned the duty or entrusted with the responsibility of safeguarding classified material shall be cleared at the same level as the facility to which they are assigned, except that such personnel will be required to have a TOP SECRET PCL only if the person's duties require that he or she has access to, or possession of, TOP SECRET information, or is exercising control over TOP SECRET areas, as prescribed by paragraph 34. This rule shall apply to personnel whose duties involve the safeguarding of classified material whether they are acting as guards in addition to other regularly assigned functions (guards required by paragraph 34 shall not be assigned additional functions which will interfere with their protective duties); employed by the contractor for the primary purpose of serving as a member of the police, guard, or protective force of the facility; or employees of a firm awarded a contract to furnish police, guard, or protective services at the cleared facility.

f. The fact that a contractor has qualified for and has been granted a FCL shall not be used for advertising, promotional purposes, or in the recruitment of employees. Employment advertisements shall not state or imply that a PCL is a condition or prerequisite for employment. Reproduction in any manner of the DIS FL 381-R, furnished to the contractor by the U.S. Government, shall not be made, except for the necessary records of the contractor or unless requested by competent U.S. Government authority. Further, the reproduction in any manner of a LOC or security assurance furnished by the government to the contractor for his or her employee shall not be made, except for necessary records of the contractor, or unless requested by competent U.S. Government authority. A copy of the LOC or security assurance shall not be furnished the employee named on the DIS FL 381-R for any purpose whatsoever, nor shall the employee be given any other written notification of the granting of a LOC or security assurance. However, this does not preclude the issuance of a color-coded identification card or badge to reflect the level of PCL in accordance with paragraph 8.

g. When DISCO determines that it is unable to meet the full investigative requirements for the level of PCL requested, the contractor shall be advised that such PCL cannot be granted because of such inability, and the PCL action shall be discontinued.

h. Unless administratively terminated, suspended, or revoked by the DoD, the clearance of an employee shall be effective so long as he or she is

continuously employed by the contractor, and during any period of reemployment by the contractor which commences within 12 months after the cessation of prior period of employment, provided DISCO is notified of the reemployment, in accordance with paragraph 6b(2). However, if the employee no longer has or requires access to classified information and no requirement for such access is anticipated in the foreseeable future, the PCL can be administratively terminated by complying with paragraph 29. In addition, when an employee is granted a leave of absence, it shall not be considered as an interruption or discontinuance of employment, provided it does not exceed 1 year. When the leave of absence granted the employee exceeds 1 year, the termination date reported in accordance with paragraph 6b(2) will be the first day of the leave of absence.

i. In all cases in which a contractor furnishes copies of board minutes, certificates, or other records, such records shall be on company letterhead or identified by typing the contractor's name and address and, in addition, they shall indicate the date of submission.

j. As a general rule, a contractor may be issued only one LOC for each cleared employee. However, in the case of an individual who, pursuant to paragraph 22, is required to be cleared in connection with the HOF FCL and who has his or her primary place of work at another facility of the MFO, a LOC may be issued to both facilities.

k. Requests for PCL's of personnel required to be cleared in connection with a FCL, as prescribed by paragraph 22, who are also RFI's, shall be submitted to the CSO. All other requests for PCL's of employees who are RFI's shall be submitted to DISCO. RFI's (see paragraph 3bw) are not eligible for PCL's if:

(1) the foreign interest involves a Communist country or a citizen, firm, or other entity of a Communist country; or

(2) their work as RFI's could create a potential conflict of interest situations vis-a-vis their work for the contractor, if PCL's were issued for them (a potential conflict of interest situation is considered to exist when an individual's technical or scientific endeavors on behalf of a foreign interest are similar to his or her technical or scientific endeavors on behalf of the U.S. contractor; for example, the individual is performing services as a consultant to a foreign government and to a contractor involving the same general scientific or technical discipline); or

(3) they are not U.S. citizens or U.S. nationals. This general exclusion is not applicable to individuals who are eligible for or have been previously granted a reciprocal clearance, in accordance with the provisions of paragraph 31.

Decisions as to whether an individual is eligible for a PCL pursuant to paragraph (1), (2), or (3) above are made by DIS. With the exception of the foregoing, RFI's are eligible for consideration for PCL's, provided they submit statements explaining fully their foreign connections. The statement should identify the foreign entity. If it is a business enterprise, the statement should explain the nature of the business and to the

extent possible, details as to its ownership, including the citizenship of the principal owners or blocks of owners. The statement should fully explain the nature of the relationship between applicant and the foreign entity and indicate the approximate percentage of the applicant's time devoted to the interest of the foreign entity. In addition, the statement shall incorporate the provision that the applicant recognizes his or her special responsibility to protect classified information from disclosure to any unauthorized person, foreign or domestic. Two copies of the statement described above shall be included with each request for an initial PCL, transfer of PCL, concurrent PCL, or conversion of clearance. In those cases where an individual who is cleared (or is in the process of being cleared) becomes a RFI, the contractor shall submit a written report, in accordance with either paragraph 6a(4) or 6b(5). This report shall include the statement described above. In those cases where a RFI is required to be cleared in connection with a FCL pursuant to paragraph 22, the provisions of paragraph 22f are applicable, in addition to the provisions of this paragraph.

l. Foreign nationals are not eligible for a PCL, except that reciprocal clearances may be granted in accordance with paragraph 31.

m. Except for short-term visits (not in excess of 90 consecutive days during any 12-month period) residence or the assignment of a cleared immigrant alien outside the U.S., Puerto Rico, Guam, or the Virgin Islands negates the basis on which the LOC was issued, and it shall be administratively terminated without prejudice by DISCO on receipt of notification of such residence or assignment (see paragraph 6b(6)).

n. Persons not eligible for PCL under the provisions of this section shall be granted access to classified information only as specifically authorized in writing by a UA. The granting of such access is beyond the scope of the DoD Industrial Security Program, and all necessary instructions will be provided by the UA concerned.

o. When an interim PCL has been granted and derogatory information is subsequently developed, DISCO may withdraw the interim PCL pending completion of the processing which is a prerequisite to the issuance of a final PCL. When an interim PCL for an individual who is required to be cleared in connection with the FCL pursuant to paragraph 22 is withdrawn, the interim FCL will also be withdrawn, unless action is taken to remove the individual from the position requiring PCL. Withdrawal action is not a denial or revocation of PCL and is not appealable.

20.1 Immigrant Aliens. In rare circumstances, when an immigrant alien possesses special expertise and it is determined by the U.S. Government that it is in the national interest to issue a PCL at the SECRET or CONFIDENTIAL level, a PCL may be obtained if the alien states in writing his or her intention to become a U.S. citizen as soon as becoming eligible to do so. Requests for authorization to submit a PCL application for an immigrant alien must be addressed to the contracting officer for approval. The request must include appropriate justification as to the special expertise that warrants this significant exception. After approval has been obtained from the contracting officer, the request for PCL may then be submitted as provided for in paragraph 26. Interim PCL's are not authorized for immigrant aliens.

## 21. Facility Security Clearances.

a. Procedures for Processing. A FCL is an administrative determination that a facility (see paragraph 3ak) is eligible from a security viewpoint for access to classified information of the same or lower classification level as the clearance being granted. FCL's shall not be granted to contractor activities located outside the U.S., Puerto Rico, or a U.S. possession or trust territory. FCL's may be granted only to contractors organized and existing under the laws of any of the fifty states and Puerto Rico. Contractors organized and existing under the laws of a U.S. possession or trust territory may not be processed for or granted a FCL, unless prior approval is received from the Deputy Director (Industrial Security), HQ DIS. The CSO assigned responsibility for the geographic area in which the facility is located (see appendix VIII) will advise the prospective contractor of the actions required for the processing, the issuance, and the continuation of a FCL. In connection with the issuance of a FCL, PCL's must be granted to certain management personnel as prescribed in paragraph 22. In addition, the contractor shall execute a DD Form 441, or, where appropriate, an "Appendage to Department of Defense Security Agreement" (DD Form 441-1) and a "Certificate Pertaining to Foreign Interests" (DD Form 441s). In the case of a MFO, where more than one facility is covered by the DD Form 441 or DD Form 441-1, the contractor shall furnish a copy of the DD Form 441 with DD Form 441-1, when appropriate, to each facility covered under the agreement and to the CSO of each covered facility. Before a contractor is eligible for custody of classified information, he or she shall, in addition to having a FCL, have storage capability as prescribed in paragraph 14 and be prepared to apply such other safeguards as prescribed by this manual. Classified information which is of a higher security classification than the contractor's FCL may not be disclosed to the contractor.

b. Licensing, Patent, and Trade Secret Agreements. Licensing, patent, and trade secret agreements with a foreign entity may render a contractor ineligible for a FCL, unless appropriate procedures are established in the facility's SPP to ensure that such agreements will not jeopardize the security of classified information, which is entrusted to the contractor. In this connection, attention is directed to the State Department's ITAR, in particular, parts 124 and 125 thereof. This regulation provides, inter alia, that before the execution of any license agreement envisaging the transmittal abroad of classified U.S. military information, it must first be submitted to the Department of State for review and approval, and that prior to any approval of such agreement, the release of the classified information involved must be approved by the cognizant U.S. military department and the DoD under established procedures.

c. Foreign Ownership, Control, or Influence (FOCI). Facilities which are determined to be under FOCI are not eligible for a FCL. Agreements with a foreign interest may make a contractor ineligible for a FCL. Execution of a DD Form 441s, in accordance with instructions set forth in appendix I, paragraph L, is required in connection with a determination of the degree, if any, of FOCI. The contractor must execute a new DD Form 441s whenever there is any change in the information previously submitted. It is not necessary to repeat answers on the new DD Form 441s, which have not changed. In addition, when any question on the DD Form 441s has been answered affirmatively, a new complete DD Form 441s must be submitted every 5 years from the date of the

last change submitted. If no changes have occurred, so state. Any investor who has acquired a direct or indirect beneficial ownership interest of 5 percent or more of any class of stock of a registered company, or any investor who plans to make a tender offer to purchase securities, which is reasonably expected to result in such an ownership interest, is required to file a Schedule 13 D report with the SEC, with the company whose securities are involved, and with any national exchange on which the securities may be traded. If the acquisition will result in the submission of a revised DD Form 441s, and the contractor has received a Schedule 13 D from the investor, a copy of the Schedule 13 D will be forwarded with the DD Form 441s or, if appropriate, with the report (notification letter) required by paragraph 6a(4)(f). A new DD Form 441s shall also be executed by the contractor whenever advised that the form is required for an official purpose. It is the contractor's responsibility to provide complete information to ensure that the degree of FOCI to which the facility may be subjected is fully explained so that the U.S. Government can ascertain that the security of the classified information in the possession of the contractor will not be jeopardized.

22. Personnel Clearances Required in Connection with Facility Clearances. Certain individuals, as described below, must be processed for clearance in connection with FCL's. As a related matter, unless notified by the CSO that such determinations are not required, individuals other than those described below, who exercise control over the management of the facility through stock ownership, proxy voting rights, majority ownership of securities, or by some other method control the management of the facility and affect the appointment and tenure of officers, directors, or principal supervisory management personnel of the facility, shall be processed for a determination of clearance eligibility by the CSO in connection with the FCL.

a. Corporations, Associations, and Nonprofit Organizations. Except as provided for below, the following individuals are required to be cleared in connection with, and at the level of, the FCL.

(1) The chairman of the board and all principal officers, (see paragraph 3bj) must be cleared.

(a) Other officers <sup>1/</sup>, who shall not require access to classified information in the conduct of the organization's business and who do not occupy positions that would enable them to affect adversely the organization's policies or practices in the performance of classified contracts, are not required to be cleared, provided the organization complies with the provisions of paragraph e below. or

(b) Other officers who require access to classified information in the conduct of the organization's business, but at a lower level than that of the FCL, may be cleared with a U.S. Government granted

<sup>1/</sup> All officers, as defined by paragraph 3bj, are considered OODEPs of an organization, but not all OODEPs occupy positions required to be cleared in connection with a FCL.

PCL at the lower level, provided they do not occupy positions that would enable them to adversely affect the organization's policies and practices in the performance of the higher level classified contracts, and the organization complies with the provisions of paragraph e below.

(2) All directors must be cleared, unless one of the following options is elected.

(a) Directors, who shall not require access to classified information in the conduct of the organization's business and who do not occupy positions that would enable them to affect adversely the organization's policies or practices in the performance of classified contracts, are not required to be cleared, provided at least a legal quorum of the board of directors or similar executive body shall be cleared. If the corporation or association conducts meetings with a pro tem chairman or by a rotating chairmanship, all board members who are eligible for or who could sit as board chairman shall be cleared, and, with respect to all uncleared directors, the organization shall comply with the provisions of paragraph e below.

(b) If the board has seen fit to delegate certain of its duties and responsibilities to a legally constituted executive committee, all members of this committee shall be cleared. Other directors are not required to be cleared, provided the committee has full executive authority to exercise management control and supervision for the corporation, including responsibility over all matters involving the security of classified information in the possession of the organization, and provided further, with respect to all uncleared directors, the organization complies with the provisions of paragraph e below. If required, directors who are not members of this executive committee may be cleared, but only at the same level as the FCL and when this is done, paragraph e below would not be applicable. Two copies of the board of director's resolution delegating this authority to the committee shall be furnished to the CSO.

(3) Executive personnel (see paragraph 3aj) must be cleared. The management official in charge at the facility and the FSO shall always be cleared in connection with the FCL.

(4) A current list of all OODEPs shall be maintained by the facility, with a copy furnished to the CSO. The list shall designate by name those individuals granted a LOC, those who are being processed for a PCL, and those who have been excluded from access to classified information pursuant to the provisions of paragraph e below. Such lists shall be signed by an OODEP of the corporation.

b. Sole Proprietorships. The following individuals are required to be cleared in connection with, and at the level of, the FCL.

(1) The owner must be cleared.

(2) All officers, if applicable, must be cleared.

(3) Executive personnel (see paragraph 3aj) must be cleared. The management official in charge at the facility and the FSO shall always be cleared in connection with the FCL.

(4) A current list of all OODEPs shall be maintained by the sole proprietorship and the CSO. The list shall designate by name those individuals granted a LOC, those who are being processed for a PCL, and those who have been excluded from access to classified information pursuant to the provisions of paragraph e below. Such lists shall be signed by an OODEP of the sole proprietorship. \*

c. Partnerships. Except as provided for below, the following individuals are required to be cleared in connection with, and at the level of, the FCL. \*

(1) All general partners must be cleared. \*

(2) All other partners must be cleared. \*

(a) Partners, other than general partners, who do not require access to classified information in the conduct of the organization's business and do not occupy positions that would enable them to affect adversely the organization's policies or practices in the performance of classified contracts, are not required to be cleared, provided the organization by official action of the general partners complies with the provisions of paragraph e below. or \*

(b) Partners, other than general partners, who require access to classified information in the conduct of the organization's business, but at a lower level than that of the FCL, may be cleared with a U.S. Government granted PCL at the lower level, provided they do not occupy positions that would enable them to adversely affect the organizations policies and practices in the performance of higher-level classified contracts, and the partnership, by official action of the general partners, complies with the provisions of paragraph e below. \*

(3) If the partnership has seen fit to delegate certain of its duties and responsibilities to a legally constituted executive committee, all members of this committee shall be cleared in connection with the FCL. General partners who are not members of this executive committee may be cleared, but only at the same level as the FCL. Other non-executive committee member general partners may be excluded, provided the committee has full executive authority to exercise management control and supervision for the partnership, and, with respect to these other partners, the organization complies with the provisions of paragraph e below. Two copies of the partnership's resolution delegating this authority to the committee shall be furnished to the CSO. The resolution shall specify which partners are excluded from access to all classified information, and which partners are excluded from access to higher-level classified information, as appropriate. \*

(4) The management official in charge of the facility and the FSO shall always be cleared in connection with the FCL. \*

(5) A current list of all OODEPs shall be maintained by the partnership, with a copy furnished to the CSO. The list shall designate by name those individuals granted a LOC, those who are being processed for a PCL, and those who have been excluded from access to classified information, \*

pursuant to the provisions of paragraph e below. Such lists shall be signed by a partner or executive personnel of the partnership. \*

d. Colleges and Universities. Except as provided for below, the following individuals are required to be cleared in connection with, and at the level of, the FCL. \*

(1) The chief executive officer must be cleared. \*

(2) Those other officers or officials who are specifically and properly designated by action of the board of regents, board of trustees, board of directors, or similar executive body, in accordance with the institution's requirement, as the managerial group having the authority and responsibility for the negotiation, execution, and administration of UA contracts, shall be cleared. The institution shall furnish the CSO a copy of such designation of authority, from which the particular officers who are to be processed in connection with a FCL can be determined, and thereafter, changes shall be furnished as they occur. If this requirement is not met, all officers shall be processed for PCL's in connection with the FCL. \*

(3) All regents, trustees, or directors must be cleared, unless one of the following options is elected. \*

(a) Regents, trustees, or directors, who shall not require access to classified information in the conduct of the institution's business and who do not occupy positions that would enable them to affect adversely the institution's policies or practices in the performance of classified contracts, are not required to be cleared, provided at least a legal quorum of the board of regents, board of trustees, board of directors, or similar executive body shall be cleared, and, if the college or university conducts meetings with a pro tem chairman or by a rotating chairmanship, all board members who are eligible for, or could sit as, board chairman shall be cleared. With respect to all uncleared regents, trustees, or directors, the institution shall comply with the provisions of paragraph e below. \*

(b) If the board has seen fit to delegate certain of its duties and responsibilities to a legally constituted executive committee, all members of this committee shall be cleared. Other regents, trustees, or directors are not required to be cleared, provided the committee has full executive authority to exercise management control and supervision for the institution, including responsibility over all matters involving the security of classified information in the possession of the institution, and provided further, with respect to all uncleared regents, trustees, or directors, the institution complies with the provisions of paragraph e below. Regents, trustees, or directors, who are not members of this executive committee, may be cleared, but only at the same level as the FCL and when this is done paragraph e below would not be applicable. Two copies of the board of directors' or similar executive body's resolution, delegating this authority to the committee shall be furnished to the CSO. \*

(c) If the board has seen fit to delegate all of its duties and responsibilities pertaining to the protection of classified information

to a managerial group comprised of officers or officials of the college or university, and, if because of this delegation the board will not be in a position to affect adversely the performance of classified contracts, the board may exclude itself from the requirement for its members to be processed for a PCL by complying with the provisions of paragraph e below. Election of this alternative will not preclude a regent, trustee, or director from being processed for a PCL, if such clearance is necessary in connection with the individual's duties other than in the capacity of a regent, trustee, or director. However, in such cases the PCL shall be at the same clearance level as the FCL. Two copies of the resolution by the board of regents, trustees, directors, or similar executive body excluding the board members from access to classified information and delegating such authority to the managerial group shall be furnished to the CSO.

(4) Executive personnel must be cleared. The management official in charge of the facility and the FSO shall always be cleared in connection with the FCL.

(5) A list of OODEPs shall be maintained by the college or university and the CSO. The list shall designate by name those individuals granted LOC's, those who are being processed for PCL's, and those who have been excluded from access to classified information, pursuant to the provisions of paragraph e below. Such lists shall be signed by an OODEP of the college or university. \*

e. Exclusion Procedures. This paragraph applies to those officers, directors, partners, regents, and trustees who, pursuant to the provisions set forth above, can be excluded altogether from the requirement for a PCL, or who can be excluded from higher-level access by virtue of possessing a PCL at a level below that of the FCL. In order to invoke these exclusion procedures, the organization by formal action of the board of directors, all general partners, or similar executive body shall affirm the following, as appropriate. \*

(1) Such officers, directors, partners, regents, or trustees (designated by name) shall not require, shall not have, and can be effectively excluded from access to all classified information in the possession of the organization. They also do not occupy positions that would enable them to adversely affect the organization's policies or practices in the performance of classified contracts or programs for the UA's. This action shall be made a matter of record in the organization's minutes of the board of directors, partnership, board of regents, or trustees, or similar executive body. Two copies of such minutes, dated and identified by the name and address of the facility, shall be furnished to the CSO. \*

(2) Such officers or partners (designated by name) shall not require, shall not have, and can be effectively denied access to higher-level classified information (specify which higher level(s)) and do not occupy positions that would enable them to affect adversely the organization's policies or practices in the performance of higher-level classified contract (specify higher level(s)) or programs for the UA's. This action shall be made a matter of record in the organization's minutes of the board \*

of directors, partnership, board of regents, or trustees, or similar executive body. Two copies of such minutes, dated and identified by the name and address of the facility, shall be furnished to the to the CSO. \*

(3) In the event the organization does not comply with one or both of the above, as applicable, all officers, directors, partners, regents, or trustees shall be processed for a PCL at the level of the FCL. \*

f. Representative of a Foreign Interest. When a RFI (see paragraph 3bw) is required to be cleared in connection with a FCL, and the RFI has not been excluded in accordance with paragraph e above, the following procedures shall apply.

(1) When the statement required by paragraph 20k has been executed, official notice of its execution shall be made a matter of record in the organization's minutes by the board of directors or similar executive body. Two copies of the minutes shall be furnished the CSO.

(2) Failure to obtain a PCL for, or to exclude a RFI, shall make the facility ineligible for clearance and any existing FCL shall be administratively terminated by the CSO. Such action is not appealable.

(3) In those cases where an individual who is cleared in connection with the FCL becomes a RFI, the contractor shall submit the report required by paragraph 6a(4)(d), in addition to the actions prescribed in this paragraph.

23. Security Clearance of Negotiators. Negotiators (see paragraph 3bh) designated by the contractor as being required to participate in the preparation of a bid or quotation may be processed for PCL's concurrent with, but not as a part of, the FCL. A FCL is not dependent on the PCL of negotiators, and changes in negotiators shall not affect the status of a FCL. Subsequent to the issuance of a FCL, negotiators are processed for PCL's in the normal manner prescribed by paragraph 24.

24. Security Clearance of Additional Personnel. Except in the case of personnel who are required to be cleared in connection with a FCL as prescribed by paragraph 22, and negotiators as prescribed in paragraph 23, the contractor shall not initiate PCL action on employees until a FCL has been granted. Contractor employees, other than those cleared in accordance with the provisions of paragraphs 22, 23, 27, 31, or 41e (Category 5 visitors), whose access to classified information is essential in the performance of a classified contract, shall be cleared as specified below.

a. Clearance by the DoD.

(1) DoD shall grant PCL's for U.S. citizen employees of the contractor who:

(a) require access to information classified TOP SECRET 2/ or SECRET, or to any COMSEC information, regardless of classification, SENSITIVE COMPARTMENTED INFORMATION, RESTRICTED DATA, or FORMERLY RESTRICTED DATA;

(Footnote 2/ is on the following page.)

(b) are employed by a college or university;

(c) require access to NATO information classified CONFIDENTIAL or higher as described in section XI;

(d) require access to ACDA classified information;

(e) make determinations to grant access authorizations, in accordance with paragraph b below;

(f) are RFI's; or

(g) require security clearance as a condition of the Nuclear Weapon PRP for duties in Critical and Controlled positions under the Nuclear Weapon Security Program (see paragraph 3bi).

(2) DoD shall grant PCL's for immigrant alien employees of the contractor, when approval has been obtained from the contracting officer, as provided for in paragraph 20.1. The request for clearance submitted to DISCO (or to the CSO in the case of OODEPs) must include the PCO's authorization for clearance and a statement from the alien of his or her intention to become a U.S. citizen as soon as becoming eligible to do so. Immigrant aliens may be cleared for access to SECRET or CONFIDENTIAL. Clearances granted to immigrant aliens are not transferrable, except in the case of a MFO. They are not eligible for access to SENSITIVE COMPARTMENTED INFORMATION, COMSEC, NATO information (see paragraphs 20c, 75, 76, and 86), or for performance of duties in Critical or Controlled positions under the Nuclear Weapons Security Program (see paragraph 3bi). Moreover, immigrant aliens are not eligible to be processed for DoD clearances at the TOP SECRET level.

(3) DoD shall grant PCL's for employees of contractors whose applications for clearances are referred to DISCO, according to paragraph b(4) below.

b. Clearance by the Contractor. Employees of the contractor not covered by paragraph a above, who are U.S. citizens and who require access to information classified no higher than CONFIDENTIAL, shall be cleared by the contractor, as prescribed below. Such clearances shall remain valid, unless otherwise revoked, within any facility of the same organization, so long as the individual continues in the contractor's employment. However, if the employee no longer has or requires access to classified information and no future requirement for such access is anticipated in the foreseeable future, clearance can be administratively terminated by complying with paragraph 29. The contractor is not authorized to grant an interim CONFIDENTIAL clearance. Contractor-granted CONFIDENTIAL clearances are not valid for access to

2/ When a TOP SECRET clearance is requested, DISCO will automatically issue a LOC for SECRET when the investigation necessary for PCL at the SECRET level has been completed with satisfactory results. That LOC will subsequently be superseded by a LOC for TOP SECRET when the required additional investigation is completed.

RESTRICTED DATA, FORMERLY RESTRICTED DATA, COMSEC information, SENSITIVE COMPARTMENTED INFORMATION, ACDA classified information, or NATO information, except for NATO RESTRICTED information.

(1) The clearance shall be based on the contractor's determination of the following.

(a) The employment records of the employee are in order.

(b) The "Application and Authorization for Access to Confidential Information (Industrial)," DD Form 48-2, executed by the employee indicates that: (i) the employee is a U.S. citizen and not a RFI; (ii) the information furnished in item 8, if any, does not reflect that a PCL has been suspended, denied, or revoked in his or her case.

(c) The individual is a U.S. citizen. Verification of U.S. citizenship shall be accomplished by the contractor by sighting documents described in appendix XII. If the required documentary evidence is not immediately obtainable, the contractor may grant the CONFIDENTIAL clearance after having explained to the employee that the clearance is conditional, based on submission of the necessary documentary evidence as soon as possible, but, in any event, no later than 90 days. If the employee does not produce the necessary proof of U.S. citizenship within 90 days, the contractor shall withdraw access pending the presentation of proof of citizenship.

(d) There is no information known to the contractor which would indicate that the employee's access to classified information is not clearly consistent with the national interest.

(2) When the response to item 7 indicates that the applicant has applied for or received a previous PCL, and there is no indication in the applicant's response to item 8 that a prior PCL has ever been suspended, denied, or revoked, the contractor may grant the CONFIDENTIAL clearance, if otherwise appropriate. However, a copy of the DD Form 48-2 shall be sent to DISCO for a check of the PSCF.

(3) Before individuals sign the DD Form 48-2 they should read the certification statement. After they sign it in the presence of a witness, the witness shall affix his or her signature and address.

(4) When the determination required in paragraph (1) above cannot be made, or if the employee will not sign the DD Form 48-2, the contractor shall forward the application for CONFIDENTIAL clearance, together with the forms prescribed in paragraph 26c, to DISCO for appropriate action.

(5) An affirmative answer to item 11 or an answer to item 12 indicating that the applicant has relatives living in a Communist country will not, in itself, preclude a determination by the contractor that an employee is eligible for a CONFIDENTIAL clearance, when all other available information indicates that access is clearly consistent with the national interest. In such cases, when the contractor grants a CONFIDENTIAL clearance, he or she shall forward promptly to DISCO one copy of DD Form 48-2 together with the forms prescribed in paragraph 26c, for further evaluation and determination of continued eligibility for access to CONFIDENTIAL information.



c. The contractor is not authorized to revoke a clearance that he or she has granted.

25. Preemployment Clearance Application -- Prohibited. The contractor shall not initiate any preemployment clearance action. An applicant for employment in a position which requires access to classified information may be informed that a PCL will be required and that a PCL can only be granted to: (i) U.S. citizens, or (ii) citizens of countries with whom the DoD has entered into reciprocal industrial security agreements (see paragraph 31). A DD Form 48, "DoD Personnel Security Questionnaire (Industrial-NAC);" DD Form 48-2, "Application and Authorization for Access to Confidential Information;" DD Form 48-3, "DoD Personnel Security Questionnaire (Updating);" or DD Form 49, "DoD Personnel Security Questionnaire (Industrial)" shall not be offered to, or be required to be completed by, an individual until he or she is employed by the contractor in a position requiring access to classified information and placed on the payroll. However, in exceptional cases when a written contract for future employment in a position that requires access to classified information has been executed by both parties, with a fixed date for entry on the payroll, the PCL application forms may be furnished to and executed by the employee prior to the date of entry on duty, provided the actual date of entry on duty under such written contract is not contingent on issuance of a PCL.

26. Application for Personnel Security Clearance.

a. General.

(1) Contractors shall make application for DoD PCL's in accordance with the provisions of this section. For PCL's required in connection with a FCL under paragraph 22, applications shall be submitted to the CSO. Applications for all other PCL's shall be submitted to DISCO, P.O. Box 2499, Columbus, Ohio 43216. In addition to the forms required in connection with the application for a PCL, the forms required by paragraph c below shall be accomplished and submitted, when requested to satisfy an official requirement by DISCO or the CSO. Failure by any employee to furnish PCL application forms, when requested or when required by this manual, shall preclude the granting of any new PCL to the applicant, and shall constitute sufficient basis to revoke any outstanding PCL of the employee concerned. Whenever a contractor employee has submitted forms prescribed by this paragraph to DISCO but subsequently objects, for any reason, to being processed for a PCL or to have an existing PCL continued, the contractor shall submit a report to DISCO, in accordance with paragraph 6b(10). Verification of such objections shall be made by the U.S. Government. On verification, any pending PCL shall be terminated, and any PCL then held by the employee shall be administratively terminated by the U.S. Government without prejudice to the employee.

(2) The contractor shall establish adequate procedures to ensure that items 2 through 13F of DD Form 48, section I of DD Form 49, or parts I and II of DD Form 48-3, as appropriate, are completed prior to execution of any other part of the respective form by the employee. Additionally, the contractor will ensure that items 14 through 18, plus the certification, of DD Form 48, section II of DD Form 49, and part III of DD Form 48-3, as applicable, are completed by the employee in private. Moreover, the instructions

relating to these privacy sections and the provision for adding additional information, which may have a bearing on the applicant's PCL, shall be brought to his or her attention.

(3) Moreover, the employee shall be advised that, prior to affixing his or her signature to the respective privacy section, the form shall be folded or covered, so that the witness to his or her signature will not see any portion thereof.

(4) The employee shall be further advised that, on completion of the above, the PSQ shall be inserted by him or her into the preaddressed envelope (DISCO Form 703) provided, together with the previously completed "Applicant Fingerprint Card" (FD Form 258). For PCL's required in connection with a FCL, the application shall be submitted to the CSO in the envelope (DISCO Form 704) provided, which requires affixing the address of the appropriate CSO together with the previously completed FD Form 258. (The FD Form 258 is not required when a DD Form 48-2 or DD Form 48-3 is submitted. It is required in connection with all other submissions.) The employee shall be advised that: (i) the envelope shall be sealed by him or her, (ii) the employee's signature shall be affixed across the envelope flap on the line provided, (iii) the date of the signature will be inserted on the line provided, and (iv) the envelope shall be immediately returned to the employer for mailing.

(5) The employer shall ensure that the "Applicant Fingerprint Card", if required, is completed prior to completion of the DD Form 48 or DD Form 49, so that it will be available for the employee to insert in the preaddressed envelope on completion of the DD Form 48 or DD Form 49. In addition, the contractor shall establish procedures to ensure that an employee of the contractor will witness the taking of the employee's fingerprints on the card to ensure that the person fingerprinted is, in fact, the same as the employee being processed for the clearance. The employee shall witness the placing of the FD Form 258 in the envelope and the sealing of the envelope, to ensure that substitutions do not occur.

(6) When the sealed envelope containing the completed personnel security forms is received from the employee by the contractor, it shall be forwarded unopened to DISCO, or to the CSO, as specified in paragraph (1).

(7) All forms required by this section in connection with PCL's shall be obtained from DISCO. Instructions for completion of such forms are contained in pamphlets, which are also obtained from DISCO. These pamphlets are entitled: (i) "Detailed Instructions for Completion of DD Form 48, Personnel Security Questionnaire (Industrial - NAC)," (ii) "Detailed Instructions for Completion of DD Form 49, Personnel Security Questionnaire Industrial (BI/SBI)," and (iii) "Instructions for Completion of DD Form 48-3."

b. Immigrant Aliens. As a general rule, clearances are not issued to immigrant aliens. In rare and unusual cases when an immigrant alien possesses special expertise, as determined by the U.S. Government, resides permanently in the U.S., and intends to become a U.S. citizen as soon as becoming eligible to do so, the immigrant may be processed for a PCL. Prior to requesting contracting officer authorization as required by paragraph 20.1 and submitting the application for a PCL for an immigrant alien, the contractor shall require

the alien to produce for the contractor's review, his or her "Alien Registration Receipt Card" (Form No. I-151 or I-551). This card is issued only to aliens who have been lawfully admitted to the U.S. under an immigration visa for permanent residence. Pending issuance of the new Form I-551, the Immigration and Naturalization Service has authorized the following notation to be stamped on officially issued documentation as evidence of immigrant alien registration:

PROCESSED FOR I-551. TEMPORARY EVIDENCE OF LAWFUL  
ADMISSION FOR PERMANENT RESIDENCE VALID UNTIL  
EMPLOYMENT AUTHORIZED.

c. New clearances. Application for an initial PCL, for upgrading an existing PCL, or for requesting a PCL in situations where other provisions of this manual are not applicable, shall be made by the contractor by submission of the following forms:

(1) DD Form 48 3/, completed and executed by U.S. citizens who are to be processed for a DoD issued CONFIDENTIAL or SECRET clearance, unless paragraph (2) below applies;

(2) DD Form 49 4/, completed and executed in the following cases:

(a) immigrant aliens who are to be processed for SECRET or CONFIDENTIAL clearance,

(b) U.S. citizens who are to be processed for TOP SECRET clearance,

(c) U.S. citizens who are to be processed for any level of PCL when the applicant lists relatives, or relatives of his or her spouse who are residing in Communist countries (Communist countries are listed in footnote 10/ to paragraph 5u), and

(d) U.S. citizens who are to be processed for any level of clearance when the applicant advises he or she is a RFI; and

(3) a properly completed and executed FD Form 258 with each request submitted pursuant to paragraphs (1) or (2) above. Care shall be exercised to ensure that fingerprints are authentic, legible, and complete. Those which do not meet prescribed standards shall be returned for reexecution, which will result in clearance delays. The employee being processed for access shall insert and seal all the forms in the preaddressed envelope (DISCO Form 703) provided. The employee shall then place his or her signature and the date

3/ The DD Form 48 packet consists of an original and 1 copy of the PSQ and the privacy section.

4/ The DD Form 49 packet consists of two sections: section I -- a DD Form 49 worksheet printed on the reverse of the instructions, and the DD Form 49 packaged as a 5-copy carbon set; and section II -- a DD Form 2221, and an original and one copy of the privacy section.

across the envelope flap on the line provided. The employee shall deliver the sealed, signed, and dated envelope immediately to the designated company representative, who will ensure mailing.

d. Interim Clearance. Except as authorized below, requests for interim PCL's must be approved by the contracting officer. Contracting officer approval will be given only in an emergency situation in order to avoid crucial delays in precontract negotiation, or in the award or performance on a contract. The contractor shall: (i) obtain such approval and submit it with application for interim PCL, or (ii) forward the application for interim PCL through the contracting officer. An application for an interim SECRET or CONFIDENTIAL PCL shall not be made when a request for a SECRET or CONFIDENTIAL PCL is already in process based on a previously submitted PCL application. The application for interim PCL shall consist of the forms prescribed by paragraph c above. The words "Interim TOP SECRET," "Interim SECRET," or "Interim CONFIDENTIAL," as appropriate, shall be placed in bold letters in the lower right-hand corner of the "Job Title" block of the DD Form 48 or 49. The approval letter from the contracting officer shall be attached behind the FD Form 258. As an exception to the foregoing procedures, and paragraph i below, when an emergency situation exists which would render the facility incapable of adequately safeguarding classified material in its possession and no contracting officer is available to approve the interim PCL request within the time required to negate the threat, the CSO is authorized to approve interim PCL requests being forwarded to DISCO. Interim SECRET and CONFIDENTIAL PCL's for immigrant aliens are not authorized. Access limitations for interim PCL's are set forth in paragraph 20c.

e. Clearance Transfers. Application for a PCL may be made by the contractor for an employee for whom a LOC was previously issued while the individual was employed by another contractor, provided there has not been a lapse of more than 12 months since termination of the employment for which the LOC was issued. Application is made by submitting one copy of an executed DD Form 48-3. As an exception, when transfers are between collocated cleared facilities (paragraph 72c, ISM), which have a common security services agreement, the FSO need only forward the DISCO Form 562, in accordance with appendix I, paragraph Pb(8). If there is a break in employment of more than 3 working days during the transfer process, then this exception will not apply.

f. Clearance Transfers -- MFO's. When an employee for whom a LOC has been issued is transferred from one facility to another in a MFO with the same or higher level of FCL, the contractor shall:

(1) forward to the gaining facility either a copy of the LOC for the employee being transferred, which shall be certified by the contractor, or his or her authorized representative, as a true copy or the original LOC, if it lists only the employee being transferred, and

(2) promptly submit a DISCO Form 562 to DISCO as notification of the transfer.

However, when an employee is transferred to an uncleared facility or a facility with a lower level FCL than the employee's clearance, and if the employee will continue to require access at the level of his or her clearance

at another cleared facility or a U.S. Government installation, or if the contractor desires to retain the LOC at the higher level, so it will be available in the event the individual is transferred back to the facility at which the clearance will be needed, the LOC shall be forwarded to the HOF or the appropriate PMF of the MFO rather than to the gaining facility. If an employee is transferred to a facility with a lower level FCL than his or her PCL and the contractor desires to retain the LOC only at the lower level, the contractor shall amend the LOC to reflect the lower level of the access authorization and include a statement to this effect in the "Remarks" block of the DISCO Form 562 that is submitted to DISCO. Clearance transfer action under this paragraph may be initiated after determination to reassign has been made, prior to the actual transfer.

g. Concurrent Clearances.

(1) When a contractor hires an individual or engages a consultant on a temporary or part-time basis, who is also employed by or acting as a consultant to another contractor, and who has a current LOC, an additional LOC shall be requested, if the individual requires access to classified information. Application for this LOC will be made by the submission of one copy of an executed DD Form 48-3, with the "Concurrent" clearance block marked on part I.

(2) An exception to the requirement for submission of a DD Form 48-3 to obtain a concurrent clearance can be made when an OODEP of a parent company becomes concurrently an OODEP of a subsidiary, or when an OODEP of a subsidiary becomes concurrently an OODEP of the parent company, provided the new clearance being requested is not at a higher level than the existing clearance. In these cases the contractor (parent or subsidiary) to whom the existing clearance has been issued, will submit a letter to the CSO of the facility (parent or subsidiary) to which the new clearance is to be issued setting forth full name, date and place of birth, social security number, date and level of clearance of the OODEP, and request a concurrent clearance at the parent or subsidiary, as the case may be. After issuance of the concurrent clearance, the facility (parent or subsidiary) to which the new clearance has been issued will furnish a copy to the facility to which the initial PCL was issued. That facility, in turn, will furnish to the other facility a reproduction of part I of the DISCO Form 482. If the OODEP employment is terminated at either facility, the CSO of that facility will be advised in accordance with established procedures. In addition, part II of the DISCO Form 482 will be completed and maintained in the records of that facility. If employment with the parent and subsidiary is terminated, their respective CSO's will be notified, in accordance with established procedures. Only one debriefing statement (part II of DISCO Form 482) need be completed, but a reproduction will be furnished the other facility.

(3) Any action by the U.S. Government to suspend or revoke a clearance will be equally applicable to all concurrent clearances issued for the consultant or OODEP. Concurrent notices of such action will be provided each employer by the U.S. Government.

h. Reemployment of Cleared Personnel. When, within a period of 12 months, a contractor reemploys an individual for whom he or she had previously been issued a LOC, the contractor may reactivate the LOC by submitting a

notice of reemployment on a DISCO Form 562 to DISCO. Contractor-granted CONFIDENTIAL clearances of individuals who are reemployed within a period of 12 months may be reinstated by the contractor without notification to DISCO. When the previously issued LOC was at the TOP SECRET level, and there is no valid requirement to reinstate the clearance at that level, the contractor may request a LOC at the SECRET level for the individual within a 12-month period by submitting a DISCO Form 562 to DISCO, annotated in the "Remarks" section to indicate the lower level of clearance to be reinstated.

i. Formerly Cleared Personnel. In cases involving U.S. citizens where a final SECRET or final TOP SECRET clearance cannot be transferred or cannot be reactivated because there has been a lapse of more than 12 months since termination of the employment for which the LOC has been issued, the contractor may request an interim SECRET clearance without obtaining approval from the contracting officer, provided application is made within 25 months from the date of termination of employment for which the original LOC was issued. The application will be made by submitting the forms specified in paragraph c above to DISCO. Applications submitted pursuant to this paragraph shall be annotated in the "Job Title" block of the DD Form 48 or DD Form 49, if applicable, to indicate that interim clearance pursuant to paragraph 26i is requested. Where the previous clearance was issued at the CONFIDENTIAL level by the DoD, the contractor may request an interim CONFIDENTIAL clearance under the provisions of this paragraph.

j. Change of Name. The contractor shall submit one copy of DISCO Form 562 to DISCO, whenever a change occurs in the legal name of an employee for whom the DoD has issued a LOC. On receipt of this report, a new LOC will be issued.

k. Issuance of Letter of Consent.

(1) Except as authorized below, LOC's are issued to the facility at which the individual is principally employed and the name and address of this facility shall be entered in the "Name and Address of Employer" block of DD Form 48 or 49. The following are exceptions applicable only in the case of MFO's.

(a) The employee: (i) in connection with the performance of his or her duties at another cleared facility or U.S. Government installation, requires access to a higher category of classified information than the FCL of the facility at which he or she is employed or physically located, or (ii) is employed or physically located at an uncleared facility. In such cases the LOC is issued to the HOF or the appropriate PMF of the MFO, but it may not be for a higher category of access than the FCL of the HOF or the PMF.

(b) The contractor elects to have the LOC's issued to the HOF or a PMF rather than to the facility at which the individual is employed or physically located. Prior to requesting DISCO to send LOC's to a HOF or PMF, the contractor shall develop an amended SPP or a proposed procedure for inclusion in the existing SPP and submit it to the CSO of the HOF or the PMF for review. The SPP shall identify: (i) each facility of the MFO, or (ii) each facility of the MFO which is located within the geographical or functional area for which the PMF is administratively responsible. On receipt

of notice from the CSO that the SPP is adequate, the contractor may request DISCO to issue LOC's to the HOF or PMF.

(c) The individual is required to be cleared in connection with the HOF clearance, and his or her principal place of work is at another facility of the MFO. In this case, LOC's are issued to both the HOF and the facility where the individual is principally employed or physically located, or to the appropriate PMF. An additional LOC may be issued on submission of a DISCO Form 562 which shall indicate in the "Remarks" section the reasons for it.

(2) If the LOC is issued to the HOF or PMF rather than to the facility at which the individual is principally employed or physically located, the contractor is required to do the following.

(a) Maintain a clearance record at the facility where the individual is employed or physically located. In addition, the HOF or PMF shall maintain records, which reflect:

1 the facility at which the individual is employed or physically located;

2 the date(s) of initial and recurring security briefings, and the name(s) of the briefer(s); and

3 the date(s) and name(s) of the officials conducting visits to the uncleared facilities pursuant to paragraph 73.

(b) Report transfers within the MFO, in accordance with paragraph f above.

(c) Process visits to other facilities of the MFO, in accordance with paragraph 41a and 73.

(3) On the application for clearance submitted pursuant to paragraphs k(1) (a) and (b) above, the DD Forms 48, 49, or 48-3, or DISCO Form 562 shall clearly indicate the name and address of the facility at which the individual is employed or physically located in the "Name and Address of Employer" block of the form. In addition, the name and address of the facility to which the LOC is to be mailed shall be placed in the "Job Title" block of the DD Form 48, 49, or 48-3, or the DISCO Form 562. The facility's name and address shall be preceded by the words "MAIL TO" in bold letters.

1. DOE (previously ERDA) and NRC Clearances. The "Q" and "L" clearance granted by DOE and NRC are considered acceptable for conversion to a DoD industrial PCL. The "Q" clearance is considered an authoritative basis for a DoD clearance at the TOP SECRET level, and the "L" clearance is considered an authoritative basis for a DoD clearance at the SECRET level. A contractor may request a DoD industrial PCL for an employee who currently has a "Q" or "L" clearance or previously held such a PCL when there has not been a lapse of more than 12 months since termination of the PCL. Application for conversion of the "Q" or "L" clearance to a DoD industrial PCL may be made by submitting one copy of the DD Form 48-3 to DISCO. The "Job Title" block in part I of the

DD Form 48-3 will be annotated: "DOE (or NRC) 'Q' (or 'L') Conversion Requested." The "Q" or "L" number if known will be indicated. Following verification of the clearance information with DOE or NRC, DISCO will issue a LOC to the contractor.

27. Clearance of Present and Former Civilian and Military Personnel of the DoD and Certain Other Government Agencies.

a. PCL's issued by a UA to civilian or military personnel who are U.S. citizens may be converted to industrial PCL's as follows:

(1) top-level civilian or military personnel -- 18 months from the time of separation from active federal service;

(2) retired civilian and military personnel of any grade with 19 years or more of federal service -- 18 months from the date of retirement from active federal service;

(3) for other civilian or military personnel separated or retired from active federal service -- 12 months from the time of separation or retirement from active federal service; and

(4) Reserve military personnel who are not on extended active duty but who actively participate in a Reserve program requiring that they hold a valid PCL, may have such clearances converted to an industrial PCL. Clearances granted to such personnel who have transferred to the standby or retired Reserve also may be converted to industrial PCL within 12 months of a person's being placed in the standby or retired Reserve. Clearances granted to members of the National Guard are not convertible to industrial PCL's.

b. PCL's issued by other departments or agencies of the executive branch of government to personnel who are U.S. citizens may be converted to industrial PCL's, when:

(1) a determination can be made, based on a review of the prior investigation, that the investigation meets standards prescribed by the DoD for such clearances;

(2) the service of the employee, in a cleared status, has been continuous since the investigation with no break in service longer than 12 months; and

(3) an inquiry to the employee's previous employer or employers discloses no reason for expanding or updating the investigation.

c. Top-level civilian personnel are defined as presidential appointees, civil service appointees of the supergrades (GS-16 and above), and members of industry advisory committees who have been duly appointed by secretariat levels of the UA. Top-level military personnel are those of the general and flag officer grades.

d. Contractors employing personnel eligible for conversion of clearance, under the provisions of this paragraph, may request clearance to the level of access required by submitting the following information:

(1) one signed copy of DD Form 48-3;

(2) for former civilian personnel -- a copy of the "Notification of Personnel Action" (Standard Form 50), which terminated his or her employment with the U.S. Government;

(3) for former military personnel -- a copy of the DD Form 214, "Certificate of Release or Discharge From Active Duty;" and

(4) for civilian or military personnel presently employed by or on active duty with a UA, the forms prescribed by paragraphs (2) or (3) above are not required. However, in the case of military personnel the individual's service number shall be placed in item 18 of the DD Form 48-3.

(5) For Reservists participating in a Reserve Program and for those who have transferred to the standby or retired Reserve within the past 12 months, the forms prescribed by paragraphs (2) or (3) above are not required. However, the individual's service number, the identity and exact address of the unit to which assigned, and the date such participation commenced shall be placed in item 18 of the DD Form 48-3. In addition, for those individuals who have transferred to the standby or retired Reserve, a copy of the order effecting such a transfer shall be attached to the DD Form 48-3.

e. The complete set of forms required by paragraph 26c shall be accomplished when:

(1) the clearance requirement is for a higher level than is reflected in the clearance records;

(2) there has been greater lapse of time than that set forth in paragraph a above; or

(3) requested by DISCO. (The request will state that the forms are needed to satisfy an official requirement.)

28. Contractor's Clearance Record. The contractor shall maintain a current record at each facility of all employees and consultants located at the facility who have been cleared for access to classified information. The record will indicate the level and date of clearance and whether cleared by a specific military department, DISCO, or the contractor.

29. Administrative Termination of Personnel Security Clearances.

a. The contractor, under the conditions stated below, may request the administrative termination of SECRET and other U.S. Government granted PCL's, which are no longer required. If a cleared employee no longer has or requires access to classified information, and no requirement for such access is anticipated in the foreseeable future, administrative termination of a U.S. Government issued clearance is accomplished by submission of a properly completed DISCO Form 562 to DISCO. Contractor-granted CONFIDENTIAL clearances may be administratively terminated by the contractor in accordance with the

procedures and criteria of this paragraph. The contractor shall process for administrative termination, or downgrading to a lower level (see paragraph 30), all TOP SECRET clearances which are no longer required. When an individual with a TOP SECRET clearance has not had access to TOP SECRET information in the previous 18 months, but the contractor anticipates a requirement for access to TOP SECRET information in the foreseeable future, justification for retention of a TOP SECRET PCL shall be provided to the CSO. If a contractor fails to take action to terminate a TOP SECRET PCL under the conditions described above, and fails to submit justification for retention of the clearance, the CSO shall submit a recommendation to the Deputy Director (Industrial Security), HQ DIS for processing pursuant to the provisions of paragraph f below.

b. If the contractor determines that an individual previously cleared in connection with the PCL no longer requires clearance and can be excluded from access, in accordance with the procedures set forth in paragraph 22e, a recommendation for administrative termination of the clearance may be submitted to the CSO by submission of a properly completed DISCO Form 562 and two copies of the organization's minutes attesting that the exclusion action required by paragraph 22e(1) has been completed.

c. In connection with the preparation of the DISCO Form 562 the contractor shall advise the employee as follows:

(1) the PCL shall be administratively terminated, since there is no current or foreseeable future requirement for access to classified information;

(2) the proposed action in no way reflects adversely on the employee's PCL eligibility;

(3) the employee may be processed for a new PCL with a minimum of delay, when the occasion and need arises for the employee to require access to classified information; and

(4) the employee's signature on the DISCO Form 562 will certify that he or she understands and acknowledges this action.

d. At the time the employee signs DISCO Form 562 he or she will also be debriefed, in accordance with paragraph 5g, and requested to sign part II of DISCO Form 482. On completion of DISCO Form 562 by the employee the contractor will forward the form to DISCO. (In the case of an OODEP, the DISCO Form 562 shall be forwarded to the CSO.) The completed DISCO Form 482 will be retained by the contractor, in accordance with paragraph 5g. In the case of the administrative termination of a contractor-granted CONFIDENTIAL clearance, DISCO Form 562 will be retained by the contractor for 2 years along with DISCO Form 482. The administrative termination of a contractor-granted CONFIDENTIAL clearance is completed at the time the employee signs DISCO Form 562. As provided for in paragraphs 29 and 30, if subsequent to such termination it becomes necessary to revalidate the clearance, part I of a new DISCO Form 482 will be executed prior to the person having access to classified information.

e. If the employee will not sign the DISCO Form 562, the contractor shall refer the matter to the CSO for determination. Included with the letter of referral shall be the partially completed DISCO Form 562. The contractor shall also furnish the home address of the employee. The CSO will contact the employee and request him or her to show cause as to why the recommended action should not be completed. If the individual fails to respond within 30 days from receipt of such request to show cause, the government will consider such failure as notice to the government that the individual no longer objects to the administrative termination of the clearance.

f. In those rare and exceptional cases where DUSD(P), or higher authority, determines that PCL's were granted in error or are not required, he or she may opt to administratively terminate the PCL or clearance action in process, without prejudice to the individuals concerned or jeopardy to their employer's operations.

g. In the event a need arises for employees to have access to classified information subsequent to the administrative terminations of their clearances, and such need occurs within 24 months from date of the notices from the U.S. Government that the previous clearances were administratively terminated, the previous clearances may be revalidated immediately, provided: (i) the individuals have been continuously employed by the same contractor, and (ii) the contractor knows of no adverse information concerning the employees. Revalidation will be effected by submission of DISCO Forms 562 to DISCO or the CSO, as appropriate. The DISCO will revalidate the clearance. The statement, "This is a request for revalidation of a clearance administratively terminated on (date)," shall be included in item 14, "Remarks."

h. In the event an employee for whom a LOC was administratively terminated is transferred from one facility to another in a MFO with the same or higher level of FCL, and the gaining facility has a need for the employee to have access to classified information, and such need occurs within 24 months from date of notice from the U.S. Government that the previous clearance was terminated, the previous clearance may be revalidated, provided: (i) the individual has been continuously employed by the same contractor, and (ii) the contractor knows of no adverse information concerning the employee. Revalidation will be effected by submission of a DISCO Form 562 to DISCO or the CSO, as appropriate. The DISCO will revalidate the clearance. The block "Multiple Facility Transfer" will be checked in item 1, and the statement, "This is a request for revalidation of a clearance administratively terminated on (date)," shall be included in item 14, "Remarks."

i. In the event an employee for whom a LOC was administratively terminated is employed by another contractor in a position requiring access to classified information, and such employment occurs within 12 months from date of notice from the U.S. Government that the previous clearance has been terminated, the previous clearance may be revalidated by submission of one copy of DD Form 48-3. DISCO will issue a new LOC to the contractor.

j. If the administratively terminated clearance had been a contractor-granted CONFIDENTIAL clearance, and the need arises again for the individual to have access to CONFIDENTIAL information, the actions required by paragraph 24b, shall be accomplished as a new clearance action.

### 30. Administrative Downgrading of TOP SECRET Personnel Security Clearances.

a. When an employee cleared at the TOP SECRET level, other than an OODEP, has not had access to TOP SECRET information during the preceding 18 months, and a requirement for such access is not anticipated, but access to a lower level of classified information is required, the PCL shall be downgraded without prejudice to the lower level by submission of a DISCO Form 562 to DISCO. The properly completed form shall set forth in the "Remarks" block of the form a request to downgrade the TOP SECRET clearance without prejudice to the appropriate level. On notification of completed action by DISCO, the contractor shall annotate the previously issued LOC to reflect the new level of access and the date such action was taken by DISCO. The LOC retains the original date of issuance.

b. TOP SECRET PCL's downgraded, in accordance with this paragraph, can be reinstated summarily on request of the contractor, when a requirement for such access exists, provided that: (i) there has not been a lapse of more than 24 months from the date of the downgrading or termination action, (ii) the individual has been continuously employed by the same contractor/MFO, (iii) the contractor knows of no adverse information concerning the employee, and (iv) a justified need exists for the revalidation of the TOP SECRET clearance. Application is made by submission of a DISCO Form 562 to DISCO requesting in the "Remarks" section reinstatement of the TOP SECRET clearance. On receipt of the LOC, from DISCO reflecting the upgrading action, the previously issued LOC will be destroyed by the contractor. The LOC will bear a new date of clearance because of the upgrading action.

c. When there has been a lapse of more than 24 months from the date the TOP SECRET clearance was downgraded to a lower level clearance, DISCO will issue a new LOC, provided that: (i) the individual has been continuously employed by the same contractor/MFO since the date of the downgrading action, (ii) the contractor knows of no adverse information, and (iii) a valid need exists for the TOP SECRET clearance. Application for the new LOC shall be made by submitting one copy of DD Form 48-3 to DISCO.

### 31. Reciprocal Industrial Security Agreements.

a. Pursuant to the provisions of the reciprocal industrial security agreements entered into by the DoD with certain foreign governments, employees of the contractor who are citizens of these countries, except those individuals who have status as aliens admitted to the U.S. under an immigrant visa for permanent residence, may be processed for a reciprocal clearance authorizing access to classified information in connection with the performance of classified work at a facility located in the U.S. Individuals with reciprocal clearances are authorized for access to classified information only when geographically located within the U.S. or, as appropriate, in the signatory foreign country involved.

b. Application for reciprocal clearances for employees described above shall be made by the contractor by submission of the DD Form 49 and three copies of executed FD Form 258. The words "RECIPROCAL CLEARANCE" shall be placed in bold, block letters in the "Job Title" block of the DD

Form 49. For Canadian citizens born outside of Canada, copies of their Canadian citizenship certificates, or registrations of births abroad, should accompany their applications. \*

c. Limitations on Access Under Reciprocal Clearances (Both FCL and PCL). Reciprocal clearances granted under the provisions of this paragraph are not valid for access to:

- (1) RESTRICTED DATA, as defined in the U.S. Atomic Energy Act of 1954, as amended;
- (2) FORMERLY RESTRICTED DATA removed from the RESTRICTED DATA category pursuant to Section 142(d), as amended;
- (3) "Classified Atomic Energy Data" as defined in the Atomic Energy Control Act (Revised Statutes of Canada 1952) and the Atomic Energy Control Regulation, Order-in-Council PC, 1959-1643, when Canadian reciprocal clearances are involved; \*
- (4) COMSEC information;
- (5) any ACDA classified information;
- (6) information for which foreign dissemination has been prohibited in whole or in part;
- (7) information for which a special access authorization is required; and
- (8) any information which has not been specifically authorized for release to the government of the signatory country involved. \*

d. Individuals who have been granted reciprocal clearances, and who subsequently become immigrant aliens or U.S. citizens, need not be processed for a regular clearance, pursuant to paragraph 26, unless a requirement arises for access to information set forth in paragraph c above or for information of a higher classification category than covered by the reciprocal clearance.

#### Section IV. CONTROL OF AREAS

32. Purpose. Normally, the contractor shall protect classified material in the manner prescribed in paragraphs 14, 15, and 16. If, however, because of the nature, size, or unique characteristics of the classified materials, unauthorized personnel cannot be effectively denied access to such material by the safeguards set forth in the above paragraphs, the material shall be safeguarded by controlling the area in which it is located <sup>1/</sup>. Controlled areas shall consist of closed and restricted areas as defined in paragraphs 3m and 3bx, respectively.

33. General.

a. A controlled area shall not be established for the sole purpose of storing classified documents (see paragraph 14a(3)(f) for guidance on use of "other vaults and strongrooms" for the storage of classified documents).

b. Area Approval. The CSO and the contractor shall agree on the need to establish, and the extent of, the controlled area prior to the award of the contract, when possible, or at such subsequent times as the need for such areas becomes apparent during the performance on the contract.

c. Reports. The CSO shall be advised, in accordance with paragraph 6a(5), of the establishment of any new controlled areas or of any change in the location or extent of any existing controlled areas. Controlled areas which have been temporarily deactivated, in accordance with e below, and subsequently reactivated within 180 days need not be reported.

d. A controlled area shall be considered disestablished when the original or existing need for the creation of the area no longer exists (for example, all classified material is removed from the area for delivery to the customer), and there is no anticipated need to reactivate the area within the following 180-day period. Area designations shall be promptly removed when controlled areas have been disestablished. If a disestablished controlled area is subsequently reestablished, it must be approved as a new area in accordance with b and c above.

e. Controlled areas shall be considered temporarily deactivated when a controlled area environment is no longer required (see paragraph 32), and there exists a known or anticipated need to reactivate such areas within the following 180-day period. The area controls specified in paragraphs 34a and b are optional, except that posted area designations shall be promptly removed or covered. Temporarily deactivated controlled areas shall be considered dis-

<sup>1/</sup> The entry into a controlled area, per se, will not constitute access to classified information if the security measures that are in force prevent the gaining of knowledge of the classified information. Therefore, the entry into a controlled area under conditions that prevent the gaining of knowledge of classified information will not necessitate a PCL.

established if the need to reactivate fails to materialize within the above 180-day time frame.

34. Area Controls.

a. Closed Areas.

(1) General. Closed areas shall be separated from adjacent areas by a physical barrier capable of preventing unauthorized entry and, when visual access to classified materials is a factor, observation by unauthorized persons. The physical barrier shall be substantially constructed of materials that provide protection against surreptitious entry or removal of classified material, and offer visual evidence of attempted surreptitious or forced entry (see appendix V for construction requirements).

(2) During Working Hours.

(a) Open or unlocked entrance -- if the material within the area is classified no higher than CONFIDENTIAL, admittance shall be controlled by a properly cleared contractor-authorized employee or guard stationed so as to supervise the entrance to the area. If the material is classified TOP SECRET or SECRET, admittance shall be under the direct and continuous supervision of a properly cleared guard posted at the entrance.

(b) Locked entrance -- if the material within the area is classified no higher than SECRET, admittance shall be under the direct and continuous supervision of a properly cleared contractor-authorized employee or guard, except as may be provided for by complying with paragraph 36. The employee or guard designated to control the entrance shall be required to unlock and open the entrance, remain at the entrance while it remains open, supervise the passage of material or authorized personnel through the entrance, and to lock the entrance immediately thereafter. If the material is classified TOP SECRET, admittance shall be under the direct and continuous supervision of a properly cleared guard posted at the entrance.

(3) During Nonworking Hours.

(a) Admittance shall be controlled by locked entrances and exits, secured with either a built-in three-position dial-type changeable combination lock or a three-position dial-type changeable combination padlock as described in paragraph 14a(3)(d). However, doors secured from the inside with a panic bolt (that is, actuated by a panic bar), a dead bolt, a rigid wood or metal bar, or other means approved by the CSO, will not require additional locking devices.

(b) If TOP SECRET or SECRET information is stored in the area, supplemental controls are required, as follows:

(i) the area is alarmed, in accordance with the requirements in paragraph 35; or

(ii) the area is patrolled by guards or other properly cleared and authorized personnel supervised by a system which provides a written record of the coverage of key points of the area. The patrol shall be once

hourly for TOP SECRET areas and once every two hours for SECRET areas. The guard shall view both the inside and outside of the area to determine the presence of unauthorized persons. Guards are not required to enter the closed area, if substantially all of the interior space can be viewed from outside the area through windows, peepholes, or expanded metal/wire-mesh walls. (Drapes, curtains, or similar window coverings may be utilized during working hours and tarpaulins over hardware during nonworking hours to protect classified external configuration from visual access.) If the contractor elects to have the guard enter the closed area, an approved key-operated padlock 2/ with high-security cylinder may be used to secure the area. If the contractor does not want to have the guard enter the closed area and if windows, peepholes, or expanded metal/wire-mesh walls cannot be used, because exterior configuration of hardware is classified and the use of tarpaulins to prevent visual access is not practical, the contractor may elect to utilize the following alternative procedure:

The area will be thoroughly checked at the end of the working hour period by the last person leaving to ensure area integrity and that no individual remains within. A written record, to include the signature of the person securing the area and the time secured, will be posted on the interior side at the door. Additionally, a log will be posted at the exterior of each door and the guard will be required to sign and indicate the time checked, certifying that the door was checked and found to be locked during the course of each patrol.

2/ Approved key-operated padlocks shall meet the requirements of: Military Specification P-43607 (shrouded shackle), National Stock Number 5340-00-799-8248, and Military Specification P-43951 (regular shackle), National Stock Number 5340-00-799-8016. The keys shall be safeguarded as classified material of a classification equal to the highest level of the classified material being protected. On initial receipt, or when not in use, high security key locks shall be stored consistent with the level of the facility's authorized safeguarding capability. Use of key-operated padlocks are subject to the following requirements: (i) a key and lock custodian shall be appointed to ensure proper custody and handling of keys and locks used for protection of classified material; (ii) a key and lock control register shall be maintained to identify keys for each lock and their current location and custody; (iii) keys and locks shall be audited each month; (iv) keys shall be inventoried with each change of custody; (v) keys shall not be removed from the premises; (vi) keys and spare locks shall be protected in a secure container; (vii) locks shall be changed or rotated at least annually, and shall be replaced after loss or compromise of their operable keys; and (viii) making master keys is prohibited. A "secure container" as used herein is any cabinet or vault specified in paragraph 14a(3), including supplemental controls when required. However, at no time shall a key(s) be afforded less protection than that accorded the highest level of the classified material protected by its corresponding lock(s).



The SPP shall specify which of the above options has been elected by the contractor and shall describe the procedures for implementing this requirement.

(c) No patrol or alarm systems are required for CONFIDENTIAL material stored in closed areas.

(4) Areas shall be designated and marked "CLOSED AREA."

(5) Employees assigned to the area shall challenge the presence of any unknown persons. The need-to-know principle shall be adhered to at all times within the closed area.

b. Restricted Area.

(1) During working hours, the same controls as prescribed for closed areas during working hours shall be applied.

(2) During nonworking hours, the same controls as prescribed by paragraph 14 shall be applied.

(3) Areas shall be designated and marked "RESTRICTED AREA."

c. Area Approval. The CSO and the contractor shall agree on the extent of the controlled area prior to the award of the contract, when possible, or at such subsequent times as the need for such areas becomes apparent during the performance on the contract. When the costs of construction and/or maintenance of the controlled areas are to be charged against a UA contract, the CSO shall obtain and furnish to the contractor written authorization from the contracting officer concerned for the expenditure of necessary funds. This authorization shall only be required when the contractor is performing on cost-reimbursement contracts as opposed to fixed-price contracts in which such security costs would be included in the initial contract price.

d. Reports. The CSO shall be advised, in accordance with paragraph 6a(5), of the creation of any new controlled areas or of any change in the location of any existing controlled areas.

35. Supplemental or Supplanting Alarm Systems.

a. Alarm systems may be divided into those that supplant the use of guards required under paragraph 34a(3), and those that supplement and extend the capability of guards.

(1) When used to supplant guards, the electrical protective alarm system shall be connected to a central control station.

(a) The central control station may be located at the contractor's facility or at the facility of a subcontractor who maintains and operates the electrical protective alarm system and responds to alarms 3/ 4/.

(Footnotes 3/ and 4/ are on the following page.)

(b) Such a subcontractor and its employees shall have FCL's and PCL's, as prescribed in paragraph 20e.

(c) Additional requirements for a central control station are as follows.

1. Trained and appropriately cleared operators shall be in attendance at the central station at all times when the electrical protective alarm system is in operation. The device which signals alarms shall be continuously monitored.

2. Trained and appropriately cleared guards, sufficient in number to dispatch immediately a guard to investigate each alarm, shall be in attendance at the central station at all times when the electrical protective alarm system is in operation.

3/ A direct-connect or remote station alarm system (that is, a system connected by direct wire to alarm receiving equipment located in a local police department headquarters, which is activated and deactivated by the using contractor and responded to by personnel of the local police department), may be utilized when: (i) the contractor's facility is located in an area where the central station services of a subcontractor are not available; (ii) it is impractical for the contractor to establish a proprietary or in-plant alarm system, in accordance with the provisions of paragraph 35a(1)(c); (iii) the material and installation standards prescribed by paragraph 35b(1) or (2) are observed; (iv) response time to an activated alarm by local police personnel does not exceed 15 minutes from the time the alarm was first registered, and arrangements shall have been made with the police department to immediately notify a representative of the contractor (preferably the FSO) on receipt of an alarm; and (v) the representative of the contractor shall be required to report immediately to the facility to ascertain the nature of the alarm and to take appropriate measures to ensure the security of the area concerned. Approval of the CSO is required before a contractor may utilize a direct-connect system as an alternative to the use of a central station system. The proposed plan explaining how the system would operate should be submitted in duplicate to the CSO, including sufficient justification for the granting of an exception and the full name and address of the police department that will monitor the system and provide required response. The name, address, and clearance level of the subcontractor who installed the system and who will inspect, maintain, and repair the equipment shall also be furnished, if applicable.

4/ Central station burglar alarm systems classified by the UL, Inc. as Grade A shall satisfy the requirements of this paragraph. Evidence of compliance with the UL standards may take the form of a UL certificate or a letter issued by the installing company (see UL 611, Central Station Burglar Alarm Units and Systems, and the list relating to authorized burglary protection equipment and installing companies in UL publication, "Automotive, Burglary Protection, Mechanical Equipment Directory").

3 A signal shall be maintained at the central station to show whether or not the system is in working order and to indicate any tampering with the system. Necessary repairs shall be effected immediately.

4 Response time to an activated alarm (that is, the time required for guards to reach the area) shall not exceed 15 minutes from the time the alarm was first registered.

5 Records shall be maintained indicating time of receipt of alarm, name of guards, time dispatched to area, time guards checked in, and nature of alarm. Such records shall be kept for a minimum of 1 year.

(2) When used to supplement guards required by paragraph 34a(3), electrical protective alarm systems of the central station type, described in paragraph a(1) above, and systems not connected to a central control station may be used. However, if a central control station is not employed, the system shall provide an audible or visible alarm signal, which shall be capable of attracting the immediate attention of guards on patrol in the area and directing them to the location of the alarm. In any event, the time required to respond to an activated alarm shall not exceed 15 minutes.

(3) When such systems are used, they shall be activated immediately at the close of business.

b. Material and Installation Standards.

(1) Where electrical protective systems are applied to an area to supplant or supplement guards, all material and equipment used in the system shall equal or exceed the standards prescribed in and shall be installed in accordance with: (i) the provisions of Interim Federal Specification W-A-00450 (GSA-FSS), "Alarm Systems, Protective, Interior (Security)," February 16, 1973, or (ii) Underwriters' Laboratories Standards for Intrusion-Detection Units, UL-639, and Underwriters' Laboratories Standards for Installation and Classification of Mercantile and Bank Burglar Alarm Systems, UL-681 5/ 6/.

(2) When individual alarms are installed on classified storage containers, in accordance with paragraph 14a(2)(c) or 14a(4)(c), the installation shall provide "complete" protection of the top, bottom, sides, and outer drawers or doors of the container (see Interim Federal Specification W-A-00450 and UL Standards 681 and 639). In addition, the requirements for a central station or direct-connect alarm system shall also apply (see paragraph a(1) above).

5/ The minimum required standard for installation on premises shall be Installation No. 3 (see UL-681). New installations shall conform to Interim Federal Specification W-A-00450 to the maximum extent permitted by availability of qualified equipment.

6/ Copies of the Interim Federal Specification may be obtained from any regional office of the GSA. Copies of the UL Standards may be obtained from Underwriters Laboratories, Inc., 333 Pfingsten Road, Northbrook, Illinois 60062.

c. Approval by the CSO is required before the installation of either a supplanting or supplemental alarm system to meet a requirement of this manual (see paragraph 34c regarding cost considerations).

36. Supplanting and Supplemental Electronic, Mechanical, and Electromechanical Access Control Devices.

a. Supplanting Devices. Provided that the material within the controlled area is classified no higher than SECRET, electronic, mechanical, or electro-mechanical devices which meet the criteria stated below may be used to supplant contractor-authorized employees or guards, required under paragraph 34a(2)(b), to control admittance to the area during working hours.

(1) Security enclosures may be used. (This refers to an enclosed metal booth, having an inner and an outer door, inserted into an opening in the perimeter barrier for ingress to and egress from a controlled area. Access to the controlled area through the booth is restricted to authorized persons having knowledge of the combination on which the access control device is set to operate.)

(a) Control cards, if used in conjunction with the combination control panel, shall be rigidly controlled and accounted for by use of a consecutive numbering system and promptly recovered on termination or transfer of the holder to duties no longer requiring access to the controlled area involved. (Enclosures operated by a control card alone shall not be approved to supplant contractor authorized employees or guards required under paragraph 34a(2)(b).)

(b) Possession of both the combination on which the booth is set to operate, and, if used, the control cards, shall be limited to a minimum number of authorized personnel consistent with operational requirements.

(c) The combination on which the booth is set to operate shall be classified in accordance with the classification of the highest classified material within the controlled area.

(d) The selection and setting of the combination in the control panel shall be accomplished by an employee of the contractor who is authorized to enter the area, in the performance of his or her duties, or by the FSO or his or her designated representative who is authorized to enter the area. The combination shall be changed at least once every 3 months. When located outside the controlled area, the control panel shall be secured by a three-position dial-type changeable combination padlock, as specified in paragraph 14a(3)(d). However, if the control panel is located within a closed area, it shall require only a minimal degree of physical security protection designed to preclude unauthorized access to the mechanism. The CSO may be requested to approve the security measures afforded the control panel.

(e) Except as provided in paragraph b below, the person entering or leaving the area through the security enclosure shall be responsible for ensuring that the inner and outer doors are securely shut. In addition, only one authorized person may pass through the security enclosure at a time.

(f) If an alternate entrance is used to transport bulky classified material to and from the area, a contractor-authorized employee or guard shall be designated to unlock and open the entrance, remain at the entrance while it remains open, supervise the passage of the material and authorized personnel, and lock the entrance immediately thereafter.

(g) During shift changes and emergency situations, when the fast exit switch in the control panel is set to allow both the inner and the outer doors of the booth to be opened at the same time, admittance shall be controlled by a contractor-authorized employee or guard stationed to supervise the entrance to the area.

(h) Electrical gear, wiring included, shall be accessible only from inside the area.

(2) Electronic, mechanical, and electromechanical door devices may be used. (That is, a system that operates by either a push-button combination, which activates the locking device, or by a control card used in conjunction with a push-button combination, thereby excluding any system that operates solely by the use of a control card.)

(a) The control panel shall be installed in such a manner, or have a shielding device mounted, so that an unauthorized person in the immediate vicinity cannot observe the selection of the correct combination of the push buttons.

(b) The electronic control panel containing the mechanical mechanism by which the combination is set may be located inside or outside the controlled area. When located outside the controlled area, the control panel shall be securely fastened or attached to the perimeter barrier of the area and secured by a three-position dial-type changeable combination padlock, as specified in paragraph 14a(3)(d). However, if the control panel is located within the closed area, it shall require only a minimal degree of physical security protection designed to preclude unauthorized access to the mechanism. The CSO may be requested to approve the security measures afforded the control panel.

(c) The combination and, if also used, the control cards shall be controlled in the manner prescribed by subparagraphs (1)(a), (b), (c), and (d) above.

(d) Authorized personnel entering or leaving the area shall be required to immediately lock the entrance behind them.

(e) During shift changes and emergency situations, if the door remains open, admittance shall be controlled by a contractor-authorized employee or guard stationed to supervise the entrance to the area.

(f) In all cases when used, electrical gear, wiring included, or mechanical links (cables, rods, and so on) shall be accessible only from inside the area, or shall be secured within a protective covering to preclude surreptitious manipulation of such components.

b. Supplemental Devices. A number of electromechanical security devices for identification and authentication of individuals are currently available. These devices, such as those involving hand or fingerprint scanning and comparison, may be used to supplement the access control systems described in paragraphs a(1) and (2) above.

c. Approval. The approval by the CSO is required before effecting the installation of either a supplanting or supplemental access control device to meet a requirement of this manual (see paragraph 34c regarding cost considerations).

Section V. VISITOR CONTROL PROCEDURES

Part 1. VISITS TO USER AGENCY CONTRACTORS

37. General.

a. The provisions of this section, except paragraphs 45 and 48, apply only to persons who will have access to classified information. Access to information classified higher than the level in the visit authorization will not be granted, regardless of the level of the visitor's PCL. The contractor or activity being visited shall take such security measures as may be required to preclude visitors from having unauthorized access to classified information. Nothing in this section will limit the requirements of paragraph 5c.

b. The number of visitors requiring access to classified information shall be held to a minimum and the following requirements must be established:

(1) that the visit is necessary, and

(2) that the purpose of the visit cannot be achieved without access to classified information by the visitor.

c. In the event the visit is disapproved, the requester shall be promptly notified by the contractor or activity which made the decision.

d. Requests for visits shall be furnished in writing (mail or teletype) to the contractor or UA activity being visited in advance of the proposed visit. In exceptional cases, the telephone may be used, provided the visit request is confirmed in writing. Under no circumstances, however, may employees hand-carry their own visit requests to the place being visited. All Category 1 and 2 requests shall contain the following information:

(1) name and address of the contractor or UA activity to be visited;

(2) name and title of person(s) to be visited, if known;

(3) name of the proposed visitor, his or her date and place of birth, and citizenship (if immigrant alien, so indicate);

(4) job title or position of the proposed visitor;

(5) requesting contractor's or UA activity's certification of the level of clearance of the proposed visitor (see paragraph 38) -- specifically indicate if the visitor's clearance is an interim clearance, company-granted CONFIDENTIAL clearance, or a reciprocal clearance (see paragraph e below for special access requirements);

(6) purpose and justification for the visit in sufficient detail to allow for a determination on the necessity of the visit -- including the

contract, project, or program number or name will assist the recipient in making this determination 1/;

(7) date or period during which the request is to be valid;

(8) name and address of requesting contractor or UA activity;

(9) requesting contractor's certification of his or her FCL (not required for representatives of the U.S. Government, see paragraph 38); if the contractor has a reciprocal facility clearance, state so; and

(10) name, address, and telephone number (if known) of requesting contractor's CSO.

e. When visits involve access to classified information requiring a special access authorization (for example, CRYPTO, NATO, military space project, or other special or limited access programs), the request will, in addition to the other required information:

(1) specify the program or project,

(2) specify the level of information to be released,

(3) certify that the visitor has been authorized access to such information, and

(4) identify the office or UA activity granting such authorization.

f. When appropriate, the visit request shall ask for approval for subsequent visits within a 12-month period. The contractor or UA activity initiating the visit request shall immediately notify the contractor or activity being visited of any change in the visitor's status, such as, the termination of employment, suspension, leave of absence, and the revocation or termination of clearance, which will require the visit authorization to be canceled prior to its normal termination date. In the event the initiating contractor's FCL, as indicated in paragraph d(9) above, changes to a reciprocal clearance, the initiating contractor shall immediately notify contractors or UA's honoring current visit requests, so as to preclude the visitor's access to certain types of classified information as set forth in paragraph 31c. A downgrading of the FCL also requires an immediate notification to contractors and UA's honoring current visit requests.

g. Machine-run or other rosters of employees, limited to those personnel who are authorized access to particular levels of classified information and who occupy positions which require classified visits, may be used for estab-

1/ To avoid delay in processing or rejection of visit requests, contractors should exercise care in using nicknames, abbreviations, and acronyms which may be unfamiliar to the recipient. Where repeated use of short terms is desirable for brevity, an explanation should be provided.

lishing visit request and approval authorizations as required by this section, provided the machine-run (or other roster) or a covering letter furnishes the essential information required by paragraphs d, e, and f above, and adequate procedures are in effect to notify the visited facility of changes in employees' status, which will affect his or her visit authorization. Use of such procedures must be acceptable to the facility being visited and such records and controls shall be maintained in a current status at all times.

h. Industrial security representatives of the DoD and other UA's are not considered visitors, when acting in their official capacities. Representatives of the following U.S. Government agencies, when acting in their official capacities, are not visitors:

(1) Defense Investigative Service

(2) U.S. Army Intelligence Command (Army)

(3) Naval Investigative Service (Navy)

(4) U.S. Air Force, Office of Special Investigations (Air Force)

(5) Secret Service (Treasury Department)

(6) Federal Bureau of Investigation

The contractor shall grant access to classified information to the minimum required upon presentation of proper credentials by the representative. In case of doubt as to identity or level of access authorized, such credentials and level of clearance will be verified by contact with the agency or activity concerned.

### 38. Identification and Control of Visitors.

a. Contractors being visited by representatives of another contractor are responsible for determining that the requesting contractor has been granted an appropriate FCL. This determination is based either on an existing contractual relationship involving classified information of the same or higher category or by verification from the CSO of the requesting contractor, the visitor's identity, and authorization, prior to any disclosure of classified information. When the requesting contractor's FCL status has been determined, his or her certification as to the proposed visitor's PCL status may be accepted. If, however, there is any question as to the validity of a visit request or identity of the visitor, appropriate confirmation shall be obtained from the contractor or UA activity that initiated the visit request.

b. The contractor shall establish such controls over the movement of approved visitors as are necessary to ensure that the visitors are only afforded access to classified information consistent with the authorized purpose of the visit. Particular care shall be taken to ensure that his or her procedures for the control of Category 4 (foreign national) visitors are sufficient to prevent any access not provided for by the terms of the visit authorization. Such procedures shall provide for an escort while access is being afforded in accordance with the terms of the foreign national's visit authorization and when such a visitor is in areas where classified information

may be accessible. The escort, when required, shall be a responsible, appropriately cleared employee who has been informed regarding the visitor's access limitations or restrictions on the visitor's movements.

c. Visitors shall be prohibited from making records of classified discussions and taking photographs in areas where classified information might be recorded on the film, without the express permission of the contractor being visited.

d. Classified material shall not be released to the visitor to take outside the contractor's facility, except in accordance with other provisions of this manual and specifically paragraphs 5x and 17.

#### 39. Visitor Record.

a. Except when the visitor is issued an identification card or badge, in accordance with the provisions of paragraph 8a(7), the contractor shall maintain a record of all visitors to the facility for the purpose of having access to classified information. The record will indicate: (i) the visitor's full name, (ii) the name of the contractor or activity he or she represents, and (iii) the date(s) of his or her arrival at and departure from the facility. A separate set of visitor records shall be maintained for NATO visitors in accordance with paragraph 54.

b. A NATO visit shall be considered to be: (i) a visit by a person from a NATO country to a contractor in connection with precontract negotiations or contract performance on a NATO classified contract, (ii) a visit between a U.S. prime contractor and a subcontractor performing a NATO classified contract, and (iii) other visits in which access to NATO classified information has been specifically authorized. Representatives of the CSO, whose requirement for access to NATO classified information is only incidental to the accomplishment of the security inspections at the contractor's facility, shall not be considered to be "NATO visitors" nor be required to enter their names on NATO visitor records.

c. The visitor record need not indicate whether the visitor actually did or did not gain access to classified information, but it must distinguish between classified and unclassified visits. Records of authorized visit requests for visits actually consummated shall be maintained by the contractor for a minimum of 2 years. Visit requests submitted in accordance with this section may be retained in lieu of a visitor record, if they also contain the information required in items (i), (ii), and (iii) of paragraph a above, and are retained for the required period.

40. Long-Term Visitors. When employees of one contractor are temporarily stationed at a facility of another contractor, the security procedures of the facility visited will govern. However, when such visits are on a continuing basis and it is found impractical for such visitors to comply with the security procedures of the host facility, the respective contractors shall prepare an agreement delineating their respective responsibilities and encompassing the procedures to be followed. This agreement must conform to the provisions of this manual and a copy shall be furnished to the CSO of the host contractor. The CSO of the host contractor is responsible for conducting periodic inspections to ensure that classified information in the possession

of the visiting employees is properly safeguarded, and for notifying the host contractor of security deficiencies.

#### 41. Visitor Categories and Procedures.

a. Category 1. This category applies: (i) when a contractual or prospective contractual relationship exists between contractors or between a contractor and a UA, and visits to a contractor by representatives of the GAO for auditing purposes, authorized representatives of the Department of Labor, and other agencies of the executive branch of the government when acting in their official capacities; (ii) to visits among prime contractors who are participating under government direction in contracts pertaining to research, development, or production of a weapon system; (iii) to employees of contractors producing items furnished to assembling contractors (GFP) for purposes pertaining to such assembly; and (iv) to employees of a cleared facility, which had previously been furnished a classified report directly by the contractor being visited under the specific terms of a contract (excluded from this category are facilities that receive only abstracts of classified reports or reports from sources other than the preparing contractor). Such visit requests will, in addition to the information required in paragraph 37, also contain a statement identifying the specific report that the visitor is authorized to discuss.

(1) The above visit requests will be submitted directly to the contractor to be visited.

(2) The contractor to be visited has approval authority, provided such visits meet the provisions of paragraph 37.

(3) The prime contractor or assembling contractor, as the case may be, may initiate visit requests for employees of a subcontractor or contractor supplying GFP, in accordance with paragraph 37, when he or she is in possession of the information required by paragraph 37d.

(4) Employees of a temporary help supplier working for contractors at their facilities shall be treated as regular employees of the using contractors for the purpose of security orientation in facility practices, procedures, and pertinent reports, while working under the contractors direction and control (see paragraphs 5u, v, ab, and 6b(1)). This action by the using contractor in no way relieves the temporary help supplier from complying with these and other requirements of this manual.

b. Category 2. This category applies to visits between contractors who have been granted FCL's, but do not have a contractual relationship, and visits that do not otherwise meet the requirements of Category 1.

(1) The requesting contractor will obtain in writing a verification of the visitor's need-to-know from his or her contracting officer and include it with the visit request.

(2) The contractor to be visited will approve the request, if he or she desires the visit.

(3) The visiting contractor may substitute another cleared employee to make the visit without additional verification of the need-to-know, if this is acceptable to the contractor being visited. Information about the substitution shall be furnished the contractor being visited, as required in paragraph 37d.

c. Category 3. This category applies to representatives or employees of the DOE and its contractors whose visits require access to other than RESTRICTED DATA.

(1) The activity requesting the visit will furnish the required information to the contracting officer of the UA whose information is involved, using DOE F 5631.20.

(2) If approved, the contracting officer will notify the contractor of the scheduled visit, including required information concerning the visit (DOE F 5631.20).

d. Category 4. This category applies to foreign representatives. Except as authorized in subparagraph 41d(8) below, visits to contractor facilities by foreign nationals (see paragraph 3ap) and persons acting as representatives of a foreign interest (see paragraph 3bw), hereafter referred to collectively as foreign representatives, must be officially sponsored by a foreign government. Foreign sponsorship is normally reflected in an official request for visit from the embassy of the nation concerned to the cognizant UA foreign disclosure office <sup>1/</sup>. The cognizant

<sup>1/</sup> The Defense Intelligence Agency is responsible for processing requests to visit elements of the OSD, the Office of the Joint Chiefs of Staff (OJCS) the Unified and Specified Commands, the Defense Agencies, and activities administratively supported by the OSD. The following offices are responsible for processing other visit requests:

Department of the Army	Department of the Air Force
Assistant Chief of Staff	International Affairs Division
for Intelligence	Information Branch (CVAII)
ATTN: Foreign Liaison	Office of the Vice Chief of Staff
Directorate (DAMI-FL)	Washington, D.C. 20330
Washington, D.C. 20310	

Department of the Navy	Defense Intelligence Agency
Foreign Disclosure and Policy	Foreign Liaison Branch (DI-4A)
Control Branch	Washington, D.C. 20301
Office of Chief of Naval	
Operations (OP-622E)	
Washington, D.C. 20350	

UA may then sponsor, deny, or elect not to sponsor the visit. UA sponsored visits shall not be used to avoid the licensing requirements of the ITAR published by the Department of State, or the Export Administration Regulations, published by the Department of Commerce. The contractor shall be responsible for ensuring that both sponsored and unsponsored visits by foreign representatives are effectively denied unauthorized access to: (i) classified information, (ii) unclassified technical data governed by the Export Administration Act, administered by the Secretary of Commerce, and the Arms Export Control Act, administered by the Secretary of State through the ITAR, and (iii) other unclassified information for which the DOE, NRC, or other government department or agency has prescribed dissemination limitations.

(1) Foreign nationals shall not be afforded access to classified information, unless specifically authorized in writing by a UA.

(2) The UA sponsorship of a visit is based on the existence of a specific or potential program or project with the foreign government concerned. UA notification of sponsorship will contain the level and scope of classified information authorized for disclosure (visual and/or oral only), as well as any limitations, and will be transmitted to the CSO for review and retransmittal to the contractor facility to be visited. Final acceptance of the visit will be subject to the concurrence of the contractor. The contractor shall notify the UA when the visit is not desired. The contractor may not change the level or scope of classified information to be released, or modify any limitations, without the approval of the UA that approved the visit.

(3) The contractor shall not inform the foreign representatives, or their employers, of the scope of access authorized or of the limitations imposed by the UA, nor shall the foreign representatives be induced to seek a higher access level than previously approved by the UA.

(4) The fact that a foreign representative may possess a PCL at a particular level does not automatically entitle the individual to receive U.S. classified information at that level.

(5) Prior to disclosure of classified information to foreign representatives, the contractor being visited shall advise such visitors of their continuing responsibilities to safeguard the information to be disclosed. The contractor shall also inform the visitors that the information affects the national defense of the U.S. within the meeting of the espionage laws of the U.S., and that unauthorized disclosure violates international agreements and is harmful to the interests of national security.

(6) If the UA declines to sponsor a visit, a declination notice will be furnished to the requesting embassy with an information copy to the security office of the contractor facility(ies) to be visited. A copy of the visit request will accompany the declination notice. Lack of sponsorship does not equate to disapproval nor does it preclude accomplishment of the visit, provided the contractor has, or obtains, a munitions license for the specific technical information proposed for release, or the information is otherwise exempt from the licensing requirements of the ITAR. Unsponsored visits may be arranged between the foreign activity proposing the

visit and the contractor. Disclosure of classified information during unsponsored visits is prohibited: (i) without specific written authorization from the cognizant Military Department, or (ii) without a previously approved and current munitions license issued by the Department of State. It is the contractor's responsibility to consult applicable Department of State and Department of Commerce regulations to determine export licensing requirements or exceptions regarding the disclosure of unclassified technical data during visits by foreign representatives.

(7) In the event a UA denies a request to visit, the requesting embassy and the contractor(s) involved will be advised of the reasons(s) for it by means of the distribution channels prescribed in paragraph (6) above.

(8) The following rules apply to reciprocally cleared contractors.

(a) Visit requests involving U.S. citizen employees of reciprocally cleared contractors (see paragraph 31) that require access to classified information or unclassified information related to a classified program or project, and all visit requests involving foreign national employees of such firms, shall be processed to the UA foreign disclosure office having jurisdiction over the information involved. To reduce administrative burden and facilitate the timely conduct of visits associated with current or potential classified prime contractual or subcontractual relationships, contractors are encouraged to include as many activities to be visited as possible on each such request and propose that such visit request be approved on a recurring basis, preferably for the duration of the contract or subcontract involved. Copies of approved requests will be furnished by the cognizant UA foreign disclosure office to the requesting contractor and to each contractor and UA activity approved for visitation. All subsequent changes to the list of visitors may be communicated by the requesting contractor directly to the activities to be visited, ATTN: Security Officer, making reference to the pertinent approved visit request on file. However, requests to visit activities not previously approved must be submitted separately to the cognizant foreign disclosure office for approval.

(b) Visits by U.S. citizen employees for unclassified commercial purposes may be arranged directly with the security office of the contractor or UA activity to be visited.

e. Category 5. This is a miscellaneous category, which is used only if Categories 1 through 4 do not apply. Individuals making Category 5 visits must be authorized by DISCO.

(1) This category includes persons, other than employees of the contractor, whose visits are considered necessary by the contractor and who cannot be denied access to classified information by escort or other procedures because of the nature of their presence in the area. The contractor to be visited will furnish DISCO the following information.

(a) The information specified in paragraphs 37d(1),(2),(3), (4), and (7).

(b) The justification for the visit and the reason access to classified information cannot be prevented. Interim visit approval, based on requirements for interim clearance as set forth in paragraph 26d, is authorized in emergency situations, so as to avoid crucial delays in the fulfillment of contractual obligations.

(c) The PCL forms specified in paragraph 26. Contractors to be visited will act as sponsors instead of employers in the completion of the clearance forms.

(2) DISCO will notify the contractor of the authorization or disapproval of the visit. A DISCO Form 560 shall not be used.

(3) Category 5 visits are normally authorized for one-time visits only, but may be approved by DISCO for periods up to 1 year, when justified. Such visit authorizations may be renewed by forwarding a request to DISCO with appropriate justification for the renewal and the information specified in paragraphs 37d(1), (2), (3), (4), and (7). When the requirement for a Category 5 visit authorization ceases to exist prior to expiration of the period for which it is valid, notice of termination shall be provided to DISCO by forwarding one copy of the DISCO Form 562, annotated in the "Remarks" section to reflect the action taken. Sponsoring contractors being visited shall handle the briefing, debriefing, reporting, and other provisions of this manual as they would for their own employees.

#### 42. Visits Involving Access to RESTRICTED DATA.

a. Visits to a DoD or NASA contractor by a DoD or NASA representative or contractor shall be processed as prescribed in paragraph 37.

b. Visits to a DoD or NASA contractor by representatives of UA's, other than DoD and NASA and their contractors, require prior approval of the DOE. The DOE F 5631.20 shall reflect this approval in part B of the form. Contractors submitting visit requests in this category shall, after certifying to the clearance status of the proposed visitor(s) in part A of the DOE F 5631.20, forward the form to the contracting officer for certification of the visitor's need-to-know and further processing, in accordance with the UA's regulations. The contractor receiving a visit request in this category shall ensure that the required certifications have been made and that the visit has received DOE approval.

c. Visits to a UA contractor, other than to a DoD or NASA contractor by representatives of the contracting UA and between a prime contractor and his or her subcontractor on such a UA contract, shall be processed as prescribed in paragraph 41.

d. Visits to a UA contractor, other than to a DoD or NASA contractor by representatives of UA's other than the contracting UA and by contractors other than under a prime-subcontractual relationship, require prior approval of the DOE and shall be processed in the manner prescribed in paragraph b above.



Part 2. VISITS TO USER AGENCY ACTIVITIES

43. General Rules -- In Addition to Paragraph 37.

- a. Contractors shall comply with any requests received from the Commander or Head of UA activities for additional information needed in the processing of visit requests.
- b. The contractor is encouraged at the time of the initial visit to request approval for subsequent visits within a period of 12 months, when necessary and consistent with the purpose of the initial visit. Arrangements for continuing visits will be made between the contractor and the Commander or Head of the UA activity. Final approval is the prerogative of the Commander or Head of the UA activity.
- c. Visits to DoD or NASA activities by DoD or NASA contractors, involving access to RESTRICTED DATA, shall be processed as prescribed in paragraph 42a. Visits to other UA's involving access to RESTRICTED DATA shall be processed in the manner prescribed in paragraph 42b.
- d. Contractor employees shall comply with written regulations and operating instructions issued by UA activities concerning visitors to such activities.

44. Visits to User Agency Activities in the United States.

- a. Visits to Field Activities. Contractors desiring to have an employee or consultant visit a UA activity involving access to classified information shall address a request in writing to the Commander or Head of the activity to be visited. Visit requests shall be accompanied by a statement from the contracting officer that the release of classified information is required in connection with a specified classified contract or program. (Visit requests normally will be sent via the contracting officer.)
- b. Visits to UA Activities in the Washington, D.C. Area. Requests to visit offices of headquarters activities of the UA's in the Washington, D.C. area shall be submitted in writing and addressed to the specific office to be visited. Whenever possible, the exact code number, division, branch, and so on, of the activity or office to be visited shall be included in the address of the request. Visit requests shall be accompanied by a statement from the contracting officer that the release of classified information is required in connection with a specified classified contract or program. (Visit requests normally will be sent via the contracting officer.)
- c. As an exception to paragraphs a and b above, a visit request may be submitted directly to the activity or office to be visited without a statement from the contracting officer, when the classified information to be disclosed and the determination as to the contractor's need for such access is known to be a responsibility of the activity or office to be visited. This exception does not apply to visits involving access to classified intelligence information as set forth in paragraph e below.

d. The contractor's request shall contain the information specified in paragraph 37d.

e. If a contractor contemplates discussion or viewing of classified intelligence in the custody of a UA activity, the contractor's visit request shall be forwarded in all cases to the contracting officer of the UA activity authorized to release classified intelligence to contractors for the required need-to-know verification and routing to the UA to be visited. In addition to the information specified in paragraph 37d, the visit request shall contain the following:

(1) the contractor's certification that: (i) access to classified intelligence is required for contract performance, and (ii) the contract is a classified contract (see paragraph 3i), and

(2) sufficient additional information concerning classified intelligence required to permit the agency or activity receiving the visit request to assess:

(a) applicability of available classified intelligence to the contractor's needs, and

(b) whether available intelligence may be released to the contractor without permission of the originator and/or sanitization of the material.

45. Visits to User Agency Activities Outside the United States. This paragraph is applicable when a contractor desires to have an employee make a classified or unclassified visit to a UA activity outside the U.S. The information required by paragraph 37d shall be furnished for the visits enumerated in this paragraph.

a. Contractor Sponsored Visits. A contractor shall process a request for his or her employee to visit a UA activity outside the U.S. through DISCO to the UA activity concerned, if the visit is on the initiative of the contractor. The Commander or Head of the activity to be visited will notify the contractor of the approval or disapproval of the visit request. (See paragraph 50 for an employee based in Europe.)

b. UA Sponsored Visits. A visit request for a contractor employee sponsored by a UA and traveling on the UA's orders will be processed by the UA, in accordance with the regulations of such agency. The traveler's orders shall reflect the traveler's level of security clearance, if required, in connection with the travel. The contractor shall submit the request for such visit directly to the UA activity concerned.

Part 3. VISITS TO GOVERNMENT ACTIVITIES OTHER THAN USER AGENCIES

46. Visits to DOE Installations or DOE Contractors. Requests for visits to DOE installations or to DOE contractors, which will require access to DOE classified information, shall be prepared utilizing DOE F 5631.20. (Copies of this form may be obtained from any DOE installation.) (In addition to

completing the appropriate portions of the DOE F 5631.20), the contractor (usually the FSO) shall include in the first block of the form immediately after the personnel clearance data, a certification of the prospective visitor's PCL. The DOE F 5631.20 shall then be forwarded, for the required official certification, to the contracting officer of the UA who signed the DD Form 254 that was issued in connection with the contract for which the DOE classified information is required.

47. Visits to Activities Other Than DOE. Requests for visits to government activities, other than UA's and the DOE, which involve the release of classified information to such activities in connection with a UA contract, require the approval of the contracting officer and, if the classified information to be released includes RESTRICTED DATA, the approval of the DOE. Such requests shall be submitted by the contractor to his or her contracting officer who will process the request. The contractor shall provide evidence of the fact that the activity to be visited had either requested the proposed visit or consented to the contractor's request for the visit. In addition, a statement shall be included explaining: (i) the purpose of the visit in detail, (ii) a description of the classified information to be divulged during the visit either to or by the activity being visited, and (iii) the direct or indirect effect the visit may have on the performance of the classified contract involved.

#### Part 4. VISITS TO FOREIGN GOVERNMENTS AND ACTIVITIES

##### 48. General.

a. Contractor visits to foreign governments or activities or to international bodies fall into three categories.

(1) The first includes visits that involve the disclosure of U.S. classified information:

(a) in connection with a government-to-government agreement to furnish U.S. military equipment to the foreign government (that is, the purchase of the equipment is under a U.S., not a foreign government contract);

(b) in connection with exploratory sales visits, precontract negotiations, or contract performance, other than those covered under paragraph (a) above (that is, the purchase of the U.S. military equipment or services when and if consummated will be or is under a foreign government contract); or

(c) in connection with U.S. Government presentations to foreign governments and international pact organizations, when the U.S. Government has requested the contractor's participation.

(2) The second includes visits that do not involve disclosure of U.S. classified information, but where the foreign government or activity requires a U.S. security assurance on the visitor:

(a) which involve disclosure of unclassified technical data on the "U.S. Munitions List;" or

(b) which will not involve disclosure of technical data on the "U.S. Munitions List."

(3) The third includes visits on a commercial basis (that is, the visits do not involve disclosure of U.S. classified information and do not require a U.S. security assurance on the visitor). These visits may or may not involve disclosure of unclassified data on the "U.S. Munitions List." Visits in this category are not processed under the provisions of this manual. However, the contractor is responsible for compliance with the ITAR and for obtaining a State Department export license or letter, if required.

b. The following information concerning the requirements of the ITAR is furnished for the guidance of the contractor.

(1) Disclosure of classified information, in connection with visits in the category described in paragraphs a(1)(a) and (c) above, does not require an export license.

(2) Except as specified in paragraph (3) below, disclosure of unclassified technical data related to "U.S. Munitions List" items requires an export license.

(3) An export license is not required if the visit has been approved on an unclassified basis by the UA concerned, and (i) the technical data to be disclosed is information covered by a manufacturing license or technical assistance agreement approved by the Department of State, or (ii) the technical data to be disclosed is exempt from the provision of the ITAR.

c. Requests for visits to foreign governments or activities shall be processed only for an employee who is the subject of a LOC. Contractor-issued CONFIDENTIAL clearances are not valid for such visits.

d. Visit requests shall be processed as follows.

(1) Visit requests in the categories described in paragraphs a(1)(b) and a(2)(a) and (b) above shall be processed by the contractor through DISCO.

(2) Visits in the categories described in paragraphs a(1)(a) and (c) above shall be processed by the contractor, in accordance with the regulations of the UA that is dealing with the foreign government. The contractor shall certify visit clearance information directly to the UA concerned. If the UA is unable to process such requests, they will so endorse the contractor's request and refer it to DISCO for processing. Such endorsement will constitute approval of the visit and reference to an export license will not normally be required on the visit request. \*  
\*  
\*

e. Visit requests processed through DISCO shall be submitted in duplicate with one extra copy for each additional country to be visited, and shall contain the information required in paragraph 37d, as well as proposed visitor's passport or identification card number, and date and place of

issuance. In addition, the contractor shall specify the category of visit that is involved (see paragraph a above) and, for a visit of the type described in paragraphs a(1)(b) or a(2)(a) above, will certify the export \* license number and license expiration date within the visit request. For \* visits to the Swiss Government and contractor facilities, the legal residence address of each visitor must also be shown.

49. Processing Time. Visit requests should be received by DISCO at least 45 days in advance of the proposed travel date for all countries and U.S. overseas commands. Exceptions are for travel to Switzerland, which requires 70 days advance notice. Requests for visits in France must be for specific dates, as France will not approve visits for indefinite periods.

50. Use of OISI. If the U.S. contractor employee making the visit is based in Europe, or in an adjacent non-European country, the visit request may be submitted through OISI rather than through DISCO. The information required in paragraph 48e shall be included with the request. The OISI will verify the proposed visitor's security status. In addition to furnishing a copy of the export license or letter, when required in accordance with paragraph 48e, the contractor is responsible for compliance with the ITAR, if applicable, in the same manner as though the visit were arranged through DISCO.

Part 5. VISITS IN CONNECTION WITH BILATERAL INDUSTRIAL SECURITY AGREEMENTS AND NATO VISITS PROCEDURES

51. Visits in Connection With Bilateral Industrial Security Agreements.

a. The following procedures apply to visits pertaining to precontract negotiations or contract performance under approved bilateral agreements involving a foreign classified contract in the U.S. or a U.S. classified contract in a foreign country.

(1) Authorization for visitors or those visited to have access to classified information shall be limited to that necessary for official purposes in connection with precontract negotiations or contract performance. When requested, the authority to visit the facility of the prime contractor may include authorization to have access to or to disclose classified information at the facility of a subcontractor engaged in performance of work in connection with the same contract.

(2) A list may be developed to indicate those individuals who are authorized to visit the facility for extended periods of time, not to exceed 6 months, as may be necessary in the performance of the contract. This authorization may be renewed for additional periods of 6 months as may be necessary in the performance of the contract.

(3) Visits shall be approved only for persons possessing U.S. Government granted security clearances.

b. U.S. contractor visits in connection with foreign classified contracts shall be processed in accordance with the provisions of paragraph 48.

c. Representatives of foreign governments visiting U.S. activities shall be processed as Category 4 visitors, in accordance with paragraph 41d, if the U.S. classified information is involved in the foreign government's contract. If only foreign classified information is involved, the visit shall be processed by DISCO.

52. NATO Visit Procedures. The following visitor control procedures apply to a NATO precontract negotiation or to a NATO contract awarded to a U.S. contractor by a NATO government other than the U.S., a contractor of such NATO country, or a NATO international body.

a. Visits by Representatives of a U.S. Contractor to the NATO Contracting Officer, a NATO Management Office, or a Contractor of a NATO Country Other Than the U.S. The visit request, in quadruplicate, will be directed through DISCO to the NATO contracting office or to the NATO management office and will be processed together with a Certificate of Security Clearance (see paragraph 55). The Certificate of Security Clearance shall indicate whether or not the visitor has received a NATO security briefing. Whenever possible, the NATO security briefing will be accomplished prior to the submission of the visit request and the certificate will state so. When this is not practical, the visit request will include a statement as to when and by whom the NATO security briefing will be conducted. The visit request shall include the information specified in paragraph 37d, the visitor's passport or identity card number, date and place of issuance, and the NATO contract or program on which he or she is engaged.

b. Visits by Representatives of NATO Contracting Officer, a NATO Management Office, or of a Contractor of a NATO Country to the U.S. Contractor. Such requests shall be processed by the NATO activity concerned as a Category 4 visit (see paragraph 41d) through the appropriate UA activity. Such visit requests will contain the information specified in paragraph a above.

c. Visits in Connection with NATO Contracts by Representatives of a U.S. Contractor to Another U.S. Contractor in the U.S.

(1) Such visits shall be processed as Category 1 visits (see paragraph 41a), if both contractors are performing on the same NATO contract in a prime contractor to subcontractor or subcontractor to subcontractor relationship. A statement on NATO security briefing shall be included in the visit request.

(2) If no contractual relationship exists between the contractors, the visit request shall be processed as a Category 2 visit (see paragraph 41b) requiring the approval of the NATO contracting officer whose information is involved. Supporting information on NATO briefing and the Certificate of Security Clearance shall be included in such visit requests. The visit request, together with two copies of the Certificate of Security Clearance, will be processed through DISCO to the NATO Contracting Officer.

d. Recurring Visits. Subsequent visits shall be processed in accordance with paragraph 37f. Authorization for subsequent visits shall not exceed a period of 12 months, but may be subject to renewal for succeeding periods of 12 months, if required (see paragraph 53b for NPLO visit requests).

53. NPLO Programs Clearance and Visit Procedures. Clearance and visit control procedures in effect for contractors performing on specific NPLO programs are different from other NATO visit procedures. Current NPLO programs are HAWK, F-104G, NAMSA, and NISCO. As an aid to simplifying visit procedures, it is necessary to establish the visiting contractor employee's clearance in connection with a specific NPLO program. This may be accomplished prior to the initial or concurrently with the request for such visit.

a. Initial Visits.

(1) The visit request, in quadruplicate, will be directed through DISCO to the NPLO Management Office with a copy to the NATO activity to be visited and will be processed together with a Certificate of Security Clearance (see paragraph 55). The visit request shall include the information specified in paragraph 37d, the visitor's passport or identity card number, date and place of issuance, and the NPLO program with which he or she is concerned.

(2) The DISCO will forward the visit request to the NPLO Management Office, which will inform appropriate NATO and foreign activities of its action; that is, approval or disapproval.

(3) The Certificate of Security Clearance will be forwarded by DISCO to the NATO Office of Security, Industrial Security Section, for recording and dissemination of the information to the NATO member countries and NPLO Management Offices concerned.

(4) In case of urgency when a Certificate of Security Clearance has not been forwarded to the NATO Office of Security, Industrial Security Section, in advance, DISCO will attach a copy of the Certificate of Security Clearance to the visit request for transmission to the NPLO Management Office.

b. Recurring Visits. If the initial visit is approved, subsequent visits, not to exceed 6 months to the same NPLO activity for the same U.S. contractor employee, will be processed by the U.S. contractor directly to the NPLO activity to be visited. That activity will notify the contractor of the approval of the visit. These subsequent visit requests will contain the information required by paragraph 37d and will include the visitor's passport or identity card number, and date and place of issuance.

54. Records of NATO Visits. The contractor shall keep a separate set of visitor records for NATO visitors containing the information specified in paragraph 39.

55. Certificate of Security Clearance.

a. A standard format Certificate of Security Clearance has been adopted for use within the NATO community in connection with visits from one NATO country to another, or to a NATO office, agency, command, or to or between contractors when a visit will involve access to NATO classified information.

b. The Certificate of Security Clearance shall be completed on plain bond paper by the contractor for his or her employees desiring to make a visit, and submitted in duplicate for certification to DISCO. The employee's

name shall be listed in the following order: last name, first name, middle name.

c. This certificate shall be sent sufficiently in advance by the contractor through DISCO so as to ensure receipt by the foreign officials of the NATO offices, agencies, commands, or contractors before arrival. In exceptional circumstances, the information required by the certificate may be supplied by other means of communication, but must be confirmed in writing. Normally, a copy of this certificate should not be given to the traveler.

(Sample) DEFENSE INDUSTRIAL SECURITY  
CLEARANCE OFFICE

## Certificate of Security Clearance

(Authorizing Access to NATO Classified Information)

Issued by \_\_\_\_\_  
Date and place of issue \_\_\_\_\_Valid until \_\_\_\_\_  
(If issued to an individual, this certificate should be returned to the  
granting authority on the termination of the mission for which issued.)This to certify that \_\_\_\_\_  
Last name, first name, middle nameDate of birth \_\_\_\_\_  
Place of birth \_\_\_\_\_  
Nationality \_\_\_\_\_  
Where employed \_\_\_\_\_Programme(s) \_\_\_\_\_  
Holder of passport/identity card No. \_\_\_\_\_Issued at \_\_\_\_\_  
Military rank and number \_\_\_\_\_  
(where applicable) has been cleared for access to information classified  
up to and including \_\_\_\_\_  
in accordance with current NATO Security Regulations.

(Has)(Has not) received a NATO Security briefing.

Date of briefing: \_\_\_\_\_

\_\_\_\_\_  
Signature and Title of Granting Authority  
(seal or stamp)Section VI. SUBCONTRACTORS, VENDORS, AND SUPPLIERS

56. Application to Subcontractors. The provisions of this manual apply to subcontractors, vendors, or suppliers of prime contractors (hereafter referred to as a subcontractor). A subcontractor shall submit requests through the prime contractor to the contracting officer for an authorization or approval requiring action by the contracting officer under the provisions of this manual. However, if any such request is clearly encompassed in an authorization previously given in writing to the prime contractor by the contracting officer, in relation to a specific contract, the prime contractor, acting within the scope of such authorization, may approve or disapprove such request. Requests involving release of U.S. classified information to foreign subcontractors must be forwarded to the UA for authorization.

57. Application to Sub-Subcontractors. For the purposes of this manual, each subcontractor shall be considered as a prime contractor in relation to his or her subcontractors.

58. Determination of Clearance Status.

a. The prime contractor shall determine from the CSO of the prospective subcontractor that the prospective subcontractor has been granted an appropriate FCL prior to disclosure of any classified information, unless there is an existing contractual relationship between the parties involving classified information of the same or higher category. (A FCL is not prima facie evidence that a facility has the capability to physically safeguard classified material.) If physical possession of any classified material is to be granted to the prospective subcontractor, the procedures outlined in paragraph 59 shall be followed.

b. If the prospective subcontractor does not have an appropriate FCL, the prime contractor may request the CSO over the geographic area in which the subcontractor is located to initiate clearance action.

59. Safeguarding Ability.

a. Prime contractors, having complied with paragraph 58a, shall obtain written approval from the contracting officer, or his or her designated representative, prior to the disclosure of TOP SECRET information to prospective subcontractors.

b. Prime contractors, having complied with paragraph 58a, shall determine that prospective subcontractors meet the requirements of this manual for safeguarding TOP SECRET, SECRET, and CONFIDENTIAL material prior to granting physical possession of such material to prospective subcontractors. (This determination may be made at the same time as the FCL determination is made under paragraph 58a.) Such determination shall be based on the following:

(1) the prime contractor's knowledge of the ability of the prospective subcontractor to safeguard adequately the material to be released and produced under the subcontract based on a current contractual relationship involving classified material of the same or higher category as that to be released or produced under the new subcontract, or

(2) the written authorization of the CSO of the prospective subcontractor. In this connection, the prime contractor shall provide the CSO of the prospective subcontractor with available information, such as description, quantity, end-item, and classification of information related to the proposed subcontract and any other factors, in order to assist the CSO in determining whether the prospective subcontractor meets the safeguarding requirements of this manual.

(3) The CSO of the prospective subcontractor shall advise the prime contractor in writing that the prospective subcontractor is or is not physically equipped to safeguard the classified material involved. When necessary action is taken by the prospective subcontractor to provide adequate safeguards, the CSO of the prospective subcontractor shall immediately inform the prime contractor.

(4) Verifications may be requested from the appropriate CSO by message, telephone, or letter. Should the foregoing verifications be requested via telephone, oral confirmation will (normally) be immediately provided. In any event, under normal circumstances written confirmation will be furnished to the requester within 5 working days from receipt of inquiry, regardless of mode. Unless otherwise notified (superseded) in writing by the CSO, each verification furnished in accordance with this paragraph shall remain valid for a period of 1 calendar year from the date of issuance.

(5) Clearance status and safeguarding capabilities of facilities shall be obtained only when a specific procurement need exists.

#### 60. Classification Guidance.

a. Prime contractors have a requirement to inform prospective subcontractors of the category of classification to be assigned the various elements in a subcontract, RFQ, RFP, IFB, or other solicitation. The prime contractor in preparing the DD Form 254 for his or her subcontracts may extract pertinent data from the DD Form 254 pertaining to the prime contract. The DD Form 254 prepared by the prime contractor shall be submitted to the official shown in item 16e of the prime contract's DD Form 254 for approval and distribution, or authorization and instructions for distribution, by the prime contractor. In the absence of exceptional circumstances which clearly support classification, the DD Form 254 will not be classified. If classified supplements are required as part of the security guidance, they shall be identified in item 15 of the DD Form 254 and forwarded by separate correspondence. Classified information shall be so furnished after verifying clearance status and safeguarding ability, in compliance with paragraphs 58 and 59. The provisions of this paragraph do not waive the requirements of paragraph 62.

b. After selection of a subcontractor, the prime contractor shall prepare a DD Form 254 for the subcontract and shall request the official designated in item 16e of the DD Form 254 for the prime contract to approve and sign the DD Form 254 for the subcontract and to make the required distribution. However, with the agreement of the contracting activity, the prime contractor may accomplish the required distribution of the approved DD Form 254. The distribution schedule of the DD Form 254 is included as paragraph 61.

c. When the prime contractor receives a revised DD Form 254 providing additional guidance or a change in guidance, he or she shall prepare a revised DD Form 254 for each subcontractor whose DD Form 254 requires a related change. An ACO/PCO authenticating signature and distribution, or instructions for distribution, of the contractor's DD Form 254 are required. When prime contractors receive notices that reviews have reaffirmed their existing guidance, or receive revised DD Forms 254 that do not require related changes in any subcontractors' DD Forms 254, they shall promptly give written notices of reaffirmation of guidance to each subcontractor involved. This notice of reaffirmation to subcontractors does not require ACO/PCO authenticating signature. Instead, a true copy of the notice of reaffirmation received by the prime contractor, or, when applicable, a true copy of pages 1 and 2 of the revised DD Form 254 received by the prime contractor, annotated by the prime contractor with the statement, "This revised DD Form 254 does not affect your current DD Form 254 dated \_\_\_\_\_," will suffice. In either of the above cases, a signed transmittal letter from the prime contractor shall be attached. Distribution of this written notice of reaffirmation to subcontractors shall be in accordance with paragraph b above. With respect to a MFO, the HOF shall provide the guidance for the revised DD Form 254, or the written notice of reaffirmation of the existing guidance described above, as applicable, to each of its operating facilities affected by the revised guidance or involved in the notice, as the case may be.

d. The prime contractor will receive from the UA a DD Form 254 for each classified item of GFP or GFE issued or authorized for purchase, when such material is not covered by the classification specification issued with the contract. The contractor shall furnish a DD Form 254 providing the classification specification necessary for each of the subcontractors requiring use of classified GFP or GFE in connection with their contracts or negotiations for contracts with the prime contractor.

e. A new DD Form 254 is not required for a follow-on contract or subcontract when the procurement is of a recurring nature, or the end item is not changed and there is no change in the security classification requirements of the contract. However, a copy of the currently valid DD Form 254 for the preceding subcontract shall be furnished and distributed with the follow-on subcontract and annotated in items 3 and 4 to show the contract number and date of the follow-on prime contract and subcontract. Item 6 will also be completed, as appropriate.

f. There is no authorized substitute for the DD Form 254. There are exceptional conditions in which a prime contractor has a serious time limitation in preparing his or her response to a RFP, IFB, or similar solicitation to a UA. In such cases the prime contractor, concurrent with dispatching the DD Form 254 for official U.S. Government approval and signature, may supply an unofficial copy of the same guidance to a prospective subcontractor for the latter's use pending receipt of the approved and signed DD Form 254.

g. A single DD Form 254 may be used to provide the classification specification for an open-end or call type subcontract, except when the individual call, purchase order, or request for services or products requires a different classification specification from that provided for the overall subcontract.

h. The following special provisions are applicable to service, graphic arts, research, or commercial carrier classified contracts.

(1) A DD Form 254, which specifies the highest level of classification involved, but does not provide detailed classification guidance, will be issued under the following circumstances.

(a) The total requirement of the contract is the performance of a service, all of which takes place at a cleared contractor's facility or U.S. Government activity which has and makes available, for use by the contractor performing the service, a currently valid Contract Security Classification Specification, which includes complete guidance for the service to be performed. In such cases, item 15 of the DD Form 254 will be annotated: "Using contractor or activity will furnish complete classification guidance for the service to be performed. The highest level of classification for the contract is (TOP SECRET, SECRET, or CONFIDENTIAL). Contract performance is restricted to (name of facility or location)."

(b) The contractor has no performance requirement involving actual knowledge of, generation, or production of classified information, but has only a requirement to be physically present in an area where classified information is located. Examples include, but are not limited to, contracts calling for guard, alarm, alternate storage, or equipment maintenance services. In these cases, item 15 of the DD Form 254 will be annotated: "Actual knowledge of, generation, or production of classified information is NOT REQUIRED. This document serves as written notice of the letting of a classified service contract. The highest level of classification for the contract is (TOP SECRET, SECRET, or CONFIDENTIAL)."

(c) The contract requirement is limited to graphic arts reproduction and classification markings appearing on the material to be reproduced. These classification markings constitute the required Contract Security Classification Specification. In these cases, item 15 of the DD Form 254 will be annotated: "Reproduction service only. The highest level of classification for the contract is (TOP SECRET, SECRET, or CONFIDENTIAL). Classification markings on material to be reproduced specify the required security guidance."

(2) When a cleared commercial carrier enters into a classified service subcontract with a cleared facility, within the meaning of paragraph (1)(b) above, the carrier, serving as a prime contractor for such purpose, will issue a DD Form 254 to that cleared facility. In any such case, the requirements of paragraphs (1)(b) above and (3) below will apply.

(3) In each of the cases described in paragraphs (1) and (2) above, if a subcontract at any tier is involved, the DD Form 254 for the subcontract will not require authentication by the signature of an ACO/PCO. Instead, the contractor who is the principal prime, or who serves as a prime contractor in relation to a subcontractor in the particular case, will complete and sign item 16. Further, in all cases distribution of the DD Form 254 will be made to the subcontractor involved, his or her CSO, and the contract administration office(s), if designated, of the immediate prime contractor and subcontractor involved.

(4) Where a contract involves research services requiring detailed classification guidance, but it is too early to determine these detailed requirements, item 15 of the DD Form 254 will be annotated: "This is a research contract. The highest level of classification for the contract as a whole is (TOP SECRET, SECRET, or CONFIDENTIAL). A revised DD Form 254 will be issued as soon as possible, to provide detailed security classification guidance."

i. In the case of a subcontract, which is expected to require access only to classified reference material (see paragraph 3bt), an original DD Form 254 will be issued to describe the highest category or various categories of classification of such material to which access will be required and to provide other instructions, as appropriate, for example, the protection of information extracted from such material. Classification guidance concerning reference material is the responsibility of the department or agency having classification jurisdiction over such material at the time it was prepared, or of the current successor in interest of that department or agency. When the prime contractor requires classification guidance for reference material in order to prepare a DD Form 254 for the subcontractor, or for other reasons and needs assistance in identifying the responsible department or agency, he or she shall, by direct communication, seek assistance from the following. \*

(1) The secondary distribution source from which the material was received. Examples of secondary distribution sources are: DTIC, Alexandria, Virginia 22314 and its field extensions; DoD Information Analysis Centers; and the Redstone Scientific Information Center, U.S. Army Missile Command, Redstone Arsenal, Alabama 35808.

(2) The UA contracting office last involved with the contractor concerning the subject matter of the material.

(3) If unsuccessful in identifying the responsible department or agency by communication with (1) and (2) above, the contractor shall seek assistance from: \*

(a) the UA which awarded the prime contract, or \*

(b) the Director for Information Security, OUSD(P).

61. Required Distribution. Original, final, and revised DD Forms 254, supplements, attachments, and written confirmation of existing classification specifications are to be distributed as follows 1/.

1/ Reflect the distribution in the "Required Distribution" block of the DD Form 254. For SENSITIVE COMPARTMENTED INFORMATION contracts, distribution of the DD Form 254 and attachments will be as prescribed by the procuring contracting agency concerned.

- a. For prime contracts:
  - (1) Prime contractor
  - (2) CSO of prime contractor
  - (3) Appropriate ACO
  - (4) Quality assurance representative
  - (5) Official identified in item 12b, DD Form 254
  - (6) Others as necessary
- b. For subcontractors:
  - (1) Prime contractor
  - (2) Appropriate ACO
  - (3) Subcontractor
  - (4) CSO of subcontractor
  - (5) Quality assurance representative
  - (6) Official identified in Item 12b, DD Form 254
  - (7) Others as necessary
- c. For sub-subcontracts:
  - (1) Prime contractor
  - (2) Appropriate ACO
  - (3) Subcontractor
  - (4) Sub-subcontractor
  - (5) CSO sub-subcontractor
  - (6) Quality assurance representative
  - (7) Official identified in Item 12b, DD Form 254
  - (8) Others as necessary

d. For solicitations (IFB, RFQ, RFP), distribution of DD Form 254 for IFB, RFQ, or RFP, will be the same as for the prime contract, subcontract, or sub-subcontract to which the solicitation is related, except that none is to be sent to the quality assurance representative.

62. Notification of Selection. The prime contractor shall immediately furnish in writing to the contracting officer, or his or her designated representative, the names and addresses of each of the subcontractors to be engaged on classified work under a prime contract, and the highest classification of information that shall be released or developed thereunder.

63. Unsatisfactory Security Conditions. If notified by a CSO of unsatisfactory security conditions within a subcontractor's facility, contractors shall follow the instructions they receive from the contracting officer relative to what action, if any, should be taken in order to safeguard classified material relating to their subcontract.

64. Disposition of Classified Information. The subcontractor shall destroy classified material, as provided by paragraph 19, unless the prime contractor requests return or authorizes retention. However, the prime contractor shall obtain the approval of the contracting officer, or his or her designated representative, authorizing a subcontractor to retain classified information.

65. Subcontracting With Foreign Industry.

a. The U.S. has entered into bilateral security agreements with several foreign governments to establish the intent of both parties to protect each others classified information. The U.S. negotiates two basic types of security agreements, the General Security of Information Agreement (GSOIA) and the Industrial Security Protocol. The CSO should be contacted concerning whether a particular country has entered into either type of bilateral agreement.

(1) The General Security of Information Agreement (GSOIA). The GSOIA is a government-to-government agreement, negotiated through diplomatic channels. It states, in substance, that each party to the agreement will afford to the classified information provided by the other the degree of security protection afforded it by the releasing government. It contains provisions concerning the use of each government's information, third party transfers, and proprietary rights. It specifies that transfers of information will be on a government-to-government basis. It provides that both parties agree to report any compromise, or possible compromise, of classified information furnished by the other party. Moreover, the GSOIA states that both parties will permit visits by security experts of the other party for the purpose of conducting reciprocal security surveys. The purpose of such surveys is to determine whether the foreign government has the capability to protect U.S. classified information in a manner that is substantially equivalent to the protection afforded to it by the U.S.

(2) The Industrial Security Protocol. The Industrial Security Protocol is negotiated by the DoD as an annex to the GSOIA, with those foreign governments with which DoD has entered into coproduction, codevelopment, and/or reciprocal procurement arrangements, involving industry. It includes provisions for clearance of facilities and personnel, the handling and transmission of classified material, and procedures for visits.

b. The above-cited security agreements apply only when a contract, subcontract, or other such government approved arrangement, is awarded to a foreign or U.S. contractor by or on behalf of the U.S. Government or the signatory foreign government, as applicable. They do not apply in the case of an industry-to-industry arrangement, unless it is in furtherance of a documented government-to-government cooperative program, for example, a coproduction memorandum of understanding. In such instances, the government-to-government arrangement will stipulate that all classified military information approved for release under the program will be safeguarded, in accordance with the applicable GSOIA and Industrial Security Protocol. If such agreements do not exist with the foreign government concerned, the necessary security provisions are incorporated in the documentation establishing the government-to-government program. Consequently, subcontracts, which require the release of U.S. classified military information, may be awarded to foreign industry only when: (1) the subcontract is in furtherance of a specific government-to-government arrangement, or (2) assurances are obtained through government channels that the government of the country in which the foreign industry resides will assume responsibility for ensuring the security protection of the U.S. classified information involved. All such subcontracts require the approval of the UA having jurisdiction over the classified information involved.



66. Subcontracts Arising From Foreign Classified Contracts. Unless specifically prohibited in the contract, a U.S. contractor awarded a foreign classified contract by a government with which the DoD has entered into a bilateral industrial security agreement may subcontract within the U.S., in accordance with the provisions of this manual, within the country of the contracting foreign government, in accordance with instructions furnished by the designated agency of that government, through the Deputy Director (Industrial Security), HQ DIS. In addition, a U.S. contractor may subcontract within any other country only with the permission of, and under conditions agreed to by, the contracting government, and the government of the country of the subcontractor. These conditions shall be furnished to the contractor through the Deputy Director (Industrial Security), HQ DIS. In those cases where U.S. classified information is involved in the subcontract, the contractor or foreign government, shall, prior to its release to the foreign government, obtain an export letter/license authorization from the Department of State or specific approval of the U.S. UA that originated the information.

## Section VII. CONSULTANTS

67. General. PCL and/or FCL requirements for self-employed consultants to UA activities and contractors shall be determined in accordance with this section. In all cases, self-employed consultants shall have valid PCL's issued in accordance with the requirements of this manual. Consultants are not eligible for access to classified information outside the U.S. and its trust territories and possessions, unless in official travel status of not more than 90 days in any 12-month period. Consulting firms and Type B Consultants shall be processed for a FCL, in accordance with paragraph 21.

68. Consultant -- Type A. The consultant does not possess classified material, except at the using contractor's cleared facility, on the premises of a UA activity, or while on visits authorized under section V. All requirements of this manual apply to the consultant who, for security administration purposes only, shall be considered to be an employee of the UA.

a. The requirement for a separate FCL for the consultant (including the execution of the DD Form 441 and the DD Form 441s by the consultant) shall be waived, provided the using contractor or U.A. activity jointly execute a certificate as follows.

(1) Except in connection with authorized visits: classified material shall not be possessed by the consultant off the premises of the using contractor or UA; the using contractor or UA shall not furnish classified material to the consultant at any other location than the premises of the using contractor or UA, and performance of the consulting services by the consultant shall be accomplished at the activity of the using contractor or UA; and classification guidance will be provided by the using contractor or UA.

(2) The consultant shall not disclose classified information to unauthorized persons.

(3) The using contractor or UA shall brief the consultant as to the security controls and procedures applicable to the consultant's performance.

b. One copy of such certificate shall be furnished by the using contractor to his or her CSO. In the case of a consultant to a UA activity, the certificate shall be retained by the Commander or Head of that activity.

c. The consultant shall complete the forms required by paragraph 26. These forms shall be submitted to DISCO through the UA activity or the contractor for which the consulting service is to be performed. Each application for clearance shall be accompanied by a copy of the certificate prescribed by paragraph a above. The LOC shall be issued to the using contractor or UA activity, as appropriate.

d. Failure to accomplish the certification described above shall require the processing of a FCL, as prescribed by paragraph 21.

69. Consultant -- Type B. The consultant possesses classified material at his or her place of business or residence, the consultant having full responsibility for security of the classified material.

a. A FCL is required for the consultant to cover the premises at which he or she will possess the classified material and perform the consulting services.

b. Consultants of this type shall be considered to be prime contractors to the UA activity, or subcontractors to the using contractor.

c. The provisions of this manual pertaining to contractors or subcontractors, as appropriate, shall apply.

70. Consultant -- Type C. Consultants possess classified material at their regular employer's cleared facility, the consultants and their employer having agreed as to their respective responsibilities for security of the classified material. The clearance status and safeguarding ability of the consultants' regular employer shall be obtained from the employer's CSO, prior to the disclosure or release of any classified information to the consultant.

a. No requirement exists for a separate FCL for the consultant (including execution of the DD Form 441 and the DD Form 441s) or to have an existing FCL raised, provided that the employing facility, and the employee who is acting as a consultant to another contractor or to a UA activity, are both cleared for access to at least the category of classified information as that to which the consultant will require access, and provided the employing facility and the employee jointly execute a letter agreement to safeguard classified information for an employee performing consultant services (see appendix I, paragraph U) by which the employing facility and the employee agree to the following.

(1) Both agree to place classified material, which the consultant-employee must have in his or her possession, into the employing facility's accountability system.

(2) Both agree to incorporate procedures in the employing facility's SPP, which prohibit the dissemination of the classified material within the facility, except that appropriately cleared personnel of the facility may be designated in writing on a strict need-to-know basis to provide the consulting employee clerical, destruction, and reproduction services necessary to his or her performance as a consultant.

(3) Both agree to furnish the employee, who is acting as a consultant, a storage container, so that the classified material may be stored under his or her control. Access to the storage container shall be limited to the employee who is acting as a consultant and the minimum number of employees designated in accordance with paragraph (2) above, which are essential to support the consultant.

(4) Both agree to advise its CSO immediately on any change in the consultant's status as an employee of the facility.

b. One copy of the letter agreement described in paragraph a above, shall be furnished by the employing facility to its CSO, and one copy to the contractor or UA employing the consultant.

c. In the event it is necessary to raise the consultant's PCL to a higher level (not above that of the employing facility), the consultant shall complete the forms required by paragraph 26 and submit them through the employing facility to DISCO with a copy of the letter agreement prescribed in paragraph a above. (If required to be cleared to a higher level than that of the employing facility, the consultant shall be processed for a separate FCL, in accordance with paragraph 69, and required to maintain a security program fully independent of that of his or her employer.)

71. Consultants to User Agencies Employed Under Civil Service Procedures. Security clearances for persons employed as consultants to UA's under civil service procedures normally will be issued under the separate regulations of the UA concerned. However, UA's may process such a consultant for a PCL and/or FCL under the provisions of paragraph 68-70, when deemed desirable.

Section VIII. PARENT-SUBSIDIARY AND MULTIPLE FACILITY ORGANIZATIONS72. Parent-Subsidiary Relationships.

a. When a parent-subsubsidiary relationship exists between two companies, the parent company must have a FCL of the same or higher classification level as the subsidiary company, unless by formal action of its board of directors or similar executive body: (i) it is excluded from access to all classified information held by the subsidiary company, or (ii) it is excluded from access to classified information held by the subsidiary company, which is of a higher classification level than the parent company's FCL. However, if the parent company is under FOCI, exclusion action may not be taken. In such circumstances, the subsidiary company is ineligible for a FCL. (Certain exceptions to this rule can be made when the foreign ownership or control is exercised by a Canadian or U.K. interest. Consult the CSO for details.) Each exclusion action shall be made a matter of record in the minutes of the executive body of both the parent company and the subsidiary company. Two copies of both sets of minutes shall be furnished to the CSO of each cleared subsidiary company, along with a copy of the DD Form 441s, executed independently by the excluded parent company and the subsidiary company. In addition, when officers or directors of a subsidiary hold similar positions with the excluded parent company, they shall execute one of the following certificates, as appropriate: (i) "I understand that the (name of parent company) is not cleared for access to classified information and I certify that I shall not disclose classified information to the (name of parent company) or any of its agents, regardless of my official business or personal association therewith," or (ii) "I understand that (appropriate classification level) is the highest level of classified information which may be disclosed to the (name of parent company) or any of its agents, regardless of my official business or personal association therewith." Official notice of the execution of each such certificate shall be made a matter of record in the minutes of the executive body of the subsidiary company and two copies of the minutes shall be furnished to the CSO of the subsidiary. Two copies of each certificate, executed in accordance with the requirements of this paragraph, shall be furnished to the CSO of the subsidiary.

b. Interchange of classified information and visits between a parent and its subsidiaries, or between the subsidiaries, shall be accomplished in the same manner as an interchange between a prime contractor and a subcontractor. However, in the case of a classified contract awarded to a subsidiary, the subsidiary, as necessary in the performance of the contract, may release classified information to the parent, when required, provided the parent company has an appropriate FCL and safeguarding ability. Moreover, where the parent organization is owned or controlled by a foreign interest, the U.S. subsidiary shall not release U.S. classified information to the parent, except with the express written authority of the contracting UA. In such cases visits between the subsidiary and the parent shall be considered as Category 1 visits, as defined in paragraph 41a. Neither the subsidiary nor the parent may release or disclose classified information, pertaining to the contract of the subsidiary, to other subsidiaries of the parent without specific approval of the contracting officer or his or her designated representative, or unless within the provisions for exceptions set forth in paragraph 5x.

c. In case the parent corporation or its subsidiaries have cleared facilities which are collocated with each other (occupying the same office space or located side by side), the collocated facilities may request CSO approval of a formal written agreement between the facilities to utilize common security services for: (i) personnel security administration, (ii) document control (to include storage), (iii) reproduction, (iv) visitor control, and (v) other similar administrative services. In all cases, the agreement shall be incorporated into the SPP (or appropriate supplement to an SPP) applicable to the facilities involved. The proposed SPP shall be submitted to the CSO as part of the request. The SPP shall establish workable security procedures and clearly fix responsibility for security administration within the collocated facilities. The procedures shall be structured (for example, separate accountability systems) to ensure that the need-to-know principles outlined in the previous paragraph are not violated. One FSO shall be designated for all facilities; the designee shall be considered an OODEP of these facilities and shall require a concurrent clearance at each facility. Appropriately authorized (cleared with a need-to-know) personnel rendering security services shall be designated in the agreement by job title to provide the specific services agreed to. Additionally, procedures may be incorporated into the SPP whereby a machine run or other roster (for example, record of clearance) may be used in lieu of a visit letter, provided such records are maintained in a current status at all times. When combined, the SPP and the roster shall provide the essential information required in paragraph 37d.

73. Multiple Facility Organizations. In the case of a MFO, the contractor (HOF) is responsible for ensuring the adherence, by each of its cleared operating locations, to the terms of the DD Form 441 and the security requirements of each classified contract being performed. A copy of the basic DD Form 441, with "Appendage to Department of Defense Security Agreement," shall be furnished to each facility listed in the appendage and to each CSO concerned. The HOF shall have a FCL of the same or higher level as any cleared facility within the organization. Classified information may be interchanged among the cleared facilities of a MFO, when the contractor determines that such interchange is essential to the fulfillment of a contract. Before the contractor places classified information or work in a facility of his or her organization, it shall have been determined that it has an appropriate FCL and the capability to safeguard the classified material. The contractor shall provide the facility performing the work and its CSO with classification specifications extracted from the DD Form 254 or other appropriate classification guidance. Revised guidance or notice of the reaffirmation of existing guidance, as applicable, shall also be provided. The SPP of a contractor having two or more facilities shall include security instructions, which provide the controls necessary to protect classified information within the organization. These, among other procedures, shall include, but not be limited to, instructions for the transmission of classified information and for visits of the contractor's employees between his or her cleared facilities. Such visits shall be considered as Category 1 visits as defined in paragraph 41a. Within each facility, the SPP shall be adapted, as necessary, to meet local conditions, as prescribed by paragraph 5s. If the contractor elects to have LOC's issued to (i) the HOF or (ii) one or more PMF(s) of the MFO, the HOF or the PMF shall provide the CSO a listing of each subordinate facility (both cleared and uncleared) within its respective area of cognizance wherein a cleared individual(s) is employed or physically located. When a PMF(s) is established, the HOF SPP will specifically reflect that all associated security responsibilities have been delegated

to the PMF(s) for its specifically defined geographical or functional area. In all cases where the aforementioned cleared individuals are employed by or physically located at uncleared facilities falling under the cognizance of the respective HOF or PMF(s), the SPP shall reflect that the HOF or PMF, as appropriate, is responsible for personnel security administration. Such responsibilities will include meeting security education and paragraph 6 reporting requirements for all cleared personnel located and/or employed at these uncleared locations. In order to ensure the security awareness of these cleared personnel, at their respective U.S. uncleared facilities falling within the set CSO boundaries (see appendix VIII), the respective HOF or PMF security supervisor, or his or her appropriately cleared representative, shall visit each of these locations on an annual basis. Regarding the briefing of cleared personnel employed or physically located outside of the CSO boundaries, such briefings will be handled as required in paragraph 97. Other considerations applicable to visits to uncleared facilities are as follows.

a. As an alternative to annual visits to the aforementioned uncleared U.S. locations, the HOF or PMF(s) may develop procedures, which provide: (i) equal or better assurance than annual visits, (ii) that all aspects of personnel security administration will be properly accomplished, (iii) that proper management attention is directed on a continuing basis to this area, and (iv) that responsibility and authority for accomplishment is formally assigned to cleared managerial personnel. Such procedures will be clearly set forth in the HOF's or PMF's SPP, as appropriate, and shall require the approval of the CSO prior to being placed into effect.

b. Records that reflect the accomplishment of these requirements will be maintained as provided for in paragraph 26k.

74. Temporary Help Suppliers.

a. General. A temporary help supplier is a subcontractor who dispatches personnel on his or her payroll to perform work on the premises of the using contractor or UA (see paragraph 5ab). A temporary help supplier and his or her field, branch, or associate offices having a valid parent-subsubsidiary or MFO relationship are covered in paragraphs 72 and 73 respectively. The following paragraphs are concerned with:

(1) a temporary help supply licensor (hereinafter referred to as the licensor) who grants licenses or franchises to other individuals or firms to use the name, administrative support, methods of operation, or style of the licensor in a specific geographic area; and

(2) a license or franchise holder (hereinafter referred to as a licensee) who owns and operates a legal entity separate and distinct from the licensor, and is licensed or franchised to do business under the name, method of operation, or style of the licensor.

b. Where the temporary help personnel are actually employees, and on the payroll, of the licensee, the licensee may be granted a FCL as provided for in this manual.

c. Where the temporary help personnel are employees, and on the payroll, of the licensor, normally there would be no valid basis for the licensee to be granted a FCL. As an alternative, a FCL may be granted in the name of the licensor at the address of the licensee, if there is a valid requirement for employees of the licensor to have access to classified information at a contractor facility or UA activity, provided that:

- (1) the licensor has a FCL at its HOF; and
- (2) an employee of the licensor located on the premises of the licensee is appointed as FSO for the licensor; or
- (3) an employer-employee relationship is established between the licensor and at least one or more employees of the licensee through execution of a separate written agreement between the parties, or by the insertion of a clause in the franchise or license agreement. The agreement or clause shall specifically provide that, for a consideration, one or more employees of the licensee will act as FSO for the licensor in the territory covered by the license or franchise. One signed copy or certified true copy of the agreement or clause shall be furnished by the licensor to the CSO concerned.

d. If the provisions of paragraphs c(1) and (2), or c(1) and (3), above are followed, a FCL may be granted to the licensor at the address of the licensee. This location will, for industrial security purposes, be considered as an operating facility of a MFO. Among other things, the SPP of the operating facility shall specify the functions and responsibilities of the FSO and the procedures for:

- (1) processing PCL's including the granting of company CONFIDENTIAL clearances by the FSO;
- (2) accomplishing the requirements of paragraphs 5 and 6 which relate to its (temporary help) personnel; and
- (3) processing visit requests dispatching its temporary help personnel to the using contractor's facility as Category 1 visits (see paragraph 5ab and 41a).

e. When a licensee has a license or franchise agreement with more than one licensor, a FCL may be issued in the name of each licensor. Similarly, if a contractor is engaged in a business which requires a FCL in connection with such business and, in addition, is a licensee for a temporary help supplier, a FCL may be issued in his or her own firm's name and one in the name of the licensor.

Section IX. SENSITIVE COMPARTMENTED INFORMATION AND COMSEC INFORMATION

75. SENSITIVE COMPARTMENTED INFORMATION.

a. The provisions of this manual apply to research, development, and production of SENSITIVE COMPARTMENTED INFORMATION. In addition, special security requirements supplementing this manual will be prescribed by the contracting department for SENSITIVE COMPARTMENTED INFORMATION contracts, except that, for SENSITIVE COMPARTMENTED INFORMATION contracts awarded by military department procurement activities for the NSA, the NSA will prescribe the special security requirements.

b. In the case of SENSITIVE COMPARTMENTED INFORMATION contracts awarded by military department procurement activities for the NSA, the NSA shall be responsible for exercising security controls over the contract.

c. In the case of SENSITIVE COMPARTMENTED INFORMATION contracts awarded by and for a military department or DoD Agency, an activity designated by the contracting military department or DoD Agency shall be responsible for exercising security controls over the contract.

d. Access to SENSITIVE COMPARTMENTED INFORMATION will be granted to contractor employees requiring access by the activity designated to exercise security controls over the contract as provided above.

e. Denial or revocation of authorization for access to SENSITIVE COMPARTMENTED INFORMATION is not appealable.

76. COMSEC Information. The contractor shall protect COMSEC information in accordance with the requirements of the DoD 5220.22-S-1 (CSISM).

Section X. GRAPHIC ARTS

77. Special Requirements for Graphic Arts. This section of the manual provides specific security measures for the safeguarding of classified information during the development stages, performance of service, or production of material by the graphic arts industry. The security measures apply whether the work is performed by the prime contractor on his or her premises or subcontracted to a graphic arts facility.

78. Production Control Records. While the production control records remain with the classified job to which they relate, they shall be: (i) plainly and conspicuously marked or stamped at the top and bottom with the same classification as the material being produced, or (ii) unless the production control record itself contains classified information, covered over with a cover sheet conspicuously marked or stamped at the top and bottom with the same classification as the material being produced. In either case, the additional markings required by paragraph 11b(8) shall be applied, as appropriate. Production control records or cover sheets shall be marked with a notation indicating that they are unclassified when separated from the classified material being produced, unless they contain or have attached thereto classified information. The contractor may, at his or her discretion, use the production control records as the records required by paragraphs 12 and 18, provided they contain the required information and are retained for the period of time specified in paragraph 12.

79. Area Controls -- Additional Requirements. During the layout, composition, platemaking, presswork, and bindery stages of the production of classified material, controls shall be established to deny unauthorized personnel access to the immediate area in which such work is being performed. In the event the safeguarding requirements prescribed in paragraph 16 are insufficient for this purpose, such areas shall be designated as restricted areas and shall be controlled in accordance with the provisions of paragraph 34b. Additional requirements are as follows.

a. Pressrooms. While the press is being made ready or being run, the press itself shall be identified and marked the same as the classified information being run. The press shall remain so identified until the run has been completed and all classified material removed. Marking and identification of the press is not required for press runs of short duration, provided the run is completed prior to the end of the workday. Plates, blankets, chases, and the like, need not be removed from the press at close of working hours, when the press run is incomplete, provided the area meets the requirements of paragraph 34a(3).

b. Composition Areas. Linecasting (for example, intertype and linotype) and photocomposition machines shall be identified and marked the same as the classified information being set in type, except for jobs of short duration completed prior to the end of the working day. Slugs (that is, lines cast on a linecasting machine), coded tapes, ribbons, negatives, and so on, need not be removed from the machines at the close of the workday when the composition is not completed, provided the area meets the requirements of paragraph 34a(3).

c. Bindery Area. Bindery areas shall be secured by the same method as pressroom areas.

d. Darkrooms. Admittance to all film processing units shall be restricted to cleared personnel who are assigned to the particular job or jobs involving classified information.

e. Proofreading Areas. Proofreading areas shall be controlled by physical barriers capable of preventing visual or audio access and entrance by unauthorized persons.

f. Shipping Entrances. Shipping entrances shall be secured when classified information is in the area. Loading and unloading operations shall be performed under the supervision of a cleared employee of the contractor.

80. Special Conditions.

a. Overruns. All assembled copies of printed material not spoiled during a printing operation, which are in excess of the number of copies ordered, shall be designated as overruns. Overruns shall be held to a minimum. An exact count of the overruns shall be maintained and they shall be accounted for as prescribed in paragraph 12. Overruns shall be transmitted to the customer with the balance of the job or promptly destroyed in compliance with the provisions of paragraph 19a through e <sup>1/</sup>.

b. Proofs. A record shall be kept of the number and disposition of proofs. Galley or page proofs approved by the customer shall be retained until the product is delivered, and shall be returned to the customer along with the original manuscripts <sup>1/</sup>.

c. Waste Disposal. The contractor shall provide properly identified waste containers at each production point at which waste, spoilage, trimmings, or cuttings accumulate. Waste shall include paper stock used for press make-ready, spoilage during running, printed copies spoiled during bindery make-ready, or excess copies of individual pages that are not to be assembled to form a complete product. Waste containers shall be adequately safeguarded and the waste promptly destroyed, in accordance with paragraph 19f. Waste shall not be retained in production areas during nonworking hours.

d. Return of Samples. All graphic arts samples (that is, classified material furnished by the customer for reproduction) shall be returned to the customer immediately after the completion of the work <sup>1/</sup>.

<sup>1/</sup> Where the classified production has been accomplished on the premises of the contractor, as opposed to being done by a graphic arts subcontractor, the disposition of overruns, proofs, samples, and other material, except for waste used in the production of the job, may be delayed until the completion or termination of the contract concerned.

e. Bulk Shipment. Graphic arts products that are shipped in bulk in double containers will be stacked in the inner container face up. A cover sheet shall be placed on top of the material before sealing the inner container. The contractor shall maintain a record of the quantity shipped in each container, and when copies are serially numbered, the contractor shall number the inner containers, and the record shall show which serial numbers were packed in each container. Such records shall be incorporated into the control station records maintained in accordance with paragraph 12. The classification markings and, if appropriate, the notations prescribed in paragraph 11b(8), shall be applied on all outside surfaces of the inner container. Outer containers shall be sealed by wire stapling or by tape, so that tampering will be evident. No markings shall be made on the outer containers, which will in any way indicate that the package contains classified material. Address labels will be placed on the top surface of both containers, and receipts will be placed inside the inner container.

f. Materials Used in Production.

(1) All materials used in production, which contain classified information (that is, negative flats, layouts, masters, dummies, vellums, stencils, composition tapes, proofs, tympan sheets, negatives, type, plates, and so on), shall be safeguarded, in accordance with paragraphs 14 and 16, and immediately after completion of the work, destroyed in accordance with paragraph 81, or returned to the customer along with the job on which they were used <sup>1/</sup> (see paragraph 12f for accountability requirements).

(2) Rubber blankets, after use in a classified production, may be reused on classified and unclassified production, provided they are properly washed and safeguarded, in accordance with paragraph 16. The rubber blankets shall be identified as required in paragraph 11c and the classification shall at all times reflect the highest category of classified information for which the rubber blanket has been used (see paragraph 12f for accountability requirements). When no longer serviceable, or reuse is not desired, rubber blankets used for classified productions shall be destroyed as prescribed in paragraph 19c.

(3) Plates and other than rubber blankets used on a classified production shall not be reused, and shall be destroyed as prescribed in paragraph 81. A contractor is not authorized to turn over classified plates to a subcontractor for the sole purpose of regraining such plates. Moreover, the regraining of plates shall not be considered as an authorized method of destruction under paragraph 81.

(4) "Rollers" and other parts of presses, which retain impressions of classified information during the printing stages, shall be cleaned to remove the classified information on completion of the run.

81. Destruction -- Special Requirements. Classified material used in the reproduction process shall be destroyed, in accordance with paragraph 19c, except that:

a. classified information on metal foundry and wooden type shall be considered as having been destroyed when the type is redistributed in the type case; and

b. classified information on glass negatives shall be destroyed by dissolving the emulsion or by pulverizing.

#### 82. Mailing Lists.

a. Classified. When a mailing list used for the distribution of unclassified material is classified, the material shall be protected as though classified (markings not required), until separated from the classified mailing list during the production process or at the point of mailing or shipping.

b. Unclassified. When a mailing list used for the distribution of classified material is unclassified, the list shall be protected as though classified (markings not required), until separated from the classified material during the production process or at the point of mailing or shipping.

c. Related Material. When classified mailing lists are prepared or maintained by a contractor, all material which retains an impression of the addresses, such as carbons, addressing plates, identification strips, and verification lists, shall be classified and safeguarded accordingly.

#### Section XI. NATO INFORMATION

83. Application. This section of the manual provides for the additional security measures that have been established for the safeguarding of NATO classified information. The provisions contained in this section supplement the provisions of sections I through X of this manual. These additional security measures apply whether the NATO classified information is in the possession of the prime contractor or in the possession of his or her sub-contractor(s). The provisions of this section do not apply to U.S. documents which contain NATO information (see paragraphs 11b(8)f and 11e(2)). \*

84. Authority. The requirements of this section reflect the security procedures established by the U.S. Security Authority for NATO for the safeguarding of NATO classified information in the possession of U.S. industry.

#### 85. Supervision and Orientation Requirements.

a. The FSO is responsible for supervising and directing security measures for safeguarding NATO classified information. \*

b. The contractor shall maintain a separate record of all employees located at the facility who have been authorized access to NATO classified information, in addition to the clearance record required by paragraph 28.

c. The contractor shall notify all employees who will have access to NATO classified information of the following. \*

(1) The term "NATO classified information" used in this section applies to classified information circulated within and by NATO, including information released by member nations into the NATO security system, as well as information originated in the organization itself. However, classified information contributed by a member nation remains the property of the originating nation, even though it is circulated in a document belonging to NATO. \*

(2) The marking "NATO" on a document is used to signify that the document is the property of NATO. This marking will be applied to all copies of documents classified SECRET, CONFIDENTIAL, and RESTRICTED that are circulated within NATO. The marking of "COSMIC" also signifies that the document is the property of NATO, and is applied exclusively to all copies of TOP SECRET documents circulated within NATO. \*

(3) COSMIC TOP SECRET documents, NATO SECRET documents, and NATO CONFIDENTIAL documents shall be protected according to the rules in other sections for TOP SECRET, SECRET, and CONFIDENTIAL material and the additional rules prescribed in this section. NATO documents marked "RESTRICTED," which are furnished to the contractor, shall be marked and protected as prescribed in paragraph 11e. \*



d. The contractor shall bring to the attention of all employees, who \* will be authorized access to NATO classified information, their continuing individual responsibilities for safeguarding NATO classified information; further, they shall be advised that when they are in other NATO countries they may be subject to the laws of those countries that pertain to the handling of classified information. When access to COSMIC TOP SECRET information is involved, employees shall sign certificates to the effect that they have been briefed on their responsibilities for safeguarding COSMIC TOP SECRET information.

86. Security Clearances.

a. A final PCL granted by DISCO for a U.S. citizen is valid for access to NATO information of the same or lesser security classification, provided the individual has been given a security briefing, in accordance with paragraph 85d above. Immigrant aliens or aliens issued reciprocal PCL's are not authorized access to NATO classified information (see paragraph 20c, 24a(2), and 31c).

b. All contractor employees who require access to NATO information classified CONFIDENTIAL or higher shall be cleared by DISCO (see paragraph 24a(1)(c)).

c. Applications for PCL's for employees who are U.S. citizens and require access to NATO CONFIDENTIAL information or higher shall be made by the contractor, in accordance with paragraphs 24, 26, and 27.

d. An interim CONFIDENTIAL or interim SECRET clearance granted by DISCO is not valid for access to NATO information classified CONFIDENTIAL, or above.

e. Contractor employees who require access to NATO RESTRICTED information shall be cleared by the contractor, in accordance with paragraph 24b.

87. Reproduction, Preparation, and Marking.

a. Requirements in paragraph 18 and section X apply equally to the reproduction of NATO classified documents. In the case of COSMIC TOP SECRET information, reproduction requests shall be forwarded to the Central U.S. Registry (CUSR) for authorization. (Address: Chief, CUSR, Room 1B889, The Pentagon, Washington, D.C. 20310)

b. Except for COSMIC TOP SECRET material, special permission is not needed to include references to, extracts from, or paraphrases of NATO classified documents in other documents, which the contractor must prepare in performance of the NATO contract.

c. Requirements in paragraph 11 apply equally to the marking of NATO classified documents. A SECRET, CONFIDENTIAL, or RESTRICTED document that is reproduced from a NATO document shall be marked NATO at the top and bottom, in addition to the classification markings. A TOP SECRET document that is reproduced from a NATO document shall be marked COSMIC at the top and bottom, in addition to the TOP SECRET MARKING.

d. When NATO classified information is included in other documents, the NATO classified information shall be identified within the document by marking each paragraph with the appropriate NATO marking. Moreover, a statement will be included on the cover or first page, as applicable, that the document contains NATO classified information.

88. Transmission of NATO Material.

a. When NATO SECRET or CONFIDENTIAL material is prepared for transmission and an inner container is required by paragraph 17a, that container shall be marked NATO, in addition to the classification marking. When transmitting NATO TOP SECRET material the inner container shall be marked "COSMIC TOP SECRET," in addition to the "TOP SECRET."

b. The transmission of NATO classified information within the U.S. shall be in accordance with the procedures set forth in paragraphs 17b, c, and d, except that the minimum requirement for mailing NATO CONFIDENTIAL information is U.S. Registered Mail.

c. All NATO classified information furnished to a U.S. contractor in connection with a U.S. classified contract shall be transmitted to destinations outside the U.S. only with the authority of the contracting officer. If such information is to be returned to the U.S., approval of the contracting officer is not required.

(1) COSMIC TOP SECRET transmitted to or from the U.S. shall be transmitted to the Chief, CUSR, Room 1B889, The Pentagon, Washington, D.C. 20310, by one of the methods authorized by paragraph 17b for forwarding to the intended destination.

(2) NATO SECRET and NATO CONFIDENTIAL information transmitted to or from the U.S. shall be transmitted by the contractor via one of the means authorized in paragraph 17e, with the following exceptions: Canadian postal channels cannot be used to transmit NATO classified material; information transmitted to a NATO activity outside the U.S. shall be transmitted to an appropriate U.S. activity for forwarding to the NATO activity; NATO classified information coming to the U.S. shall be transmitted through an appropriate U.S. Government activity to the U.S. contractor.

d. NATO classified information furnished to a U.S. contractor in connection with a NATO command or agency, or NATO member nation's classified contract or project, shall be transmitted to destinations outside the U.S. only with the authority of the contracting officer. Hand-carrying of NATO RESTRICTED, CONFIDENTIAL, and SECRET material across international borders may be authorized by the CSO, provided an urgent situation exists, such as a need exists for personnel to travel on short notice, time does not allow documents to be sent ahead by approved secure means, and copies cannot be made available locally at the travelers destination. The contractor shall notify the CSO of the urgent situation, which necessitates the need to hand-carry the material, and request the CSO to approve this exception. The CSO may issue a NATO "Courier Certificate" for the appropriate cleared contractor employee to hand-carry the NATO material, provided: (i) the employee is to be routed via U.S. flag or other NATO member nation air carrier, (ii) the route taken to the NATO country destination is not to be over a Communist

country, nor will the aircraft land in a Communist country, and (iii) if travel will be taken by surface means, it will not be through a non-NATO member nation. The CSO will affix a proper stamp to the certificate, as well as the authorizing signature of a designated official of the CSO.

(1) Pre-Travel Procedures. Prior to issuing a NATO "Courier Certificate," the contractor shall ensure that the following steps are taken.

(a) All reasonable steps have been taken to make other arrangements for delivery of the NATO material to its destination; that is, the existing availability of the information at the destination.

(b) The employee designated to carry the material is cleared to the level of the classification of the information to be hand-carried.

(c) The employee has been provided the location of secure storage facilities on the premises of NATO commands or agencies, or a NATO member nation including U.S. Government installations.

(d) A suitable container, which can be retained in the employee's possession at all times, will be used to secure the material in transit.

(e) The package is properly sealed, and an accounting has been made of the contents.

(f) The details of itinerary with a specimen of the seal used will be completed by the government.

(g) The employee has been properly briefed by the U.S. Government on his or her responsibilities, as well as on emergency safeguard procedures and has read and signed the NATO "Briefing Certificate." The briefing certificate shall be retained for 1 year.

(2) Packaging. Each package to be hand-carried shall contain only NATO classified material through NATO SECRET. The FSO or designee shall personally inspect each proposed shipment to verify its contents. The material shall be packaged, as provided for in paragraph 17, and shall bear an appropriate seal on the exterior of the package. The seal shall also be affixed to the details of itinerary column adjacent to each stage of the trip listed on the itinerary sheet. The seal will be placed under the line "Specimen of Seal Used." The name and address on the package must be that of the sender and addressee, if different from that of the employee hand-carrying the material.

(3) Seals. The contractor will have a NATO, U.S. Government, or company seal affixed by a representative of the CSO or other authorized U.S. Government official approved by the CSO.

(4) Custody. In the event it is necessary to store the package, as provided for in l.c. above, a receipt shall be obtained for the material. On arrival at the destination and delivery of the package, a receipt shall also be obtained. It will be the responsibility of the recipient to sign the receipt for the contents of the package. The receipt for the contents of the package may be returned to the sender by mail or turned over to the contractor employee who hand-carried the package.

(5) Customs Search. If an official insists that the package be opened regardless of the NATO "Courier Certificate" and the employee's claim to exemption, the employee should open the package, but only to the extent that the customs official can confirm that NATO classified documents are contained therein. The employee shall request that the customs official both reseal the package in his or her presence and provide written evidence of the incident. The courier shall make a full report of the incident to the FSO on returning to the facility.

(6) Return Travel. Should the employee be authorized to carry the same documents on the return journey, the NATO "Courier Certificate" shall so state and an accounting shall be made by the contractor on the employee's return. In the event a NATO command or agency, or a NATO member nation or one of its contractors, wishes to have the employee hand-carry NATO classified material back to the U.S., the employee will follow the procedures established by the requesting NATO command, agency, government activity, or contractor. Procedures for hand-carrying NATO classified material across international borders are similar, since they are based on requirements established for all member nations by NATO.

e. All NATO classified bulky material, of any category, shall be sent through channels established by the CSO on instructions from the Deputy Director (Industrial Security), HQ DIS.

#### 89. Functions of the Contracting Officer.

a. When a U.S. contractor enters into precontract negotiations involving NATO classified information with a U.S. contracting officer, the contractor shall obtain his/her instructions from the contracting officer concerned, as prescribed in this manual.

b. When a U.S. contractor enters into precontract negotiations with a NATO government other than the U.S., a contractor of such NATO country, or a NATO international body requiring that the contractor have possession and access to NATO classified information in the U.S., the U.S. contractor shall request the necessary instructions from the contracting officer of such NATO country or international body.

90. NATO Reporting Requirements. The contractor shall immediately report, through the CSO to the Chief (CUSR), Room 1B889, The Pentagon, Washington, D.C. 20310, receipt of COSMIC TOP SECRET information from a source outside the U.S., when the information has not been transmitted via the CUSR. A copy of the report shall be sent to the Deputy Director (Industrial Security), HQ DIS. The contractor shall report to the CSO receipt of NATO SECRET or CONFIDENTIAL

information from any source other than through a U.S. Government activity, unless the information is received in connection with approved visits (for example, attendance at a bidders' conference).

91. Subcontracting. Prior to negotiating a NATO classified subcontract in the U.S. or in another NATO country, a U.S. prime contractor shall obtain permission to negotiate such a subcontract from the contracting officer who let the prime contract or his or her designated representative.

## Section XII. OVERSEAS OPERATIONS

### Part 1. ACCESS TO U.S. CLASSIFIED INFORMATION

#### 92. General.

a. This part sets forth access, safeguarding, and notification requirements for cleared U.S. citizen employees of U.S. contractors assigned to duty stations outside the U.S. These requirements also apply to U.S. citizens who, in addition to being cleared as employees of cleared U.S. contractors, are also dual-status employees of foreign subsidiaries, which are wholly owned and controlled by cleared U.S. facilities.

b. This part does not apply to:

(1) uncleared employees of cleared U.S. contractors who are stationed outside the U.S.;

(2) U.S. citizens who are RFI's or employees of foreign subsidiaries of cleared U.S. facilities, but do not hold dual-status employment with the owning or controlling U.S. facility; and

(3) representatives (not employees) of cleared U.S. contractors.

c. Cleared employees of U.S. contractors stationed overseas are encouraged to attend periodically scheduled security briefings conducted by the OISI. These briefings are designed to familiarize the employees with the international aspects of the DoD Industrial Security Program and the security requirements unique to the foreign countries in which the contractor does business.

93. Access to Classified Information. Contractors are authorized to grant access to U.S. classified information to their cleared employees who are assigned overseas, subject to the following rules.

a. Access to U.S. classified information identified in this paragraph shall be granted only with the prior written approval of the UA having primary interest if the information concerned is:

(1) TOP SECRET information,

(2) RESTRICTED DATA or FORMERLY RESTRICTED DATA,

(3) COMSEC and SENSITIVE COMPARTMENTED INFORMATION (see paragraph 6, CSISM and section IX, ISM,

(4) special access programs information (see paragraph 5t), and

(5) information for which foreign dissemination has been prohibited in whole or in part.

b. Access shall be limited strictly to that information required by the employee for performance of the specific duties or contracts for which he or she is assigned overseas. Further, access to U.S. classified information under

this section shall be made, to the maximum extent practical, on an oral or visual basis. When physical access is to be granted to an employee, the appropriate safeguarding provisions set forth in paragraph 94 shall be strictly complied with.

c. Access to U.S. classified information for cleared employees assigned overseas may be granted both in the U.S. and overseas.

d. Access to U.S. classified information granted to a cleared employee of a cleared U.S. facility, who is also an employee of a U.S. wholly owned and controlled foreign subsidiary of such a facility, is granted only in his or her capacity as an employee of the cleared U.S. facility. The contractor granting the access is responsible for ensuring that the employee provides adequate safeguards for any classified information disclosed to such employee. In addition, the contractor shall take action, as appropriate, to ensure that U.S. classified information entrusted to the employee is not further released or made available to other employees of the foreign subsidiary.

94. Safeguarding U.S. Classified Information. The following additional safeguards are prescribed in connection with U.S. contractors' overseas operations.

a. Security Classification Guidance. The contractor shall provide security classification guidance to employees performing outside of the U.S. on a classified contract, project, or mission. As a minimum, such guidance shall consist of the DD Form 254, when a classified contract is involved, and shall cover all classified information relating thereto.

b. Transmission. Transmission of classified material to a cleared contractor employee located outside the U.S. shall be strictly in accordance with paragraph 17e. The material shall be addressed to a U.S. military activity or other U.S. Government activity, and shall be marked for the attention of the contractor or the employee for whom it is intended. The U.S. Government activity will notify the contractor or contractor employee of the receipt of the material. Classified material will be transmitted only through U.S. Government channels. Normally, transmission will be by Registered Mail through the U.S. Military Postal Service, or by the ARFCOS. However, the contracting officer may authorize any of the other approved methods of transmission described in paragraph 17e. If disclosure authorization is required and has been obtained, it should be cited in the transmission document with the effective dates and any other limitations. The contractor shall make prior arrangements for the storage of U.S. classified material with a U.S. military installation, the OISI, a military attache, a MAAG, an ODC, or a U.S. diplomatic or consular officer prior to transmitting U.S. classified material overseas.

c. Custody and Storage.

(1) Personnel authorized access to U.S. classified material overseas will normally be permitted such access at a U.S. Government activity only. The storage of U.S. classified material overseas at any location other than a U.S. military installation or U.S. Government controlled installation is prohibited.

(2) If in the performance of a contract, project, or mission it is necessary for a contractor employee to physically require temporary custody of U.S. classified material, authorization for removal shall be obtained from the U.S. Government activity. When such custody is authorized, the employee is responsible for personal possession and surveillance of the material at all times. Immediately following the purpose for which the material was needed and the removal was authorized, but in all cases prior to the end of the workday, the material is to be returned to the U.S. Government activity for storage purposes. Movement of the material while in the employee's custody shall be governed by the provisions of paragraph 17h.

d. Disclosure. Except as provided for in paragraph 48, contractor personnel are not authorized to disclose classified information to any foreign government, commercial activity, or entity, or to an international pact organization or its representatives. Cleared contractor personnel overseas may, however, disclose classified information:

(1) to another cleared employee within their company who has been granted a LOC at the required level and who has a need-to-know for access to the information concerned;

(2) to any appropriately cleared military or civilian member of a U.S. UA who has a valid need-to-know; and

(3) outside the contractor's organization within the U.S. only in accordance with this manual, and outside the U.S. only in accordance with instructions from the contracting office of the UA.

95. Overseas Assistance.

a. The DoD has established the OISI to provide administrative assistance for industrial security purposes to U.S. industry in their marketing, liaison, and technical assistance activities outside the U.S. The OISI operates under the supervision and direction of the Deputy Director (Industrial Security), HQ DIS. The OISI acts as a central file for information pertaining to security clearances and security assurances for U.S. contractor employees located outside the U.S. Such information from the file is available for official use by agencies and activities of the U.S. Government, foreign government, NATO, and U.S. contractors. OISI conducts inspections of contractor operations on U.S. installations outside the U.S., when authorized by the Deputy Director (Industrial Security), HQ DIS.

b. The OISI assists U.S. industry by: (i) arranging classified visits for U.S. contractor employees; (ii) providing storage for classified material; (iii) providing mail channels for transmission of classified material between a contractor in the U.S. and an approved destination outside the U.S., when specifically authorized by the Deputy Director (Industrial Security), HQ DIS; (iv) providing security briefings and security certificates, as appropriate; and (v) providing assistance on security matters, such as visits to military activities or contractors outside the U.S.

c. The civilian street address of OISI is: Office of Industrial Security, International, Steenweg Op Leuven 13, 1940 St. Stevens-Woluwe, Brussels, Belgium; the telephone number is 0-322-720-8259. The APO address is: OISI,

APO New York 09667. U.S. Government cable address is: OISI, BRUSSELS, BELGIUM; other cables: OISI, American Embassy, Brussels, Belgium. TELEX address is OISI: American Embassy, 21336 Brussels, Belgium.

96. Notification of Overseas Assignment.

a. Whenever a contractor assigns a cleared employee to an overseas duty station, the contractor shall furnish the following information to DISCO on DISCO Form 562: full name, social security number, date and place of birth, level of access to U.S. classified information required overseas, passport or ID number, name and address of his or her new duty station overseas, and notice that the briefing required by paragraph 97 has been accomplished.

b. On receipt of this information, DISCO will forward a copy of the employee's LOC to OISI, when the employee is assigned to an overseas location within the geographical jurisdiction of OISI. Subsequently, the contractor is required to provide written notice to DISCO and OISI, when appropriate, of any permanent change of mailing address in the overseas duty station of its employees, the reassignment of an employee to the U.S., or other changes in status as reflected in paragraph 6b(2).

c. Residence or assignment of cleared immigrant aliens outside the U.S. for a period of 90 consecutive days or more in any 12-month period negates the basis on which the LOC was issued, and the LOC will be administratively terminated without prejudice by DISCO on receipt of the contractor notification as outlined in paragraph 6b(6).

97. Security Briefings and Certificates.

a. Cleared employees who are to be assigned to duty stations outside the U.S. are to be briefed on the security aspects of their new positions. These briefings are the responsibility of the contractor. If access to NATO classified information is or may be involved, the briefing shall also cover NATO security requirements as described in section XI.

b. Each cleared employee assigned overseas shall execute and have witnessed a certificate attesting to the following.

(1) The employee has received a security briefing and understands his or her responsibilities.

(2) The employee will safeguard classified information, in accordance with prescribed security standards.

(3) The classified information to which he or she has been granted access will be used only for the purpose for which released.

(4) The employee understands and accepts the fact that his or her LOC may be suspended or revoked for violation of security regulations or improper use of classified information.

(5) The employee understands that he or she may be subject to action under the espionage statutes of the U.S., with respect to the classified information to which access is granted.

(6) The employee also understands that on termination of the purpose for which he or she has been granted access, the employee's responsibilities for safeguarding the classified information continue unabated until the security classification is removed by appropriate government authority. The executed and witnessed briefing certificate shall be retained by the contractor for the duration of the overseas assignment.

c. Subsequent to the initial security briefing, each individual shall be given an annual refresher briefing. A certificate similar to that described above shall be executed annually and maintained as long as the individual is assigned overseas. The certificate shall be modified as necessary to reflect any change in the nature and extent of the classified information to which the individual requires access, and the scope and nature of the threat to which the overseas activity may expose the individual.

d. Normally, refresher briefings should be accomplished on the temporary return of employees to the U.S., or by a security representative of the contractor stationed overseas or on visits overseas. When this is not practical, the briefing and execution of the certificate may be accomplished by OISI at the request of the contractor. Outside of areas serviced by OISI, the contractor may obtain a written briefing statement by mail from the employee.

e. The contractor shall ensure that a company SPP, or supplement thereto, is prepared to cover security procedures at the contractor's overseas locations.

Part 2. ACCESS TO CLASSIFIED INFORMATION OF FOREIGN GOVERNMENTS AND INTERNATIONAL PACT ORGANIZATIONS UNDER A SECURITY ASSURANCE

98. General. In its relations with friendly and allied foreign governments, the U.S. has entered into various treaties and agreements whereby each signatory government agrees to safeguard the classified information released to it by the other government. These range from simple bilateral agreements providing that each government will safeguard, in accordance with mutually agreed procedures, the classified information released to it by the other government, and that the information will not be disclosed to a third country without the consent of the originating government, to multilateral treaties establishing international organizations for concerted defense. Such treaties usually contain either a technical annex establishing the detailed procedures and standards for safeguarding classified information originated or disseminated by the organization, or provisions authorizing the organization to establish mutually agreeable regulations for safeguarding such information.

a. Access to classified information of a foreign government or international pact organization (for example, NATO) is granted by the activity possessing the information, and the scope of access is governed by the regulations of the activity possessing and disclosing the information. Hence, this part prescribes no specific limitations on the access to classified information of foreign governments or international pact organizations, which may be afforded an individual under a security assurance determination. The responsibility for release of the information rests with the foreign activity or international pact

organization, or with the contractor, if the information had previously been released to him or her directly by the foreign government, the prime contractor, or an international pact organization without going through government channels.

b. A contractor, or contractor employee, granted access to foreign or international pact organization classified information must take note of the limitations prescribed relative to the further dissemination of such information. For example, NATO classified information cannot be stored in non-NATO countries or released to nationals of non-NATO countries, nor can NATO classified subcontracts be let to contractors of non-NATO countries. Foreign countries normally have restrictions on the disclosure and dissemination of their classified information to nationals of a third country.

99. Security Assurance. This paragraph establishes the procedures to assist U.S. cleared contractors in meeting personnel security requirements imposed by friendly and allied foreign governments and international pact organizations with whom the U.S. has entered into either a bilateral or multilateral security agreement for access by U.S. citizens to foreign classified material, which is under the control of the foreign government or organization.

a. The contractor may make application for a security assurance by submitting a written request containing the information required by paragraph (3) below. On application by the U.S. contractor, DISCO will issue a security assurance for currently cleared contractor employees. If the employee does not have a valid LOC, the contractor will submit the following to DISCO:

(1) the forms prescribed in paragraph 26c 1/; or

(2) two copies of DD Form 48-3 1/, if there has been less than a 12-month lapse in a prior employment at which time the employee was granted a LOC; and

(3) a written request containing the following information:

(a) the title of the position and summary of the duties of the individual for whom the request is made;

(b) the name and location of the overseas office or activity to which the individual is assigned or attached for duty;

(c) the employee's passport or ID card number, if available;

1/ Under Item 11 of DD Form 48 or 49, or Item 7 of DD Form 48-3, the applicant shall list both his or her overseas residence and permanent U.S. residence, if one is maintained. In addition, under Item 12 of DD Form 48-3, the applicant shall list all previous overseas residences. Under Item 16b of DD Form 48, Item 16 of DD Form 49, or Item 11 of DD Form 48-3, the applicant shall show the names and addresses of all firms or foreign government activities with which the applicant is associated, the relationships and duties in connection therewith, and the nationality of the controlling interests of the firms involved.

(d) a justification 2/ for the request, which identifies the activity or the subject matter of the proposed visit, sales activity, or contract that will require a security assurance; and

(e) a statement providing the name and address of the foreign government activity or international pact organization, requesting the U.S. security assurance and the level of access required. If access to U.S. originated, and appropriately marked, classified information will be granted to the employee by the foreign requester, the contractor will execute and maintain one copy of the briefing certificate prescribed by paragraph 97.

(4) In the case of persons who are employees of foreign subsidiaries, the application shall be sent through the parent organization or the PMF.

(5) On termination of employment or assignment overseas, the security assurance determination is void and the contractor shall immediately notify DISCO of the individual's changed status by means of DISCO Form 562, and return the individual's security assurance determination to DISCO.

(6) Requests for reinstatement of a security assurance determination will be processed in the same manner as an original request.

(7) If an individual on whom a security assurance has been given is subsequently employed by a cleared contractor and requires a U.S. security clearance, the contractor may make application within 12 months for a security clearance for the individual under section III by submission of a DD Form 48-3 (see paragraph 26e). If the time lapse is more than 12 months, the forms prescribed by paragraph 26c shall be submitted.

b. Normally, requests for a security assurance determination will be limited by the foreign government or international pact organization to CONFIDENTIAL or SECRET access. In exceptional cases, a request for a TOP SECRET security assurance, received from a foreign government or international pact organization, will signify that access to TOP SECRET information is necessary for the consummation of a specific contract, project, or activity. TOP SECRET security assurance determinations shall be limited to the specific contract, project, or activity for which they are granted.

2/ The need and justification may be stated in general terms. For example: "In order to participate in the negotiation of contracts with foreign governments or international pact organizations, it will be necessary for him or her to have access to classified information of those countries and organizations (identify countries and/or organizations)," or, "As our overseas electronics engineer, it will be necessary for him or her to have access to foreign classified information in order to service equipment sold by our company to (identify country or countries concerned)."

Section XIII. SECURITY REQUIREMENTS FOR ADP SYSTEMS

Part 1. GENERAL

100. Purpose. This section of the manual establishes special security measures for the safeguarding of classified information and material contained in or handled <sup>1/</sup> by automatic data processing (ADP) systems and word processing systems. As hereafter used in this section, the term "ADP systems" will include word processing systems and equipment. It specifies conditions and prescribes security requirements under which ADP systems will be operated when handling classified information. It also provides that in addition to the other requirements of this manual, classified information contained in an ADP system shall be safeguarded by the continuous employment of protective features in the system's hardware and software design and configuration, and by other administrative, physical, personnel, and communications security controls.

101. Applicability. The provisions of this section apply to classified information that is contained in or handled by ADP systems in the custody and control of contractors, including computer service organizations that provide contractual ADP services to the DoD or its contractors.

a. Security measures for UA owned and controlled ADP systems located on UA premises, but operated by the contractor, are prescribed by the controlling UA.

b. This section applies primarily to general purpose ADP systems and, as stated in paragraph 100 above, word processing systems. The security measures for ADP systems, which are integral or adjunctive to weapon systems, communications systems, tactical data exchange and display systems, or communications security systems, should be established concurrently with the design and development of the system, using the fundamental security concepts outlined in this section. If the security requirements for such systems are not provided with the contract, contractors should request them from contracting officers. In the absence of such security guidance from contracting officers, the provisions of this section will be applied to the extent appropriate to the situation, as determined by the GSO.

c. This section prescribes the requirements for the protection of information classified in one of the three classification categories: CONFIDENTIAL, SECRET, or TOP SECRET. Special access programs may impose additional security requirements or limitations for specified types of classified information, which are beyond the requirements prescribed herein. Contractors shall implement special access program requirements, when included in a DD Form 254 or other appropriate contract-related document.

<sup>1/</sup> The terms "contain" and "handle" in this section refer to classified information in an ADP system in any state, regardless of purpose or function, including any state of storage, use, processing, transformation, display, or communication within the system and its components.

102. Objectives.

a. Basic ADP system reliability and integrity features must be augmented as provided herein to ensure that an ADP system which handles classified information will, with reasonable dependability, prevent:

(1) unauthorized (accidental or intentional) disclosure, destruction, or modification of classified information, and

(2) unauthorized manipulation of the ADP system which could result in the compromise of classified information.

b. In accomplishing the foregoing, collective ADP system security controls should, to the maximum extent possible, provide the following.

(1) Individual Accountability. The identity of each user shall be positively established, and his or her access to the system and activity in the system (including information accessed and actions taken), shall be controlled and open to scrutiny.

(2) Environmental Control. The ADP system shall be externally protected to minimize the likelihood of unauthorized access to system entry points, access to classified information in the system, or unauthorized modification of the system.

(3) System Stability. All elements and components of the ADP system shall function in a cohesive, identifiable, predictable, and reliable manner, so that malfunctions can be detected and reported in a timely manner.

(4) Data Integrity. Each file or collection of information in the ADP system shall have an identifiable origin and use. Access to, maintenance, movement, and disposition of information shall be governed on the basis of security classification and need-to-know.

(5) System Reliability. The system shall provide each user access to all of the information to which he or she is entitled, but no more.

(6) Communications Security. Communication links and lines shall be secured in a manner appropriate for the information designated for transmission through such lines or links.

(7) Classified Information Control. Such information handled and produced by the ADP system, or stored on media for recording classified information, shall be safeguarded as appropriate for the classification assigned to the information, as provided in this manual.

Part 2. REQUIREMENTS

103. General. ADP system security shall consist of the continuous employment of protective features in the system's hardware configuration and software design and operation, together with other appropriate administrative,

personnel, physical, and communications security measures, controls, and constraints needed to provide an acceptable level of protection for classified information to be contained in an ADP system. The procedures and methods necessary to safeguard classified information depend on the nature of the ADP system and the uses to which it is put. It is the contractor's responsibility to safeguard all classified information contained in an ADP system and ensure that approved security controls are in place and effective. To accomplish the objectives above, this section prescribes the following.

a. The initial approval, in writing, of the CSO is required, prior to processing any classified information in an ADP system. This section requires reapproval by the CSO for major system modifications made subsequent to initial approval. Reapprovals will be required because of: (i) major changes in personnel access requirements; (ii) relocation or structural modification of the central computer facility or remote terminal facilities; (iii) additions, deletions, or changes to mainframe, storage, or input/output devices; (iv) system software changes that impact security protection features; (v) any changes in clearance, declassification, audit trail, or hardware/software maintenance procedures; and (vi) other system changes, as determined by the CSO.

b. The contractor shall prepare a SPP describing the ADP system and the security controls implemented for that system (paragraph 112). This documentation will provide the basis from which the CSO will approve and inspect the ADP system for the proper safeguarding of classified information.

c. The contractor shall appoint an ADP system security supervisor for each facility with an ADP system that is approved for the handling of classified information. The ADP system security supervisor, where different from the FSO, shall be responsible to the FSO for implementation of procedures and practices prescribed for the safeguarding and control of his or her respective ADP system(s). In cases where multiple ADP systems operate in a facility and the contractor deems that the ADP system security supervisor cannot effectively discharge that responsibility, then one or more ADP system security custodians, working under the auspices of the ADP system security supervisor, may be designated to accomplish security responsibilities for separate ADP systems.

d. The establishment and maintenance of hardware and software integrity is essential to ensuring continued safeguarding of classified information in an approved ADP system. All software used during classified processing periods must accordingly be safeguarded, as provided in paragraph 108.1.

104. ADP System Security Modes. The ADP system security mode refers to authorized variations in the security environments and methods of operating ADP systems that handle classified information. The modes are primarily defined by the manner in which the basic access requirements for user PCL and need-to-know are implemented for an ADP system. The modes involve a varying mix of automated (that is, hardware/software) and conventional (that is, personnel, physical, administrative/procedural, and, where appropriate, communications) security measures and techniques in discharging these basic access requirements. In the dedicated mode, for example, the role of automated security measures in effecting basic user access determination is minimized. In all modes, the total integrated set of automated and conven-



tional security measures applied to an ADP system shall be based on the objectives set forth in paragraph 102. A contractor may accordingly process, store, use, and produce classified information in an ADP system as follows.

a. Dedicated Security Mode. The following measures apply when operating in a dedicated security mode where all users with access to the system have both a PCL and need-to-know for all classified information then contained in the system.

(1) In such cases, the objectives of paragraph 102 are normally fulfilled by the access, personnel, administrative, physical, and communications security controls established for: (i) the central computer facility, (ii) the ADP system's interconnecting communications links, (iii) all peripheral devices and input/output terminals, and (iv) areas containing remote terminals connected to the system.

(2) These controls shall conform to those required for the protection of the highest classification category and most restrictive type(s) of information (that is, certain special access program material) then contained in the system.

b. System High Security Mode. The following measures apply when operating in a system high security mode where all users with access to the system shall have a PCL for the highest classification and most restrictive type(s) of information then contained in the system, but at least some users do not have a need-to-know for all classified information then in the system.

(1) In such cases, the objectives of paragraph 102 are normally fulfilled by application of the controls as enumerated and outlined in paragraph 104a above. Additional controls identifying and separating users and classified material on the basis of need-to-know shall be provided for in the operation of the system. Implementation of these need-to-know controls by security measures contained within the ADP system's operating system and associated system software is authorized.

(2) These controls shall conform to those required for the highest classification and most restrictive type(s) of information then being handled by the system.

c. Controlled Security Mode. The following measures apply when operating in a controlled security mode where at least some users with access to the system have neither a PCL nor a need-to-know for all classified information then contained in the system, in a manner that the CSO or higher authority has determined will achieve and maintain the degree of security that is consistent with this manual. This mode provides a limited capability for the concurrent access to and utilization of the ADP system by users having different security clearances and need-to-know.

(1) The objectives of paragraph 102 are normally fulfilled by application of the controls as enumerated and outlined in paragraph 104b above. In addition, system controls consisting of hardware, software, and other appropriate measures shall be implemented to identify, separate, and control users and classified information on the basis of PCL and information security classifi-

cation category. The controlled security mode specifically requires: (i) effective augmentation of, or enhancement to, the ADP system's internal capability, under operating system control, to separate and control users and classified information on the basis of PCL and classification category, respectively, (ii) limitation of users with concurrent access to the system to no more than three adjacent PCL levels, and (iii) fulfillment of the requirements of paragraph 108. (See appendix XI for amplification and guidelines.)

(2) While the controls for the central computer facility shall conform to those required for the highest classification and most restrictive type(s) of information then being handled by the ADP system, the controls for remote terminal areas shall conform to those required for the highest classification, most restrictive type(s) of information, which will be accessed through the terminal under system constraints.

105. Personnel Security. As provided below, unescorted entry and access to the ADP system central computer facility or any of its components, including areas housing connected remote terminals, shall be limited to authorized persons who have a PCL and a need-to-know for the highest classification and most restrictive type(s) of classified information they will access under system constraints.

a. ADP System Users. ADP system users are authorized persons with the ability and the means to approach, communicate with (input to or receive output from), or otherwise make use of any information or component in an ADP system. Personnel who code, test, or maintain application programs used to produce a service or product are considered to be ADP system users. Those authorized persons who make use of application programs via over-the-counter or remote means, and who have the ability and means to create, destroy, change, or retrieve data or program instructions in the system are also considered system users. All ADP system users shall have a PCL and a need-to-know as follows.

(1) Dedicated security mode ADP system users shall have a PCL and a need-to-know for all classified information then contained in the system.

(2) System high security mode ADP system users shall have a PCL for the highest classification, but not necessarily a need-to-know for all classified information then contained in the system.

(3) Controlled security mode ADP system users shall have a PCL and need-to-know for the highest classification and the most restrictive type of information they will access under system constraints. The lowest level of PCL permitted in this mode is a CONFIDENTIAL clearance granted by the contractor, provided all provisions of paragraph 104c are also met.

(4) Exceptions.

(a) Personnel only receiving computer output products from the ADP system and not inputting to or otherwise interacting with the system (that is, no "hands on" or other direct input or inquiry capability) are not considered to be ADP system users and are accordingly not subject to the PCL requirements of this section. Such output products, however, shall either be reviewed by appropriately cleared and responsible personnel prior to dissemination or

otherwise determined to be properly identified and segregated as to content and classification, as prescribed in paragraph 108.

(b) Personnel producing application programs and changes thereto or preparing data that may be input to the ADP system during classified processing periods may be excepted from the PCL requirements of this section, provided they do not receive unreviewed output products from the system or otherwise directly interact with the system during the classified processing and provided the software or data are introduced into the ADP system as prescribed in paragraphs 108.1c(2) and 108.1d, respectively.

b. System Support Personnel. Persons who administer and operate the ADP system are considered to be system support personnel and shall have a PCL for the highest classification and the most restrictive type(s) of information contained in the system or its areas at the time of their access. This category includes all persons in the immediate vicinity of the system attending to the operation, control, and functioning of the system, as well as those persons who design, program, modify, test, or install system software used for the processing of classified information. Access to specific classified material shall be governed by need-to-know in relation to individual duties and responsibilities.

c. Visitors. Unescorted entry to the central computer facility or access to any of its system components (hardware or software) shall be limited to personnel who are cleared for access to the highest classification category and the most restrictive type(s) of classified information then contained in the ADP system, and whose need-to-know has been confirmed by the responsible ADP system security supervisor or designated representative. All persons involved in maintenance or repairs requiring access to any parts or components of the ADP system (central or remote) that could affect or modify the secure operation of the system, or permit access to classified information, must be cleared for the highest classification and most restrictive type(s) of information ever contained in the system. If maintenance personnel not possessing such clearance require access to the system, they must be accompanied by an escort duly designated by the ADP system security supervisor. Escorts must be appropriately cleared for the classified information contained in the system and sufficiently knowledgeable to understand the security implications of, and be able to control, the activities of the individual being escorted. Persons visiting the area on a one-time or infrequent basis, and who will not have access to classified information or to the system hardware or software, may be admitted to the area, when accompanied by an escort who will control visitor access and be responsible for visitor activities while in the area.

d. Individual Responsibility for System Security. In furtherance of the requirements of paragraph 5f, it is the responsibility of the contractor to indoctrinate all ADP system users and support personnel in: (i) the need for sound security practices in protecting the information handled by the system, including all output products, (ii) the specific security requirements associated with the system in terms of system security mode of operation and user access requirements, (iii) the security reporting procedures in the event of system malfunction or security incident, and (iv) what constitutes an unauthorized action(s) with regard to system utilization. ADP system users shall be so informed prior to being granted system access, and then shall be

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reindoctrinated, as deemed necessary. System support personnel shall also be indoctrinated in appropriate operational security procedures for the particular ADP system and facility before they assume their duties. Additional briefing specifics for ADP systems approved to concurrently process multiple categories of classified information are identified in paragraph 108.

106. Physical Security. Physical security safeguards and access controls must be established and continuously maintained for ADP systems approved for the processing of classified information, even when such information is not contained in the system.

a. If the security measures established and approved for the central computer facility and the area(s) housing remote terminals connected to the system are suspended or discontinued for any reason other than approved implementation of paragraph 107, the system must be reevaluated by the CSO, as would any new system, before being reapproved for the processing of classified information.

b. The physical security safeguards and access controls for the central computer facility of an approved ADP system shall continuously conform to those required for the highest classification and most restrictive type(s) of information processed by the system, except for:

(1) central computer facility area controls approved for adjustment pursuant to paragraph 107a or b,

(2) word processing systems meeting the criteria and requirements set forth in paragraph 107d, and

(3) where two or more computer systems are located in the same protected area, and the equipment comprising each system is located and controlled so that direct personnel and ADP system access will be effectively limited to a specific system. In such cases, the area controlled and effectively limited to a specific ADP system may be considered that system's "central computer facility" for the purpose of this section, and the measures and techniques for so "isolating" that ADP system shall be reflected in the SPP.

c. The physical security safeguards and access controls for areas housing remote terminals connected to an approved ADP system shall continuously conform to those required for the highest classification and most restrictive type(s) of information processed by the system, except for:

(1) remote terminals disconnected from the ADP system in an approved manner (paragraph 107c); and

(2) specifically designated remote terminals connected to systems approved to operate in the controlled security mode (paragraph 104c).

d. Adequate continuous physical protection and access control of the central computer facility and remote terminal areas can be attained through one or a combination of the following.

(1) Protection and control may be attained through establishment of continuously protected areas for the central computer facility and areas

housing remote terminals. The physical safeguards for these areas will vary depending on the overall physical security posture of the facility, the relative potential for unauthorized access, and the classification level and volume of the information to be protected. Subject to the approval of the CSO, appendix V may be used as a guide to establish the overall level of structural safeguards, but the basic intent is to take advantage of the security controls already in effect at the contractor's facility and complex. A level of collective controls must be established, which will ensure the detection of attempted surreptitious entry into the areas being protected, so that in the event of an unauthorized entry, the system and equipment can be thoroughly inspected prior to classified operations.

(2) Protection and control may be attained during working hours through continuous surveillance by appropriately cleared and specifically designated personnel who are in a physical position to exercise direct security controls over the system and the classified information being processed. Use of supplemental surveillance and/or supplanting devices is also authorized per paragraphs 35 and 36 for working and nonworking hours, with the provision that during nonworking hours the surveillance function applies to the ADP system per se, in addition to the classified information involved.

(3) During nonworking hours, protection and control may be attained through storage of the hardware and associated media in approved containers where feasible, in accordance with paragraph 14.

(4) Protection and control may be attained through establishment of closed areas for the central computer facility and remote terminal areas. If for any reason classified information is left in the system (that is, primary or secondary storage) or elsewhere unsecured within the central computer facility or remote terminal areas during nonworking hours, closed area(s), in full compliance with paragraph 34a and appendix V of this manual, shall be established.

107. Adjustment of ADP System Area Controls. Subject to the approval of the CSO, ADP system area security controls may be adjusted to the level of protection required for the highest classification category and most restrictive type(s) of information actually being handled during given periods of time by the system, provided the central computer facility and those system components approved for the storage and processing of classified information will not be downgraded below the security level required to protect secure communications equipment, to maintain the reliability and security of the ADP system, and to protect the essential hardware and software components of the ADP system as prescribed herein. Such adjustment provides exceptions to the requirements of paragraphs 105 and 106 for continuous, comprehensive protection of the ADP system central computer facility and remote terminal areas, in accordance with the requirements for the highest classification and the most restrictive type(s) of information ever processed by the ADP system, as follows.

a. Occasional TOP SECRET Processing. ADP systems that occasionally handle TOP SECRET or applicable types of special access information may adjust the system security level of continuous area controls (including the central computer facility) to the SECRET level when TOP SECRET or special access information is not being handled or contained within the ADP system, or is

otherwise accessible in the central computer facility, provided that the following conditions are met:

(1) the central computer facility and all remote terminal areas shall continuously meet the personnel and physical security requirements for the SECRET level;

(2) prior to introducing TOP SECRET information into the central computer facility or the ADP system, the system security level must be upgraded, in accordance with the provisions of paragraph 113;

(3) at the completion of processing TOP SECRET information, the ADP system security level will be downgraded, in accordance with the provisions of paragraph 114, whereupon the system may be subsequently maintained at the SECRET level, and

(4) a written record must be maintained indicating the date and time the above actions were taken and by whom. Such records shall be retained for a period of one inspection cycle.

b. Periodic SECRET or CONFIDENTIAL Processing. ADP systems that only periodically handle information classified no higher than SECRET may adjust the ADP system security level and area controls as indicated below, provided the following conditions are met.

(1) As set forth in the SPP and approved by the CSO, a minimum level of continuous physical protection and access control is established and maintained for the ADP system as follows:

(a) the central computer facility and remote terminal areas shall continuously meet the personnel and physical security requirements for the CONFIDENTIAL level, or

(b) an alternate lower level of continuous protection may be developed by the contractor for approval by the CSO for periods when classified information is not in the ADP system, central computer facility, or remote terminal areas. Security measures for this alternative shall be specifically keyed to the prevention or detection of unauthorized modification of system hardware, the classified information and protected software having been removed from the system and properly secured. The safeguards employed for this alternative must be evaluated on the basis of: (i) the environment in which the system is employed; (ii) security measures already implemented by the contractor for the overall facility and complex, as well as for the central computer facility and ADP system under consideration; (iii) effectiveness in reducing the risks of identified threats; (iv) costs involved to implement, use, and maintain; (v) consistency and reliability; and (vi) auditability. Additional measures that may be considered part of the minimum continuous controls include the use of seals or locks to preclude or detect unauthorized access to system hardware component cabinets or containers, and/or the use of appropriate software diagnostic routines, which comprehensively test system hardware to reveal hardware modifications. Should surreptitious entry and equipment modification be suspected, a thorough inspection of the area and equipment must be conducted prior to classified operation.

(2) Prior to the introduction of classified information or information of a higher classification category into the ADP system or its areas, the system security level must be upgraded, in accordance with the provisions of paragraph 113.

(3) At the completion of higher level classified information processing, the ADP system security level will be downgraded, in accordance with the provisions of paragraph 114, whereupon the system may be subsequently maintained at the CONFIDENTIAL level or at the alternate lower level of continuous protection authorized in paragraph 107b(1)(b) above.

(4) A written record must be maintained indicating the date and time the above actions were taken and by whom. Such records shall be retained for a period of one inspection cycle.

c. Remote Terminal Disconnect. The following provision may be utilized either in combination with the alternatives in paragraph 107a or b above, or independently; that is, the central computer facility remains continuously secured at the level required for the highest classifications of information ever processed by the system, while the classification category of information processed by the system is periodically changed. Accordingly, remote terminals in areas that are either unsecure or are secured in accordance with requirements for classified information lower than the highest category processed by the system may be periodically connected to the system, provided the following conditions are met.

(1) The central computer facility and the areas of remote terminals continuously connected to the ADP system are safeguarded in accordance with this section, and the communications facilities for such remote terminals, where required, are secured in accordance with paragraph 109.

(2) Prior to the initiation of classified processing or the processing of information of a higher classification, all remote terminals not secured to the highest level shall be disconnected as follows:

(a) unplugging the device;

(b) use of approved channel or transmission line hardware switches; or

(c) use of software disconnect routines approved in writing by the CSO. Software disconnect routines may be used only for systems which handle information classified no higher than SECRET and where not prohibited by special access program requirements. Software disconnect routines must be documented to clearly indicate logic processes used, and must be verified in writing by the contractor at least every 90 days to ensure continued effectiveness.

(3) The remainder of the system shall be upgraded pursuant to the provisions of paragraph 113.

(4) Prior to the reconnection of unsecured terminals or of terminals secured to a lower level, the ADP system shall be downgraded by execution of the procedures in paragraph 114.

(5) A written record must be maintained to record the date and time the above actions were taken and by whom. Such records shall be retained for a period of one inspection cycle.

d. Word Processing Systems and Equipment. Standalone word processors, which are operated independently and exclusively controlled by one person at a time, may be exempted from the requirement to maintain a minimum level of continuous physical protection, as set forth in a and b above in this paragraph, when classified information is not in the system, subject to the approval of the CSO. This exemption may also apply to word processors meeting the above criteria and which share a separate printer, provided the printer is under the direct visual observation and exclusive control of the operator during classified processing. In such cases, the following conditions shall be met.

(1) Prior to introducing classified information into the system, the system security level must be upgraded, in accordance with the applicable provisions of paragraph 113.

(2) For the duration of the classified processing, safeguards, in accordance with paragraph 16, shall be established and maintained, to include appropriate safeguards to deny to unauthorized persons visual access to video and other displays containing classified information.

(3) When the system will be used by another individual during the classified processing period and the classification category or type of information or need-to-know will change, the system shall be cleared first, in accordance with the procedures set forth in paragraph 115.

(4) At the completion of classified processing or prior to nonworking hours, whichever occurs first, the system shall be downgraded, in accordance with the applicable provisions of paragraph 114.

(5) A written record must be maintained indicating the date and time the above actions were taken and by whom. Such records shall be retained for a period of one inspection cycle.

108. Concurrent Processing of Multiple Classification Categories. The concurrent processing and storage of more than one security classification category of information, together with unclassified information where approved by the CSO, in an ADP system approved to operate in the foregoing ADP system security modes, is authorized, provided the following minimum conditions are also met.

a. The contractor and the CSO have determined that the design and operation of the ADP system will, with reasonable dependability, provide the consistent and correct identification and segregation of: (i) the different security classification categories, (ii) certain additionally restrictive types of classified information when such concurrent processing is authorized by special access program directives, and (iii) unclassified information.

b. Measures have been implemented to monitor the system for malfunctions and occurrences that may adversely affect the dependability of such identification and segregation.

c. Procedures have been instituted, which, in the event of system crash, malfunction, or other occurrence adversely affecting the dependability of such identification and segregation, provide that all system output will be initially marked and handled as the highest classification and most restrictive type of information in the system, pending a determination of actual classification. These procedures shall remain in effect until the occurrence cause is determined and corrected.

d. Software and data to be concurrently contained in the system shall be handled and protected pursuant to the provisions of paragraph 108.1.

e. All ADP system users have been advised that this option has been implemented, and they are instructed to return to the ADP system security supervisor any system output that is either incorrectly labeled as to classification or not requested by that user. A determination of the cause of the incorrect system action shall be made, and a record of each instance and the corrective action taken shall be maintained for at least one inspection cycle.

#### 108.1 Protection of Software and Data.

a. System Software. All system software used during classified processing periods must be safeguarded commensurate with the requirements for the highest level of classified information processed, even when the software is not in the system, until the software is no longer used during classified processing. Such software, whether obtained from sources outside the facility or developed by the contractor, shall be so safeguarded from the earliest feasible time that it is in the custody and control of the contractor and identified for use during classified processing periods. When system software or modifications thereto are developed by contractor personnel, these individuals shall meet the personnel security requirements of paragraph 105b.

b. Classified Application Software. Application software, which in itself contains classified data or comments, or implements classified processes or algorithms, must be marked (see paragraph 11) and protected, in accordance with the classification guidance provided with the contract or by the UA. Both human and machine readable versions of such software, along with supporting and related documentation, shall be classified and must be protected as any other classified material in compliance with the provisions of section II.

#### c. Unclassified or Lower Classified Application Software.

(1) Unclassified or lower classified application software used during classified processing periods for systems operating in the dedicated or system high security modes shall normally be produced by appropriately cleared personnel (see paragraph 105a) and safeguarded commensurate with the requirements for the highest classification of information with which it is processed.

(2) It is recognized, however, that such application software may be purchased from outside sources, produced for other purposes by contractor personnel without requisite PCL's, or obtained from other unprotected sources. (See also paragraph 105a(4)(b).) Such software, not meeting the requirements set forth in (1) above, may be employed during classified processing periods,

provided the software is introduced into the system in accordance with (a) below, and either of the additional conditions set forth in (b) or (c) below is also met, subject to the approval of the CSO based on specific review by the regional computer specialist.

(a) During classified processing, such software must be introduced into the system in a read-only or write-protected manner (that is, loaded into the system through media which have a positive, hardware-enforced write-protected storage mode, such as control by hardware switch or absence of a write-ring). This prevents possible unauthorized disclosure of classified information by effectively precluding the writing of classified information to that unclassified (or lower classified) software's associated media. The software may be executed during the classified processing period in which loaded, or may be copied to dedicated and previously protected media for subsequent use exclusively during classified processing periods. and

(b) Before use during classified processing periods, such software must be reviewed, approved, and authorized for use by appropriately cleared and knowledgeable contractor personnel who understand the security implications of the software being reviewed. or

(c) Standard contractor configuration control and software management procedures are utilized in the programming and modification of such software, and the procedures have been accepted by the CSO as providing reasonable assurance for the integrity of the software.

(3) Changes to such unclassified or lower classified application software that will be employed during classified processing periods shall normally be made by personnel cleared as prescribed in (1) above. Changes to such software generated by personnel without the prescribed PCL's must be handled as set forth in (2) above. Unclassified and lower classified application software and changes thereto, which have been executed from write-protected media during a classified processing period, but not afforded appropriate subsequent continuous protection, must be handled as set forth in (2) above, prior to use during another classified processing period.

d. Data. Unclassified input data or input data classified at a lower level than the highest level processed during a classified period shall be handled the same as application software described in paragraph c above.

e. Media Control. Physical protection requirements for software and data, as provided for in this section, may be satisfied by marking and safeguarding the respective storage media (for example, computer tapes and disk packs), when the software/data can be determined to reside on specific media. Protection shall be commensurate with the requirements for the highest classification level of software or data ever contained thereon, as provided in paragraph 116. However, selective overwriting for the clearance or declassification of storage media (paragraphs 115b and 116c, respectively) is not authorized for systems handling unclassified or lower classified application software or data under the provisions of paragraph c(2) above.

109. Transmission Controls. Transmission and communication lines and links between the components of the ADP system (for example, the central computer facility and remote terminals) may transmit classified information as follows.

a. Inter-Complex. Transmission of classified information between contractor facility complexes must be over approved CRYPTOGRAPHIC communication circuits, and only with the prior written approval and in accordance with the instructions of the contracting officer.

b. Intra-Complex. Transmission within a contractor complex may be over approved CRYPTOGRAPHIC communication circuits, with the prior written approval and in accordance with the instructions of the contracting officer. In the event the contracting officer advises that CRYPTOGRAPHIC equipment is not available, other approved circuits may be used, with the prior written approval of the CSO. Such circuits shall be protected by an in-depth physical security system to include the following.

(1) Dedicated Lines. The transmission line(s) must be dedicated to the computer and the remote terminals, which must be approved for the handling of classified information. The transmission line(s) shall be dedicated to computer/terminal traffic and be separated from, and not included in, a cable that contains other lines not dedicated to the transmission of classified data. These lines must be installed according to criteria furnished by the CSO and may be routed within buildings through visible overhead conduit or the equivalent, or between buildings within protected perimeters through approved aerial/underground conduits. The lines may not be connected or go through telephone frames, switching equipment, or any other telephone equipment.

(2) Line Surveillance. In the event the transmission lines cannot be contained entirely within secure areas certified for the safeguarding of the highest level of classified information transmitted, continual surveillance shall be accomplished by one of the following: (i) alarming the transmission lines with an alarm system which will provide a control station response time which is not greater than 15 minutes and by conducting checks of the lines and alarm integrity at least once daily; (ii) constant surveillance of the lines by appropriately cleared guards, who are indoctrinated as to the security significance of the lines -- indoctrination must be sufficient to enable the guards to detect attempts to compromise the security of the system, and to determine the action to be taken in the event of compromise or suspected compromise; or (iii) a combination of protected transmission lines and guard patrols, in which event the frequency of guard patrols will be determined by the degree of line protection and other pertinent security features.

(3) Physical Security of Terminal Stations. As a general rule, the physical security of line terminal blocks and repeater stations should be equal to a strongroom (paragraph F, appendix IV). Supplemental controls shall provide for either an alarm system with a 15-minute control station response time, or irregularly scheduled hourly patrols. Junction boxes and manholes should be secured and locked with a three-position dial-type changeable combination lock.

110. Subcontracting Controls.

a. Processing by Subcontractor. A contractor may subcontract with another cleared contractor for the processing of classified information, provided the ADP system has been approved pursuant to this section. Subcontracting under this category encompasses job shops that process individual jobs on an "across-the-counter" basis and subcontractors who provide the complete software package, as well as the actual processing of the classified programs. The provisions of this section and section VI apply. Prior to processing classified information for another contractor, the subcontractor shall clear and verify computer storage and all other addressable media on which classified data has been recorded.

b. Use of an ADP System on a Leased Basis. A contractor may use the ADP system, approved pursuant to this section, of another cleared contractor on a leased basis, provided the following conditions are met.

(1) The lessor is responsible for ensuring that the integrity of the ADP system is maintained at all times.

(2) The using contractor establishes adequate physical and personnel security controls, including provisions for clearing the equipment of classified information prior to relinquishing physical control. Such procedures shall be incorporated in his or her SPP (or supplement thereto).

(3) The CSO approves such procedures. Prior to granting approval, the CSO shall ensure that adequate security measures will be placed into effect by the using contractor, while classified information is being processed, and that residual classified information will not be retained in the ADP system. In many instances, a representative of the lessor remains in the computer area during the run for equipment maintenance purposes. The using contractor, therefore, is responsible for ensuring that the lessor's employee has the appropriate clearance and need-to-know. In addition, all classified information and material belonging to the using contractor shall be removed from the lessor's premises at the end of the lease period.

111. Audit Trails.

a. The general security requirement for any ADP system audit trail is that it provide a documented history of the use of the system. An approved audit trail will permit review of classified system activity and will provide a detailed activity record to facilitate reconstruction of events to determine the magnitude of compromise (if any) should a security malfunction occur. To fulfill this basic requirement, audit trail systems, manual, automated, or a combination of both must document significant events occurring in the following areas of concern: (i) preparation of input data and dissemination of output data (that is, reportable interactivity between users and system support personnel), (ii) activity involved within an ADP environment (for example, ADP support personnel modification of security and related controls), and (iii) internal machine activity.

b. The audit trail for an ADP system approved to process classified information must be based on the above three areas and may be stylized to the particular system. All systems approved for classified processing should con-

tain most if not all of the audit trail records listed below. The contractor's SPP documentation must identify and describe those that are applicable.

- (1) Personnel Access
- (2) Unauthorized and Surreptitious Entry into the Central Computer Facility or Remote Terminal Areas
- (3) Start/Stop Time of Classified Processing Indicating Pertinent System Security Initiation and Termination Events (for example, upgrading/downgrading actions pursuant to paragraph 107)
- (4) All Functions Initiated by ADP System Console Operators
- (5) Disconnects of Remote Terminals and Peripheral Devices (paragraph 107c)
- (6) Log-on and Log-off User Activity
- (7) Unauthorized Attempts to Access Files or Programs, as well as all Open, Close, Create, and File Destroy Actions
- (8) Program Aborts and Anomalies, Including Identification (that is, user/program name, time and location of incident, and so on)
- (9) System Hardware Additions, Deletions, and Maintenance Actions
- (10) Generations and Modifications Affecting the Security Features of the System Software

c. The ADP system security supervisor or designee shall review the audit trail logs at least weekly to ensure that all pertinent activity is properly recorded and that appropriate action has been taken to correct any anomaly. The majority of ADP systems in use today can develop audit trail systems in accord with the above; however, special systems, such as weapons, communications, communications security, and tactical data exchange and display systems, may not be able to comply with all aspects of the above and may require individualized consideration by the CSO.

d. Audit trail records shall be retained for a period of one U.S. Government inspection cycle.

### Part 3. PROCEDURES

#### 112. ADP System Security Approval.

a. General. The system approval (or reapproval) process commences when a formal written request, accompanied by a SPP describing the ADP system and its security measures, is received at the CSO. The SPP (interim or final) may be either a separate document relating to the ADP system proposed for classified processing or an addendum to the facility SPP previously submitted, pursuant to paragraph 5s. This documentation submitted by the contractor to the CSO

will be safeguarded and available only to authorized U.S. Government personnel.

b. System Reapprovals. Requests for system reapproval shall be submitted when required, as indicated in paragraphs 103a and 106a.

c. Standard Practice Procedure. The contractor shall prepare and maintain a SPP describing the ADP system and the security controls implemented for that system. This documentation will be the basis from which the CSO will approve and inspect the system. Therefore, complete and accurate descriptive information about the ADP system, categories of classified information to be processed, security controls to be implemented, and audit trail records is need to formulate this document. Specific information to be included in this documentation shall be a description of the following.

(1) ADP System Security Mode. The SPP for a system proposed for operation in the controlled security mode must also provide the additional information required by appendix XI.

(2) Personnel and Physical Controls. Personnel and physical security controls shall be specified for the central computer facility and for each area where a remote terminal is to be connected. Identification and control of all ADP system users shall be explicitly documented, as well as control procedures for system support personnel associated with the handling of classified information. Exceptions and adjustments concerning these controls should also be indicated (for example, paragraph 107).

(3) Hardware and Software Configuration and Security Controls. Information describing the hardware configuration used during classified processing is required. This should include device types within component subsystems, both local and remote, and corresponding channel assignments; Central Processing Unit (CPU) model number and memory size; and whether the system is multiprocessing or using shared files or storage media. If device disconnects are used, they shall be fully described. The capabilities offered to users, the system software used (appropriately identified), as well as any security features coded in the application programs shall be described. As applicable, all administrative and procedural controls employed to ensure that hardware and software security safeguards are functioning effectively shall also be included. If special modifications to the operating system are used, they shall be specified and described.

(4) Transmission Controls. The mode of transmission shall be specified. If the transmission is by other than approved CRYPTOGRAPHIC means, a complete description of the in-depth physical controls of the transmission lines shall be included.

(5) Administrative/Procedural Controls. ADP system procedural controls, which address storage media clearance, declassification, audit trail, and other procedures (for example, see paragraph 107), shall be specified in the SPP. Other specific procedures to be included, as applicable, or on the CSO's request, are as follows.

(a) Control, use, and maintenance of password files and privileges, including authentication of each authorized user (that is,



need-to-know implementation) -- one acceptable method would be the use of a six character alphanumeric password classified the same as the highest category of information to which the user is authorized access in the system. Such a password must be changed at least once every 3 months and on termination or reassignment of any user possessing knowledge of the password, or when the password is believed to have been compromised or subjected to compromise. Other operationally acceptable individual identification devices, such as the use of hand geometry (fingerprint scanner or hand scanner), voice, or signature comparison devices, may also be utilized as additional safeguards to supplement access control procedures, subject to approval by the CSO.

(b) Summary of how, when, where, and why the system will be used -- in the case of multiprogramming systems, this must include the run schedule mix during classified processing, interactive programming from remotes, and file owner/user procedures and controls.

(c) Access control procedures for the central computer facility and remote terminal areas shall be included.

(d) Methods and techniques to augment the system software to ensure the isolation of users with different levels of clearance and need-to-know shall be included.

(e) If remote terminals are used, user sign-on/sign-off procedures and terminal identification techniques shall be included.

(f) Storage and protection procedures for documentation files and input/output products shall be included.

(g) Safeguards afforded system software while not in use shall be included.

(h) Software test and verification procedures/records shall be included.

(i) Normal and abnormal start-up, re-start, and shut-down operating procedures shall be included.

(j) Controls for handling visitors and service technicians shall be included.

113. ADP System Security Level Upgrading Procedures. To adjust ADP system security level and associated area controls to initiate the processing of a higher category or more restrictive type of classified information, or to change from unclassified to classified processing, the following procedures shall be implemented.

a. All remote terminals that are to remain unsecured, or secured to a level lower than the highest classification of processing to be accomplished, shall be disconnected (paragraph 107c).

b. All removable storage media not to be used in the higher level processing period shall be dismantled and removed from the area or otherwise segregated within the area.

c. Main memory and the remaining secondary storage media not dismantled or disconnected, including peripheral device buffers, shall be appropriately cleared, as set forth in paragraph 115.

d. Higher level security controls for the central computer facility and connected remote terminals, including the implementation of access controls, personnel clearance, and physical security requirements, shall be imposed.

e. A dedicated and previously protected copy of the system software shall be loaded into the system whenever unclassified persons, or persons with a PCL at a level lower than the security level being established by these procedures, had access to the system in the preceding processing period. Unclassified or lower classified application software and data shall be loaded into the system, in accordance with the provisions of paragraph 108.1c.

f. A final security check shall be made of the foregoing and documented prior to initiation of the higher level processing.

114. ADP System Security Level Downgrading Procedures. To adjust ADP system security level and associated area controls to initiate the processing of a lower category or less restrictive type of classified information, or to initiate unclassified processing, the following security procedures shall be implemented.

a. All removable storage media, listings, ribbons, cards, classified waste, and so on associated with the higher level processing (including that containing the safeguarded higher level software) shall be dismantled, collected, marked, removed, and appropriately secured. However, where area controls for the central computer facility are continuously maintained at the higher classification level, the removable storage media may be segregated within, rather than removed from, the central computer facility, provided the higher level classified information is not on-line or otherwise accessible through the ADP system.

b. Main memory, remaining secondary storage media, and peripheral device buffers shall be cleared or declassified, as appropriate. Declassification action, pursuant to paragraph 116, is required when the ADP system, including the central computer facility, is being downgraded to the alternate lower level of continuous area controls authorized under paragraph 107b(1)(b), or when word processing systems are being downgraded under paragraph 107d(4). In all other cases under paragraph 107, the clearance procedures in paragraph 115 may be employed.

c. A security check shall be made of the foregoing and documented before initiating lower level or unclassified processing.

115. Media and Equipment Clearance Procedures.

a. Main Memory. To preclude unauthorized disclosure of classified information when changing the classification category (or type) of information to be processed in the system, each memory location, register, and other internal circuitry used for the storage of classified information shall be overwritten or otherwise cleared of classified information before reutilization. This may be done by program instruction, clear switch action, power-on

reset cycle, or a combination thereof. The clearance action will be verified and recorded to ensure that all applicable portions of memory have been cleared.

b. Other Storage Media. Other storage media on which classified information has been recorded may be used for processing a lower category of classified information, or unclassified information, if overwritten once with unclassified information, or otherwise cleared (for example, power-on reset), and the action is appropriately verified and recorded. These media shall be safeguarded as required for the highest classification of information ever recorded thereon, until they have been declassified, pursuant to paragraph 116, except as provided in paragraph 114b. Selective overwriting of storage media is permissible when the exact storage locations of classified information are known, those locations can be overwritten, and that action is verified.

c. Equipment. Punch card or card reader equipment must be physically examined as a part of the process of clearing the equipment. This may include visual examination of the normal card path through the equipment and the operation of the equipment for three or more card cycles with input hopper empty to detect the possible presence of punched cards, which have not been processed. If the equipment malfunctions, an examination of the equipment must include a search of the locations where a punched card or portion of a punched card may have become lodged. Under these circumstances, equipment access panels and/or other removable components must be removed or opened to perform the visual inspection.

116. Media and Equipment Declassification Procedures. The eventual release of a storage device or a system, including storage media, should be anticipated. Due to the physical properties and retentive capabilities of magnetic media and devices, special precautions must be taken in the release of such media to safeguard possible residual classified information, until the declassification procedures described below have been executed. Except as authorized below and in paragraph 115, all storage media and internal memory on which classified information has been recorded shall be safeguarded and accounted for according to the requirements prescribed in this manual for the highest category of classified information ever recorded thereon.

a. When such media are declassified and removed from the protected environment, a record of media declassification must be completed. This requirement can be met in the case of accountable media by completing a destruction certificate as required by paragraph 19. For all other declassified storage media, a record of media declassification and release must be created and retained for a period of 2 years after disposition of the media. Each declassification action must be verified and recorded to ensure that all classified information contained on the device or component was totally eradicated 2/.

2/ For specific guidance regarding the eradication of specific types of special access program information from various media, see appropriate UA publications. COMSEC keying material, for example, may not be recorded on computer systems without specific written approval of the contracting officer. The contracting officer will provide disposition instructions to the contractor, when required.

b. Procedures for declassification are as follows.

(1) Magnetic Tape. When all classified information has been eradicated from a magnetic tape by use of degaussing equipment authorized by the CSO 3/, the tape may be handled as unclassified, provided that:

(a) all markings identifying source, subject matter, use, or classification of the information previously recorded are removed; and

(b) the contractor establishes procedures to ensure strict compliance with the manufacturer's instructions for operating the degaussing equipment.

(2) Magnetic Disk, Disk Pack, and Drum. Magnetic disks, disk packs, drums, and other similar rigid magnetic storage devices must be overwritten a minimum of three times, once with binary high values, once with binary low values, and once again with a single numeric, alphabetic, or special character (other than blank). Unclassified information used in the final overwrite shall be left on the device. If the storage device is inoperable and cannot be overwritten, the device may be declassified by exposing the recording surface to a permanent magnet having a field strength at the recording surface of at least 1500 oersteds, or by destroying the oxide recording surfaces by sandblasting, chemical decomposition, or other means approved by the CSO.

(3) Ferrite Core Memory. Ferrite core memory used in the processing of information classified SECRET and below must be declassified by setting each addressable memory location alternately to binary high values and binary low values for 100 cycles until the state is changed at least 99 times. The same procedure applies for the declassification of core memory used for processing TOP SECRET information, except that the state shall be changed at least 999 times.

(4) Plated Wire Memory. Plated wire memory used to continuously store classified information undisturbed more than 8 hours may not be declassified. Such media will continue to retain their classification, until physically destroyed. If the classified information is stored less than 8 hours and unclassified data is later stored for at least an equal time, the memory may be declassified according to the procedures for magnetic ferrite core memory.

(5) Thin Film Memory. Thin film memory devices, such as nickel-cobalt devices, may be declassified by the application of a magnetic field of no less than 1500 oersteds to the recording surface.

3/ The CSO will, on request, advise the contractor of currently authorized magnetic tape, card, and cassette degaussing equipment and of any conditional instructions issued by HQ DIS regarding their use. Requests for approval to use other degaussing equipment must be submitted to the CSO, including a full description of the equipment and operating procedures.

Section XIV. CRITICAL NUCLEAR WEAPON DESIGN INFORMATION

(6) Semiconductor Memory. Semiconductor memory may be declassified in accordance with the procedures for magnetic ferrite core, except for volatile read/write semiconductor memory. Volatile read/write semiconductor memory may be declassified by setting "zero" or "one" in all memory locations or by removal of power from the system (for example, a power-on-off reset action).

(7) Cathode Ray Tube. Each cathode ray tube (CRT) screen surface shall be inspected under high intensity internal CRT illumination to detect evidence of burned-in information. If the inspection reveals classified information etched in the phosphor, the CRT device shall be retained within the appropriate security environment, or the screen itself shall be destroyed. In the absence of such classified information, the CRT may be handled as unclassified.

(8) Magnetic Storage Media for Non-Digital Information. Magnetic tape used to record analog, video, or similar non-digital information may be declassified through the use of degaussing equipment authorized by the CSO as in paragraph 116b(1) above. Rigid magnetic storage devices may be declassified as in paragraph 116b(2) above, except that the overwriting signal shall be analog instead of binary. Inoperable magnetic storage devices may also be declassified as in paragraph 116b(2).

(9) Printer Ribbons. Printer ribbons shall be handled as provided for in paragraph 19.

c. Selective overwriting of storage media is authorized when the exact storage locations of classified information are known, those locations can be overwritten as required, and that action can be verified.

117. Policy. The sensitivity of CNWDI is such that it is in the national interest to ensure that access is granted to the absolute minimum number of employees who require it for the accomplishment of assigned responsibilities on the strictest need-to-know basis. The FSO shall be responsible for ensuring that access to CNWDI is limited on a strict need-to-know basis within the facility. The top management official shall ensure that the need-to-know principle is strictly enforced. Management personnel at all levels will be responsible for ensuring that requests for access to CNWDI are not automatically approved. Full and complete justification must be made before any employee is authorized for access to CNWDI. Because of the importance of such information to our national policies, special procedures have been established for its control.

118. Access Requirement. A final TOP SECRET or SECRET PCL, granted in accordance with paragraph 24a(1), is valid for access to CNWDI of the same or lesser security classification, provided the employee has been given a security briefing, in accordance with paragraph 119. In rare instances, an immigrant alien who possesses a unique or very unusual talent or skill that is essential to the U.S. Government, and is not possessed to a comparable degree by an available U.S. citizen, may be authorized for access to CNWDI only. In such cases a request with full justification shall be forwarded to the contracting officer. If access to CNWDI is approved for the immigrant alien, such approval is limited to the specific contract of the UA, and is not valid for access to CNWDI on other contracts.

119. Briefings. Employees having a need for access to CNWDI shall be briefed on its sensitivity by the FSO or his or her alternate. The briefing shall include the definition of CNWDI, a reminder as to the extreme sensitivity of the information, and an explanation of the individual's continuing responsibility for properly safeguarding CNWDI and for ensuring that dissemination is strictly limited to other personnel who have been authorized for access and have a specific need-to-know for the particular information. The briefing shall also be tailored to cover any local special requirements.

120. Records. The contractor shall maintain a record of all employees who have been authorized access to CNWDI, and the date on which such employees were briefed. These records will be maintained in a manner that will facilitate verification, and shall be retained for 3 years following the termination of employment and/or the termination of the individual's clearance, as applicable.

121. Marking. In addition to other markings required by this manual, documents, including working papers, sound, voice, or electronic records, and any other media, which contain CNWDI and are generated after September 1, 1978, shall be clearly marked, "Critical Nuclear Weapon Design Information -- DoD Directive 5210.2 Applies." Documents shall be marked on the cover, title page, lead page, and the back cover. Similar documents and other media published before September 1, 1978 that are in working files will be similarly marked (substantially as provided above) to indicate they contain CNWDI information. In addition, paragraphs of documents generated after September 1, 1978 that contain CNWDI will be so marked. (Example: (SRD)(N). An (N) fol-

lowing the classification denotes that the classified material is additionally identified as CNWDI.)

122. Subcontracting and Consultants. The contractor shall not award a subcontract which would necessitate access to CNWDI without the prior written approval of the contracting officer. This approval may be included on the DD Form 254. Type A Consultants may be briefed and afforded access to CNWDI, but such access may be permitted only at the facility of the contractor who engaged the Type A Consultant or at the government contracting activity. Type B and C Consultants shall not be briefed or afforded access to CNWDI without the prior approval of the contracting officer.

123. Transmission Outside the Facility. Transmission outside the facility is authorized only to the contracting activity, a prime contractor, or a subcontractor approved pursuant to paragraph 122. Any other transmission must be approved by the contracting officer. In addition, prior to transmission to another cleared facility, the contractor shall verify from the CSO of the recipient facility that the facility has been authorized for access to CNWDI. When CNWDI is transmitted to another facility, the inner wrapping will be addressed to the personal attention of the FSO or his or her alternate, and in addition to any other prescribed markings on the inner wrapping will be the marking, "Critical Nuclear Weapon Design Information -- DoD Directive 5210.2 Applies." Similarly, transmissions addressed to the contracting activity or other U.S. Government agency shall bear on the inner wrapper the marking, "Critical Nuclear Weapon Design Information -- DoD Directive 5210.2 Applies."

Appendix I. INDUSTRIAL SECURITY FORMS

A. Application. The purpose of this appendix is to describe the forms used by DoD contractors in industrial security matters, and to provide instructions for the use and completion of each of these forms. A sample of each form is included. These forms shall not be used for any purposes or in any other manner, except as provided for in this manual or for training purposes.

B. "Department of Defense Personnel Security Questionnaire (Industrial-NAC)" (DD Form 48). This form is used to obtain personal data from a U.S. citizen being considered for a DoD CONFIDENTIAL or SECRET PCL. The form is prepared jointly by management and the person being considered for the clearance. The submission of this form shall not be required, except when the person concerned is being processed for a clearance. The completed form should be forwarded to the DISCO, P.O. Box 2499, Columbus, Ohio 43216. However, forms that pertain to OODEPs and are submitted in conjunction with the FCL application, or as a change thereto, shall be mailed to the CSO.

SAMPLE

PERSONNEL SECURITY QUESTIONNAIRE  
INDUSTRIAL - NAC  
DD FORM 48

DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. §552a)

AUTHORITY: Internal Security Act of 1950 and Executive Order 10865, as amended by Executive Order 10909.

PRINCIPAL PURPOSES: To obtain background information for personnel security investigative and evaluative purposes in order to determine the security eligibility of Department of Defense contractors and employees of Department of Defense contractors for (1) access to classified information, or (2) assignment to a sensitive position.

ROUTINE USES: (1) Determine the scope of a personnel security investigation.

(2) Provide evaluators or adjudicators with personal history information relevant to personnel security determinations.

The information may be disclosed to other Federal agencies that are authorized under specific statutory or Executive authority to make personnel security determinations.

A copy of the report of personnel security investigation will be maintained by the Personnel Investigations Center of the Defense Investigative Service and may be used in future security clearance determinations. You have the right to obtain a copy of the report of investigation and/or request amendment to the file.

MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT ON INDIVIDUAL OF NOT PROVIDING INFORMATION: Voluntary. Failure, however, to furnish all or part of the information requested may result in (1) denial of access to classified information, or (2) non-selection for assignment to a sensitive position. Disclosure of your Social Security Number is necessary to fulfill requirements of the above cited authorities. It is intended that this notice be retained for personal records.

GENERAL INSTRUCTIONS

THE PERSONNEL SECURITY QUESTIONNAIRE (PSQ) IS AN IMPORTANT DOCUMENT AND MUST BE COMPLETED WITHOUT MISSTATEMENT OR OMISSION OF IMPORTANT FACTS. ALL ENTRIES ARE SUBJECT TO VERIFICATION BY INVESTIGATION.

- THE FORM MUST BE TYPED OR PRINTED.
- COMPLETE ITEMS 1-13, SIGN THE FORM AT THE BOTTOM, AND THEN PROVIDE THE FORM TO YOUR EMPLOYER WHO WILL REVIEW IT TO ASSURE THAT ENTRIES ARE COMPLETE AND CORRECT. AFTER THE FORM IS RETURNED TO YOU, PROCEED TO COMPLETE 14-18 OF THE PRIVACY SECTION.
- IF ADDITIONAL SPACE IS REQUIRED FOR ANY ITEM, ATTACH ADDITIONAL SHEETS OF PLAIN WHITE PAPER, WHEN ATTACHING ADDITIONAL SHEETS ALWAYS IDENTIFY THE ITEM NUMBER BEING CONTINUED AND FOLLOW THE FORMAT FOR ENTERING INFORMATION PRESCRIBED ON THE FORM AND IN THE DETAILED INSTRUCTIONS.
- ALL QUESTIONS MUST BE ANSWERED. IF AN ITEM IS NOT APPLICABLE INDICATE "NOT APPLICABLE" OR "N/A." DO NOT USE THE TERM "UNKNOWN" FOR DATES OF EMPLOYMENT OR RESIDENCE. IF THIS INFORMATION IS NOT KNOWN PRECISELY, GIVE THE DATE AS BEST YOU CAN RECALL FOLLOWED BY APPROPRIATE QUALIFYING LANGUAGE, E.G., "DATE ESTIMATED" OR "APPROX."
- UNLESS OTHERWISE SPECIFIED:
  - ALL DATES SHOULD BE ENTERED IN TERMS OF YEAR AND MONTH USING THE LAST TWO DIGITS OF THE YEAR AND A TWO DIGIT NUMBER REPRESENTING THE MONTH, E.G., JANUARY 1979 WOULD BE ENTERED AS 79-01 AND DECEMBER 1979 WOULD BE ENTERED AS 79-12.
  - NAMES OF PERSONS SHOULD BE ENTERED IN THE FOLLOWING ORDER: LAST NAME, FIRST NAME AND MIDDLE INITIAL.
  - ADDRESSES SHOULD INCLUDE THE NUMBER AND STREET, CITY, STATE OR COUNTRY, AND ZIP CODE.
- BEFORE ENTERING ANY INFORMATION ON THE FORM, READ CAREFULLY THE DETAILED INSTRUCTIONS PROVIDED WITH THE FORM. IF AT ANY TIME DURING COMPLETION OF THE FORM, A QUESTION ARISES THAT DOES NOT APPEAR TO BE COVERED BY THE DETAILED INSTRUCTIONS, CONTACT THE INDIVIDUAL OR OFFICE THAT PROVIDED YOU WITH THE FORM.
- ONCE THE FORM HAS BEEN COMPLETED, PLACE IT IN THE PRE-ADDRESSED ENVELOPE THAT HAS BEEN PROVIDED, TOGETHER WITH THE COMPLETED FD 258 (FINGERPRINT CARD). SEAL THE ENVELOPE, SIGN ACROSS THE ENVELOPE FLAP ON THE LINE PROVIDED AND AFFIX THE DATE OF SIGNATURE. DELIVER THE SEALED ENVELOPE TO YOUR EMPLOYER IMMEDIATELY.

SAMPLE

DEPARTMENT OF DEFENSE Personnel Security Questionnaire (INDUSTRIAL-NAC)										FORM APPROVED OMB NO. 07004-0005 EXP. DATE APR 1984	
1. a. LAST NAME—FIRST NAME—MIDDLE NAME						b. MAIDEN NAME (If any)				DATE	
2. ALIASES										FOR DIS USE ONLY	
3. a. SEX			b. RACE		4. SOCIAL SECURITY NUMBER						
Male											
Female											
5. DATE OF BIRTH (Year—Month—Day)			6. PLACE OF BIRTH								
a. CITY			b. COUNTY		c. STATE		d. COUNTRY				
7. a. U.S. CITIZEN		b. NATIVE		c. IF NATURALIZED, CERTIFICATE NO.(s)		d. IF DERIVED, PARENT(S) CERTIFICATE NO.(s)		e. DATE	f. PLACE	g. COURT	
Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>									
h. DUAL CITIZEN Yes <input type="checkbox"/> No <input type="checkbox"/> (If "Yes" see DETAILED INSTRUCTIONS.)											
8. MILITARY SERVICE (Include Reserve/National Guard.)											
a. FROM		b. TO		c. BRANCH		d. RANK		e. SERVICE NO.(s)		f. COUNTRY	
9. PREVIOUS CLEARANCE DATA											
a. Have you ever been granted a security clearance? (If "Yes" give details below.)										Yes	No
LEVEL		DATE GRANTED		GRANTED BY			NAME OF EMPLOYER				
b. Have you ever terminated employment while request for security clearance was pending? ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.)										Yes	No
10. FAMILY/ASSOCIATES (See DETAILED INSTRUCTIONS for persons to be listed.)											
a. RELATIONSHIP AND NAME			b. DATE OF BIRTH		c. PLACE OF BIRTH		d. ADDRESS		e. CITIZENSHIP		
FATHER											
MOTHER (Maiden Name)											
SPOUSE (Maiden Name)											
FORMER SPOUSE											
11. RESIDENCES (Begin with current address—See DETAILED INSTRUCTIONS.)											
a. DATES (Yr & Mo)		b. NUMBER AND STREET			c. CITY		d. STATE	e. ZIP CODE			
FROM TO											
Present											
12. EMPLOYMENT (Include self-employment, part-time employment and/or unemployment.) (See DETAILED INSTRUCTIONS.)											
a. DATES (Yr & Mo)		b. NAME OF EMPLOYER			c. ADDRESS		d. ZIP CODE	e. SUPERVISOR			
FROM TO											
Present											
13. FEDERAL SERVICE, FOREIGN TRAVEL/CONNECTIONS (If "Yes" see DETAILED INSTRUCTIONS.)											
a. Have you ever been in the Federal Civil Service?										Yes	No
b. Have you traveled or resided abroad for other than the U.S. Government?											
c. Do you have any foreign property or business connections or have you ever been employed by or acted as a consultant or representative for a foreign government, firm, or agency?											
TO BE COMPLETED BY EMPLOYER				a. LEVEL OF CLEARANCE		Secret		Confidential			
b. CITIZENSHIP VERIFIED				Yes <input type="checkbox"/> No <input type="checkbox"/>		c. JOB TITLE					
d. FEDERAL SUPPLY CODE						e. CONTRACT NUMBER					
f. CERTIFICATION— I certify that the above named individual is employed by this company and has the need for the clearance indicated to perform on classified contracts.											
DATE						SIGNATURE OF EMPLOYER OR DESIGNATED REPRESENTATIVE					

**SAMPLE**

PRIVACY SECTION				
ENTRIES IN THIS SECTION ARE NOT SUBJECT TO REVIEW BY YOUR EMPLOYER. When your responses to items 1-13 on the first page of the DD Form 48 have been reviewed by your employer and returned to you, you should proceed to complete items 14-18 in this section, sign where indicated at the bottom of the page, and follow the instructions contained in the DETAILED INSTRUCTIONS.				
14. ARRESTS ("Yes" answers must be explained in e. through i. below in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes No				
a. Have you ever been arrested, charged, cited, or held by Federal, state, or local law enforcement or juvenile authorities regardless of whether the citation was dropped or dismissed, or you were found not guilty? (Include all courts-martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)				
b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, state, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?				
c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, county, state, Federal or foreign country?				
d. Have you ever been awarded, or are you now under suspended sentence, parole, or probation or awaiting any action on charges against you?				
e. DATE	f. OFFENSE OR VIOLATION	g. NAME AND LOCATION OF POLICE AGENCY	h. NAME AND LOCATION OF COURT	i. PENALTY IMPOSED OR OTHER DISPOSITION
15. MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes No				
a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or PCP) or Cannabis (to include marijuana or hashish) except as prescribed by a licensed physician?				
b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or Cannabis?				
c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?				
d. Have you ever had or been treated for a mental, emotional, psychological, or personality disorder?				
e. Have you ever petitioned to be declared bankrupt?				
16. ORGANIZATIONS				
a. (List all organizations, except labor unions, and those referred to in b. below, to which you belong or previously belonged.)				
i. NAME	ii. ADDRESS	iii. TYPE	iv. FROM	v. TO
b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes No				
i. Are you now or have you ever been a member of the Communist Party or any Communist organization?				
ii. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government, or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?				
17. SECURITY CLEARANCE ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes No				
Have you ever had a security clearance denied or revoked?				
18. DISCHARGE FROM THE ARMED FORCES ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes No				
Have you ever been discharged from the Armed Forces under other than honorable conditions?				
<b>CERTIFICATION</b>				
I certify that the entries made by me are true, complete, and accurate to the best of my knowledge and belief and are made in good faith. I understand that a knowing and wilful false statement on this form can be punished by fine or imprisonment or both (See U.S. Code, Title 18, Section 1001).				
TYPED OR PRINTED NAME OF PERSON COMPLETING FORM				
DATE	SIGNATURE OF PERSON COMPLETING FORM			

C. "Application and Authorization for Access to Confidential Information (Industrial)" (DD Form 48-2). This form is used to obtain personal data from a U.S. citizen being considered for a CONFIDENTIAL PCL by a contractor. The form is prepared jointly by the person being considered for the clearance and by the contractor. Completion of this form is a prerequisite to the granting of a CONFIDENTIAL clearance by a contractor. The use of this form is not retroactive in the case of employees who previously were granted CONFIDENTIAL clearances by the contractor, so long as they are continuously employed by the same contractor, or there has been no break in employment in excess of 12 months.

SAMPLE

APPLICATION AND AUTHORIZATION FOR ACCESS TO CONFIDENTIAL INFORMATION (INDUSTRIAL)		TYPE OR PRINT ALL ANSWERS	FORM APPROVED OMB NO. 0704-0031 EXP. DATE DEC 1984
<p><b>NOTE:</b> PENALTY- Failure to answer all questions, or any misrepresentation (by omission or concealment, or by misleading, false, or partial answers) may serve as a basis for denial of clearance for access to classified Department of Defense information. In addition, Title 18 United States Code 1001 makes it a criminal offense, punishable by a maximum of 5 years' imprisonment, \$10,000 fine, or both, knowingly and willfully to make a false statement or representation to any Department or Agency of the United States as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement knowingly and willfully made by employer or employee herein which is knowingly incorrect, incomplete or misleading in any important particular - Title 18 United States Code 911 states "whoever falsely and willfully represents himself to be a citizen of the United States shall be fined not more than \$1,000 or imprisoned not more than three years, or both".</p>			
<p><b>PURPOSE:</b> The completion of this form is required in the national interest prior to an individual being granted a security clearance for classified information.</p>			
<p><b>INSTRUCTIONS -</b> This is a three-part form. Part I is an application for access and shall be executed by U.S. citizen employees provided their employer determines that access to Confidential information is required in the performance of the employee's assigned duties. Part II is the employee's authorization for access to Confidential information and shall be completed by the employer. Copy of this form shall be maintained by the contractor for all employees granted a security clearance for Confidential information. Part III is a listing of Communist countries which the employee should refer to when completing Item 11.</p>			
<p><b>PART I - APPLICATION FOR ACCESS TO CONFIDENTIAL INFORMATION</b> TO BE COMPLETED BY EMPLOYEE</p>			
NAME AND ADDRESS OF EMPLOYER			
1. LAST NAME - FIRST NAME - MIDDLE NAME		2. ANY OTHER NAME BY WHICH KNOWN (Alias, maiden or former legal name)	
3. DATE OF BIRTH (Month, Day & Year)		4. PLACE OF BIRTH (City, County, State)	
5. SOCIAL SECURITY NUMBER		6. SEX	
7. HAVE YOU EVER APPLIED FOR OR RECEIVED A SECURITY CLEARANCE? <input type="checkbox"/> YES <input type="checkbox"/> NO			
8. IF THE ANSWER TO ITEM 7 IS "YES", INDICATE BELOW THE LEVEL OF CLEARANCE, WHEN APPLIED FOR, WHEN GRANTED, BY WHOM, AND WHERE EMPLOYED AT THAT TIME.			
9. ORGANIZATIONS WITH WHICH AFFILIATED (past and present) OTHER THAN RELIGIOUS OR POLITICAL ORGANIZATIONS OR THOSE WHICH SHOW RELIGIOUS OR POLITICAL AFFILIATION. (If none, so state)			
10. ARE YOU A CITIZEN OF THE UNITED STATES? <input type="checkbox"/> YES <input type="checkbox"/> NO. (If answer is "Yes", complete the following: if answer is "No", return this form to your employer.)			
<input type="checkbox"/> I AM A CITIZEN OF THE UNITED STATES BY REASON OF MY BIRTH IN THE UNITED STATES <input type="checkbox"/> MY NATURALIZED CITIZENSHIP* <input type="checkbox"/> MY BIRTH IN A FOREIGN COUNTRY OF UNITED STATES PARENTS <input type="checkbox"/> MY DERIVATIVE CITIZENSHIP*			
*If checked complete either "Citizenship by Naturalization" or "Citizenship by Derivation" Section below.			
WHERE NATURALIZED (City, County, State)		DATE NATURALIZED	
COURT		CERTIFICATE NO.	
CITIZENSHIP BY DERIVATION *		PARENT'S CERTIFICATE NO.	
PARENT'S NAME		PARENT'S CERTIFICATE NO.	
11. HAVE YOU RESIDED AT ANY TIME DURING THE PAST 15 YEARS OR SINCE YOUR 18TH BIRTHDAY, WHICHEVER IS LATER, IN COMMUNIST COUNTRIES LISTED UNDER PART III? (If answer is "Yes", indicate city and country, dates of residence, under Item 14 "Remarks.") <input type="checkbox"/> YES <input type="checkbox"/> NO			
12. LIST RELATIVES AND RELATIVES OF SPOUSE KNOWN TO BE LIVING IN COMMUNIST COUNTRIES LISTED UNDER PART III.			
RELATION	NAME	ADDRESS	PLACE & DATE OF BIRTH PRESENT CITIZENSHIP
13. ARE YOU A REPRESENTATIVE OF A FOREIGN INTEREST? <input type="checkbox"/> YES <input type="checkbox"/> NO			
14. REMARKS			

Fold Line

Fold Line

SAMPLE

Fold Line

Fold Line

**INSTRUCTIONS:** Read every sentence of the Certification before signing in the presence of a witness who may be a member of your firm. If you cannot sign the certification for any reason, return this form to your employer who will have you complete a different form.

**CERTIFICATION**

I certify that I have never been, past or present, a member in any organization, association, movement, group, or combination of persons, (1) which advocates the overthrow of our constitutional form of government, (2) or which had adopted a policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States, (3) or which seeks to alter the form of Government of the United States by unconstitutional means.

I certify that I know that any misrepresentation or false statement made by me herein may subject me to prosecution under Title 18, United States Criminal Code, Sections 911 and 1001, with penalties up to five (5) years imprisonment and \$10,000 fine.

I certify that I have read and understand each sentence of this Certification.

I certify that the entries made by me on this form are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

I certify that I am a citizen of the United States.

SIGNATURE OF WITNESS	SIGNATURE OF PERSON MAKING CERTIFICATION	DATE OF SIGNATURE
ADDRESS OF WITNESS (City, County, State)		

**PART II - AUTHORIZATION FOR ACCESS TO CONFIDENTIAL INFORMATION**

TO BE COMPLETED BY EMPLOYER

Whereas the Department of Defense has delegated to its contractors (employers) authority to grant access authorization for access to Confidential information to his employees who require access in the performance of the employee's assigned duties; the undersigned, a duly authorized representative of the contractor, certifies that he has examined Part I of this form and the employment records pertaining to the employee executing Part I of this form, and has determined that: - (Check the appropriate block(s))

1. The employee is a United States citizen; and that
2. The employee may be granted a security clearance for Confidential information in accordance with the provisions of paragraph 24b, Industrial Security Manual for Safeguarding Classified Information and such authorization is hereby granted this date; and/or
3. The application is required to be referred to the military cognizant security office for determination.

Date \_\_\_\_\_

By \_\_\_\_\_ (Signature)

(Name of Contractor)

(Typed name and title of authorized representative)

**PART III - LIST OF COMMUNIST COUNTRIES**

Albania  
Bulgaria  
Chinese Peoples Republic (Communist China) (including Tibet)  
Cuba  
Czechoslovakia  
Democratic Peoples Republic of Korea (North Korea)  
Democratic Republic of Vietnam (North Vietnam)  
German Democratic Republic (GDR) (East Germany, including the Soviet Sector of Berlin)  
Hungary  
Mongolian Peoples Republic (Outer Mongolia)  
Poland  
Rumania  
Yugoslavia  
Kurile Islands  
South Sakhalin (Karafuto)  
Union of Soviet Socialist Republics (USSR) (including Estonia, Latvia, Lithuania, and all other constituent republics)

SAMPLE

D. "Department of Defense Personnel Security Questionnaire (Updating)" (DD Form 48-3). This form is used to obtain current personal data to process a clearance action, when an individual with a security clearance is transferring employment from one contractor to another contractor within a 12-month period and requires a PCL in his or her new employment. It is also used in converting a UA clearance to an industrial security clearance. This form is prepared jointly by management and the individual being processed for the new clearance. In the section to be completed by the employer, the form is addressed to the DISCO, P.O. Box 2499, Columbus, Ohio 43216. However, forms that pertain to OODEPs, which are submitted in conjunction with the FCL application, or as a change thereto, shall be mailed to the CSO.

DEPARTMENT OF DEFENSE		DATE	FORM APPROVED OMB NO. 0704-0005 EXP. DATE APR 1984	
<b>PERSONNEL SECURITY QUESTIONNAIRE (UPDATING)</b>				
<small>PENALTY - Failure to answer all questions, or any misrepresentation (by omission or concealment, or by misleading, false, or partial answers) may serve as a basis for denial of clearance for access to classified Department of Defense information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of 5 years imprisonment, \$10,000 fine, or both, knowingly and willfully to make a false statement or representation to any Department or Agency of the United States as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly and willfully incorrect, incomplete or misleading in any important particular.</small>				
<small>INSTRUCTIONS: One (1) copy of accomplished form will be submitted by the contractor when prescribed by the Industrial Security Manual for Safeguarding Classified Information to request transfer of clearance. Type or print all answers; form will not be accepted unless completely and properly executed. Use blank sheets for additional information, identifying by item number. Questions which do not apply will be marked "None."</small>				
<small>INSTRUCTIONS TO EMPLOYEE: This form is in three parts. Part I must be completed by your employer before you complete the other parts. You must complete Part III in private. Before filling in any part, you should familiarize yourself with all questions. Do not sign this form without first reading the instructions in Part III.</small>				
<b>PART I</b>				
<b>TO BE COMPLETED BY EMPLOYER</b>				
<b>TO:</b>		<b>NAME AND ADDRESS OF EMPLOYER (If a subsidiary, include name of parent company)</b>		
Defense Investigative Service Defense Industrial Security Clearance Office Box 2499 Columbus, Ohio 43216				
		<b>FEDERAL SUPPLY CODE</b>		
<b>JOB TITLE AND DESCRIPTION OF EMPLOYEE'S DUTIES WHICH REQUIRE ACCESS TO CLASSIFIED INFORMATION</b>		<b>CONTRACT NUMBER, WHEN APPLICABLE</b>		
		<b>SECURITY CLASSIFICATION OF MATERIALS OR INFORMATION EMPLOYEE WILL HAVE ACCESS TO</b>		
<b>CLEARANCE REQUESTED IS:</b> <input type="checkbox"/> TRANSFER <input type="checkbox"/> CONVERSION <input type="checkbox"/> CONCURRENT				
<b>I CERTIFY THAT THE ENTRIES MADE BY ME ABOVE ARE TRUE, COMPLETE, AND CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF AND ARE MADE IN GOOD FAITH</b>			<b>SIGNATURE OF EMPLOYER OR DESIGNATED REPRESENTATIVE</b>	
<b>PART II</b>				
<b>TO BE COMPLETED BY EMPLOYEE</b>				
<b>1. LAST NAME - FIRST NAME - MIDDLE NAME</b>		<b>2. ANY OTHER NAME BY WHICH KNOWN (Alias, maiden, former legal name; designate which)</b>		
<b>3. DATE OF BIRTH</b>	<b>4a. PLACE OF BIRTH</b>	<b>4b. CITIZEN OF WHAT COUNTRY</b>		
<b>5. SOCIAL SECURITY NUMBER</b>		<b>6. SEX</b>		
<b>7. RESIDENCE (Present Address Only)</b>				
<b>STREET, CITY, STATE OR OTHER POLITICAL SUBDIVISION, AND COUNTRY</b>				<b>FROM (Date)</b>
<b>8. LAST EMPLOYMENT (At Which Clearance Was Granted)</b>				
<b>POSITION HELD</b>	<b>EMPLOYER AND IMMEDIATE SUPERVISOR</b>	<b>ADDRESS</b>	<b>FROM (Date)</b>	<b>TO (Date)</b>
<b>9. HAVE YOU EVER BEEN PREVIOUSLY GRANTED A SECURITY CLEARANCE? (If answer is "Yes", indicate level of clearance, when granted, by whom and where employed at that time under Item 12, "Remarks")</b> <input type="checkbox"/> YES <input type="checkbox"/> NO				
<b>10. LIST EACH FOREIGN GOVERNMENT, FIRM, CORPORATION OR PERSON FOR WHOM YOU ACT OR HAVE ACTED AS A REPRESENTATIVE, OFFICIAL OR EMPLOYEE IN THE PAST 5 YEARS. LIST ALL COMMUNIST GOVERNMENTS, FIRMS OR CORPORATIONS FOR WHOM YOU HAVE EVER ACTED IN SUCH CAPACITY. ATTACH A STATEMENT AS REQUIRED BY PARAGRAPH 20K, INDUSTRIAL SECURITY MANUAL, FOR EACH AFFILIATION.</b>				
<b>11. REMARKS</b>				
<b>FURTHER INSTRUCTIONS:</b> Do not complete PART III or the Certification at this time. After completing PART II return the form to your employer who will review it to assure that all entries are complete and the form is filled out properly. After your employer returns the form to you, then start PART III and follow instructions on reverse side.				
<b>DD FORM 48-3 NOV 63</b> Previous editions of this form may be used until exhausted.				



**SAMPLE**

PART III									
PRIVACY SECTION									
ENTRIES IN THIS SECTION ARE NOT SUBJECT TO REVIEW BY YOUR EMPLOYER. When your responses to items 1-11 on page 1 of the DD Form 48-3 have been reviewed by your employer and returned to you, you should proceed to complete items 12-16 in this section, sign where indicated at the bottom of the page, and follow the instructions contained in the DETAILED INSTRUCTIONS applicable to the DD Form 48-3.									
12. ARRESTS ("Yes" answers must be explained in e. through i. below in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)									
Yes	No								
		a. Have you ever been arrested, charged, cited, or held by federal, state, or local law enforcement or juvenile authorities regardless of whether the citation was dropped or dismissed, or you were found not guilty? (Include all courts-martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)							
		b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a federal, state, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?							
		c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, county, state, federal or foreign county?							
		d. Have you ever been awarded, or are you now under suspended sentence, parole, or probation or awaiting any action on charges against you?							
e.	DATE	f.	OFFENSE OR VIOLATION	g.	NAME AND LOCATION OF POLICE AGENCY	h.	NAME AND LOCATION OF COURT	i.	PENALTY IMPOSED OR OTHER DISPOSITION
13. MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)									
Yes	No								
		a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or FCP) or cannabis (to include marijuana or hashish) except as prescribed by a licensed physician?							
		b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis?							
		c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?							
		d. Have you ever had or been treated for a mental, emotional, psychological, or personality disorder?							
		e. Have you ever petitioned to be declared bankrupt?							
14. ORGANIZATIONS									
a. (List all organizations, except labor unions, and those referred to in b. below, to which you belong or previously belonged.)									
i.	NAME	ii.	ADDRESS	iii.	TYPE	iv.	FROM	v.	TO
b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)									
Yes	No								
		i. Are you now or have you ever been a member of the Communist Party or any Communist organization?							
		ii. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government, or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?							
15. SECURITY CLEARANCE ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)									
Yes	No								
		Have you ever had a security clearance denied or revoked?							
16. DISCHARGE FROM THE ARMED FORCES ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)									
Yes	No								
		Have you ever been discharged from the Armed Forces under other than honorable conditions?							
<b>CERTIFICATION</b>									
I certify that the entries made by me are true, complete, and accurate to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both (See U.S. Code, Title 18, Section 1001).									
		TYPED OR PRINTED NAME OF PERSON COMPLETING FORM							
DATE	SIGNATURE OF PERSON COMPLETING FORM								

**E. "Department of Defense Personnel Security Questionnaire (Industrial)" (DD Form 49).** This form shall be used in making application for:

1. a U.S. citizen being considered for a TOP SECRET PCL,
2. a U.S. citizen being considered for any level of clearance, when the individual advises that he or she is a RFI,
3. a U.S. citizen who has relatives or relatives of his or her spouse who are residing in Communist countries,
4. an immigrant alien being considered for a PCL, and
5. a citizen of a signatory country being processed for a reciprocal clearance.

The form is prepared jointly by management and the person being considered for clearance. In the section to be completed by the employer, the form should be addressed to the DISCO, P.O. Box 2499, Columbus, Ohio 43216. However, forms that pertain to OODEPs, which are submitted in conjunction with the FCL application, or as a change thereto, shall be mailed to the CSO.

SAMPLE

## SECTION I

## PERSONNEL SECURITY QUESTIONNAIRE

INDUSTRIAL

DD FORM 49

## DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. §552a)

**AUTHORITY:** Internal Security Act of 1950 and Executive Order 10865, as amended by Executive Order 10909.

**PRINCIPAL PURPOSES:** To obtain background information for personnel security investigative and evaluative purposes in order to determine the security eligibility of Department of Defense contractors and employees of Department of Defense contractors for (1) access to classified information, or (2) assignment to a sensitive position.

**ROUTINE USES:** (1) Determine the scope of a personnel security investigation.  
(2) Provide evaluators or adjudicators with personal history information relevant to personnel security determinations.

The information may be disclosed to other Federal agencies that are authorized under specific statutory or Executive authority to make personnel security determinations.

A copy of the report of personnel security investigation will be maintained by the Personnel Investigations Center of the Defense Investigative Service and may be used in future security clearance determinations. You have the right to obtain a copy of the report of investigation and/or request amendment to the file.

**MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT ON INDIVIDUAL OF NOT PROVIDING INFORMATION:**

Voluntary. Failure, however, to furnish all or part of the information requested may result in (1) denial of access to classified information, or (2) non-selection for assignment to a sensitive position. Disclosure of your Social Security Number is necessary to fulfill requirements of the above cited authorities. It is intended that this notice be retained for personal records.

## GENERAL INSTRUCTIONS

THE ATTACHED PACKET OF MATERIAL CONSISTS OF **TWO SECTIONS**: SECTION I - A DD FORM 49 WORKSHEET PRINTED ON THE REVERSE OF THESE INSTRUCTIONS AND THE DD FORM 49 PACKAGED AS A 5-COPY CARBON INTERLEAF SET; SECTION II - A DD FORM 2221 AND AN ORIGINAL AND ONE COPY OF THE PRIVACY SECTION. DETACH THE WORKSHEET AND COMPLETE ITEMS 1-16. WHEN YOU ARE SATISFIED THAT ALL ITEMS ARE CORRECT AND COMPLETE IN ACCORDANCE WITH THE DETAILED INSTRUCTIONS WHICH YOU HAVE BEEN FURNISHED, TURN THE WORKSHEET OVER TO YOUR EMPLOYER WHO WILL REVIEW IT TO ASSURE THAT ALL ENTIRES ARE COMPLETE AND ACCURATE. AT THIS POINT ENTER THE ENTRIES FROM THE WORKSHEET ONTO THE DD FORM 49 5-COPY CARBON INTERLEAF SET USING A BALL-POINT PEN OR TYPEWRITER (YOUR EMPLOYER MAY HAVE THE FORM TYPED FOR YOU). BE SURE YOU SIGN THE FORM AT THE BOTTOM UNDER THE REMARKS SECTION. WHEN THE DD FORM 49 HAS BEEN COMPLETED AND SIGNED, COMPLETE SECTION II - THE PRIVACY SECTION TO INCLUDE ENTRY OF YOUR SIGNATURE, AND THEN SIGN AND DATE THE DD FORM 2221. PLACE ALL COMPLETED MATERIAL, TOGETHER WITH A COMPLETED FD FORM 258 (FINGERPRINT CARD) IN THE PRE-ADDRESSED ENVELOPE THAT HAS BEEN PROVIDED. SEAL THE ENVELOPE, SIGN ACROSS THE ENVELOPE FLAP ON THE LINE PROVIDED AND AFFIX THE DATE OF SIGNATURE. DELIVER THE SEALED ENVELOPE TO YOUR EMPLOYER IMMEDIATELY. IN COMPLETING THE PACKET OF MATERIAL, THE FOLLOWING APPLY:

- THE PERSONNEL SECURITY QUESTIONNAIRE (PSQ) IS AN IMPORTANT DOCUMENT AND MUST BE COMPLETED WITHOUT MISSTATEMENT OR OMISSION OF IMPORTANT FACTS. ALL ENTRIES ARE SUBJECT TO VERIFICATION BY INVESTIGATION.
- ENTRIES MUST BE TYPED OR PRINTED.
- IF ADDITIONAL SPACE IS REQUIRED FOR ANY ITEM, USE ITEM 16, "REMARKS." IF SPACE PROVIDED IN ITEM 16 IS INSUFFICIENT, USE SEPARATE SHEET(S) OF PLAIN WHITE PAPER. WHEN ATTACHING ADDITIONAL SHEETS ALWAYS IDENTIFY THE ITEM NUMBER BEING CONTINUED AND FOLLOW THE FORMAT FOR ENTERING INFORMATION PRESCRIBED ON THE FORM AND IN THE DETAILED INSTRUCTIONS.
- ALL QUESTIONS MUST BE ANSWERED. IF AN ITEM IS NOT APPLICABLE INDICATE "NOT APPLICABLE." OR "N/A." DO NOT USE THE TERM "UNKNOWN" FOR DATE OF EMPLOYMENT OR RESIDENCE. IF THIS INFORMATION IS NOT KNOWN PRECISELY, GIVE THE DATE AS BEST YOU CAN RECALL FOLLOWED BY APPROPRIATE QUALIFYING LANGUAGE, E.G., "DATE ESTIMATED" OR "APPROX."
- UNLESS OTHERWISE SPECIFIED:
  - ALL DATES SHOULD BE ENTERED IN TERMS OF YEAR AND MONTH USING THE LAST TWO DIGITS OF THE YEAR AND A TWO DIGIT NUMBER REPRESENTING THE MONTH, E.G., JANUARY 1979 WOULD BE ENTERED AS 79-01 AND DECEMBER 1979 WOULD BE ENTERED AS 79-12.
  - NAMES OF PERSONS SHOULD BE ENTERED IN THE FOLLOWING ORDER: LAST NAME, FIRST NAME AND MIDDLE INITIAL.
  - ADDRESSES SHOULD INCLUDE THE NUMBER AND STREET, CITY, STATE OR COUNTRY, AND ZIP CODE.
- BEFORE ENTERING ANY INFORMATION, READ CAREFULLY THE DETAILED INSTRUCTIONS PROVIDED WITH THE PACKET. IF AT ANY TIME DURING COMPLETION OF THE MATERIAL, A QUESTION ARISES THAT DOES NOT APPEAR TO BE COVERED BY THE DETAILED INSTRUCTIONS, CONTACT THE INDIVIDUAL OR OFFICE THAT PROVIDED YOU WITH THE MATERIAL.

SAMPLE

DEPARTMENT OF DEFENSE Personnel Security Questionnaire (INDUSTRIAL)						FORM APPROVED OMB NO. 0704-0002 EXP. DATE: APR 30, 1985	
1. a. LAST NAME - FIRST NAME - MIDDLE NAME			b. MAIDEN NAME (If any)			DATE	
2. ALIASES						FOR DIS USE ONLY	
						3. a. SEX Male Female	
5. DATE OF BIRTH (Year-Month-Day)		6. PLACE OF BIRTH					
a. CITY		b. COUNTY		c. STATE	d. COUNTRY		
7. a. U.S. CITIZEN	b. NATIVE	c. IF NATURALIZED, CERTIFICATE NO.(s)		d. IF DERIVED, PARENT(S) CERTIFICATE NO.(s)	e. DATE	f. PLACE	g. COURT
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No						
h. DUAL CITIZEN <input type="checkbox"/> Yes <input type="checkbox"/> No (If "Yes" see DETAILED INSTRUCTIONS.)							
8. MILITARY SERVICE (Include Reserve/National Guard.)							
a. FROM	b. TO	c. BRANCH		d. RANK	e. SERVICE NO.(s)		f. COUNTRY
9. PREVIOUS CLEARANCE DATA							
a. Have you ever been granted a security clearance? (If "Yes" give details below.)							
LEVEL	DATE GRANTED		GRANTED BY		NAME OF EMPLOYER		
b. Have you ever terminated employment while request for security clearance was pending? ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.)							
10. FAMILY/ASSOCIATES (See DETAILED INSTRUCTIONS for persons to be listed.)							
a. RELATIONSHIP AND NAME		b. DATE OF BIRTH	c. PLACE OF BIRTH		d. ADDRESS		e. CITIZENSHIP
FATHER							
MOTHER (Maiden Name)							
SPOUSE (Maiden Name)							
FORMER SPOUSE							
11. RESIDENCES (Begin with current address - See DETAILED INSTRUCTIONS.)							
a. DATES (Yr & Mo)		b. NUMBER AND STREET		c. CITY		d. STATE	e. ZIP CODE
FROM	TO						
Present							
12. EMPLOYMENT (Include self-employment, part-time employment and/or unemployment.) (See DETAILED INSTRUCTIONS.)							
a. DATES (Yr & Mo)		b. NAME OF EMPLOYER		c. ADDRESS		d. ZIP CODE	e. SUPERVISOR
FROM	TO						
Present							
13. FEDERAL SERVICE, FOREIGN TRAVEL/CONNECTIONS (If "Yes" see DETAILED INSTRUCTIONS.)							
a. Have you ever been in the Federal Civil Service?							
b. Have you traveled or resided abroad for other than the U.S. Government?							
c. Do you have any foreign property or business connections or have you ever been employed by or acted as a consultant or representative for a foreign government, firm, or agency?							
TO BE COMPLETED BY EMPLOYER							
a. LEVEL OF CLEARANCE		Top Secret		SCI		Other (Specify)	
b. CITIZENSHIP VERIFIED				c. JOB TITLE			
<input type="checkbox"/> Yes <input type="checkbox"/> No							
d. FEDERAL SUPPLY CODE				e. CONTRACT NUMBER			
f. CERTIFICATION - I certify that the above named individual is employed by this company and has the need for the clearance indicated to perform on classified contracts.							
DATE				SIGNATURE OF EMPLOYER OR DESIGNATED REPRESENTATIVE			

SAMPLE

14. EDUCATION (Begin with last school attended - See DETAILED INSTRUCTIONS.)					
a. DATES (Yr & Mo)		b. NAME OF SCHOOL	c. ADDRESS	d. ZIP CODE	e. DEGREE
FROM	TO				

15. CHARACTER REFERENCES (List 5 good friends, co-workers, etc. - See DETAILED INSTRUCTIONS.)			
a. NAME	b. PERIOD KNOWN	c. ADDRESS	d. TELEPHONE

16. REMARKS (Attach additional sheets, if necessary.)

DATE \_\_\_\_\_ SIGNATURE OF PERSON COMPLETING FORM \_\_\_\_\_

SAMPLE  
SECTION II

DEPARTMENT OF DEFENSE  
AUTHORITY FOR RELEASE OF INFORMATION AND RECORDS

In accordance with the Privacy Act of 1974, I have been provided with a copy of a statement advising me that certain information is required to assist the Department of Defense in making a security determination concerning me and that execution of this form is voluntary.

I hereby authorize and consent to the release of information and records bearing on my personal history, academic record, job performance and arrests and convictions, if any, to Special Agents of the Department of Defense. The information will be used for the purpose of determining my qualifications for employment with the Federal Government, service in the Armed Forces, or access to classified information. (Strike clauses not applicable.)

This authorization is valid for one year after my signing. Upon request, a copy of this signed statement may be furnished to the school, present or former employer, present or former landlord, criminal justice agency, or other person furnishing such information or record.

DATE (Year, Mo, Day)	NAME (Last, First, MI)	SIGNATURE
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SAMPLE

PRIVACY SECTION				
ENTRIES IN THIS SECTION ARE NOT SUBJECT TO REVIEW BY YOUR EMPLOYER. When your responses to items 1-16 on pages 1 and 2 of the DD Form 49 have been reviewed by your employer and returned to you, you should proceed to complete items 17-21 in this section, sign where indicated at the bottom of the page, and follow the instructions contained in the DETAILED INSTRUCTIONS.				
17. ARRESTS ("Yes" answers must be explained in e. through l. below in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes	No			
		a. Have you ever been arrested, charged, cited, or held by Federal, state, or local law enforcement or juvenile authorities regardless of whether the citation was dropped or dismissed, or you were found not guilty? (Include all courts-martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)		
		b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, state, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?		
		c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, county, state, Federal or foreign country?		
		d. Have you ever been awarded, or are you now under suspended sentence, parole, or probation or awaiting any action on charges against you?		
e.	f.	g.	h.	i.
DATE	OFFENSE OR VIOLATION	NAME AND LOCATION OF POLICE AGENCY	NAME AND LOCATION OF COURT	PENALTY IMPOSED OR OTHER DISPOSITION
18. MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes	No			
		a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or PCP) or Cannabis (to include marijuana or hashish) except as prescribed by a licensed physician?		
		b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or Cannabis?		
		c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?		
		d. Have you ever had or been treated for a mental, emotional, psychological, or personality disorder?		
		e. Have you ever petitioned to be declared bankrupt?		
19. ORGANIZATIONS				
a. (List all organizations, except labor unions, and those referred to in b. below, to which you belong or previously belonged.)				
i.	NAME	ii.	ADDRESS	iii. TYPE
				iv. FROM
				v. TO
b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes	No			
		i. Are you now or have you ever been a member of the Communist Party or any Communist organization?		
		ii. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government, or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?		
20. SECURITY CLEARANCE ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes	No			
		Have you ever had a security clearance denied or revoked?		
21. DISCHARGE FROM THE ARMED FORCES ("Yes" answer must be explained in accordance with the DETAILED INSTRUCTIONS.) (Attach additional sheets, if necessary.)				
Yes	No			
		Have you ever been discharged from the Armed Forces under other than honorable conditions?		
CERTIFICATION				
I certify that the entries made by me are true, complete, and accurate to the best of my knowledge and belief and are made in good faith. I understand that a knowing and wilful false statement on this form can be punished by fine or imprisonment or both (See U.S. Code, Title 18, Section 1001).				
		TYPED OR PRINTED NAME OF PERSON COMPLETING FORM		
DATE	SIGNATURE OF PERSON COMPLETING FORM			

F. "Department of Defense Contract Security Classification Specification" (DD Form 254).

1. The completed DD Form 254, with attachments and supplements, as applicable, is the basic document by which classification, regrading, and declassification specifications are documented and provided to prime contractors and subcontractors. It is designed to identify the specific items of classified information involved in the contract that require security classification protection. Responsibility for preparation of the prime contract's DD Form 254 rests with the contracting officer or the designated representative of the UA concerned, but the assistance of the contractor is encouraged. Based on the classification guidance received, each contractor is responsible for developing the DD Form 254 for each classified subcontract, request for proposal, or other solicitation let to subcontractor facilities. The contractor shall submit the recommended DD Forms 254 for each classified subcontract, other than service, graphic arts, or commercial carrier subcontracts (see paragraph 60h) to the ACO for approval and distribution. When the prime contractor receives a revised DD Form 254 that does not require a related change in the subcontractor's DD Form 254, or receives written notice that the biennial review has resulted in no change in the existing specification, he or she shall reaffirm guidance to each subcontractor. The prime contractor does this by providing a true copy of the notice of reaffirmation received by the prime contractor or a true copy of pages 1 and 2 of the revised DD Form 254 received by the prime contractor annotated, "This revised DD Form 254 does not affect your current DD Form 254 dated \_\_\_\_\_." In either of these cases, ACO/PCO authentication is not required.

2. The DD Form 254 embodies the concept that the sensitive information itself shall be identified and assigned a proper classification, rather than assigning a classification to media by which classified information could be, or would likely be, conveyed. This method of classifying information rather than media is intended to identify most precisely the functional matter that is to be protected; thus providing, for example, the answer to the question: "What is there about a specific item of hardware which causes it to be classified?"

3. Whenever the prime contractor will be required to use classified GFE or GFP in the performance of the contract, the contracting officer or the designated representative shall inform the prime contractor what information requires protection by furnishing a DD Form 254 or other appropriate notification for each item of classified GFE or GFP to be used. The same procedure shall be followed in those instances where previously classified equipment is not government-furnished and the prime contractor is authorized to purchase such classified equipment for use in the performance of his or her contract.

4. Items 1 through 14 and item 16 of the DD Form 254 provide the general administrative and contractual information pertaining to the classification specification of the classified effort. Item 15 of DD Form 254, with any supplements and attachments, is used to provide the specified classification downgrading and declassification information. Each item of the DD Form 254 is to be completed; N/A shall be shown for items that are not applicable. Classified information should not be entered on the DD Form 254. Classified information should be transmitted separately and appropriate reference entered in item 15 of the DD Form 254. The following numbered instructions correspond to the numbered items on the DD Form 254.

a. Item 1. Insert highest level of clearance required for access to classified effort. If the facility requires a clearance higher than the current clearance, the prime contractor may request the appropriate CSO to upgrade the subcontractor's FCL.

b. Item 2. Check item a, b, or c, as applicable.

c. Item 3. In item 3a, enter the UA prime contract identification number. In addition, if this DD Form 254 is for a subcontract of the first tier, enter in item 3b the identification number of the first tier subcontract. For second tier and beyond subcontracts, enter in item 9a or 15, as applicable, the identification number, and estimated date of completion or termination of the subcontract. If item 3c is used, enter appropriate data identifying the RFP, RFQ, or IFB. If the solicitation is unclassified and the DD Form 254 is being used only to reflect access requirements of the contract/subcontract to be awarded, annotate item 11o "Remarks" to indicate that preaward access is not required and the DD Form 254 indicates classification guidance for the contract/subcontract to be awarded. When reissuing a currently valid subcontract DD Form 254 for a follow-on subcontract, indicate the new subcontract number in item 3b.

d. Item 4. Furnish date for a, b, or c, as applicable.

e. Item 5. Check item a, b, or c, as applicable, and provide complete data. For item b, also show revision number.

f. Item 6. Check "yes" or "no", as applicable. If "yes," complete items a and b, and in item c, indicate whether accountability is or is not transferred.

g. Item 7. If there is a prime contract, complete items a, b, and c, to show the complete name, address, FSC number, and the CSO of the prime contractor's facility that will receive classified information in the performance of the prime contract listed in item 3a. If there is no prime contract and item 3c is completed, enter instead in items a, b, and c, the name, address, and FSC number of the contractor's facility to which this DD Form 254 is to be sent in connection with the RFP, RFQ, or IFB, and the CSO of that facility.

h. Item 8. If there is a first tier subcontract, complete items a, b, and c, to show the complete name, address, and FSC number of the subcontractor's facility that will receive classified information in the performance of the subcontract listed in item 3b. If there is no first tier subcontract and item 3c is completed, enter instead the name, address, and FSC number of the subcontractor's facility to which this DD Form 254 is to be sent in connection with the RFP, RFQ, or IFB, and CSO of that facility.

i. Item 9. If there is a second tier subcontract, complete items a, b, and c to show the complete name, address, FSC number, and CSO of the subcontractor's facility that will receive classified information in performance of the subcontract listed in item 3b. In item 9a, also provide the second tier subcontract number and estimated date of completion. If there is no second tier subcontract and item 3c is completed, enter instead the name, address, FSC number, and the CSO of the facility to which this DD Form 254 is

to be sent in connection with the RFP, RFQ, or IFB. For subcontracting beyond the second tier, enter in item 15, or furnish on an attached sheet, the information specified above for that tier subcontractor and the CSO of that facility.

j. Item 10. Under item a, provide a brief, yet sufficiently complete, unclassified statement to identify the nature of the procurement. If an unclassified statement cannot be made, enter the word "classified." Under item b, furnish the DoD AAD number of the U.S. Government procuring activity (identified in item 16d). For all subcontractors and first and second tier RFPs, RFQs, and IFBs enter "N/A." Under item c, check appropriate block to indicate whether or not contract prescribes security requirements that are additional to those described in the DD Form 441 and this manual. If applicable, the UA shall furnish a copy of the special security requirements to the contractor, the ACO, if any, and the CSO. Under item d, check appropriate box to indicate if any elements of the contract are outside the inspection responsibility of the CSO. If "Yes," explain in item 15 and identify specific areas or elements. However, discretion must be used in identifying other "specific areas or elements," so that disclosure restrictions are respected.

k. Item 11. Check appropriate box for each item listed. Use the "Remarks" block to elaborate as necessary <sup>1/</sup>. If DTIC or Defense Information Analysis Center services are requested, the DD Form 1540 and DD Form 1541 should be prepared and processed, in accordance with component implementations of DoD Instruction 5200.21. Whenever possible, the DD Form 1540 should be prepared and forwarded simultaneously with the DD Form 254.

l. Item 12. In subcontracting situations, item b will contain the signature and typed name and title of the FSO or the designated representative issuing the subcontract. Inquiries pertaining to classification guidance, determinations, or interpretations shall be directed to this official.

m. Item 13. Subcontractors of all tiers shall be instructed, via item b, to submit proposed public releases through the prime contractor listed in item 7a who will then process the release in accordance with the guidance provided in the DD Form 254 for the prime contract.

n. Item 14. Read and closely observe the instructions presented at the top half of the item. Check applicable block(s) to indicate the manner in which the security classification guidance is conveyed for this classified effort. Classified narratives or guides shall always be transmitted under separate cover. When item b is checked, list guide(s) under item 15 or in an attached list. When item c is checked, enter in item 15 the appropriate instructions from paragraph 60h. (See paragraph 5 below for an explanation of

<sup>1/</sup> The entry into a controlled area, per se, will not constitute access to classified information, if the security measures which are in force prevent the gaining of knowledge of the classified information. Therefore, the entry into a controlled area under conditions that prevent the gaining of knowledge of classified information will not necessitate a PCL.

commonly used terms.) Check item d if this is a final DD Form 254 and item 6 has a "No" answer. Check item e and provide date for review when biennial review of DD Form 254 is required.

o. Item 15. Should be used for remarks, as appropriate.

p. Item 16. The contracting officer or authorized designee, after reviewing the DD Form 254 to ensure adequacy, will affix his or her signature in item c, and items b, d, and e, will be completed to furnish appropriate identifying information concerning the approving official.

5. Narratives or classification guides used to provide the security classification specifications and the downgrading and declassification instructions should clearly identify the specific details of information that warrant security protection against unauthorized disclosure. It is important to ensure that statements of classification are clear enough to be easily understood and applied readily in determining which items of information in the contractual effort require a security classification. To assist the writer and user of the security classification specification, there are listed below several terms, which are commonly used in the description of that information which may require classification, together with their generally accepted meanings. However, this does not preclude inclusion of terms devoted to a particular classified effort or an additional page(s) of the narrative/guide.

a. Accuracy. This refers to the precision with which the designed function is performed.

b. Altitude. The vertical distance of a level, a point, or an object considered as a point that is measured from mean sea level is the altitude.

(1) Maximum. This is the altitude beyond which performance is not possible.

(2) Minimum. This is the altitude below which performance is not possible.

(3) Optimum. This is the altitude spread at which performance is most satisfactory or effective.

c. Blast Effect. This refers to the destruction of, or damage to, structures and personnel by the force of an explosion on or above the surface of the ground. Blast effect may be contrasted with the cratering and ground shock effects of a projectile or charge that goes off beneath the surface.

d. Circular Error Probability. An indicator of the delivery accuracy of a weapon system that is used as a factor in determining probable damage to a target is the circular error probability. It is the radius of a circle within which half of the missiles/projectiles are expected to fall.

e. Command and Control System. This refers to the facilities, equipment, communications, procedures, and personnel essential to a commander for planning, directing, and controlling operations of assigned forces pursuant to the missions assigned.

f. Counter-Countermeasures Capability. Design features of the end item that are intended specifically to overcome enemy interference make up the counter-countermeasures capability. (Electronic counter-countermeasures is that division of electronic warfare involving actions taken to ensure friendly effective use of the electromagnetic spectrum despite the enemy's use of electronic warfare. Electronic countermeasures is that division of electronic warfare involving actions taken to prevent or reduce an enemy's effective use of the electromagnetic spectrum.)

g. Depth. Depth is the vertical distance from the plane of the hydrographic surface to a level, a point, or an object considered as a point below the surface.

(1) Maximum. This is the depth below which performance is not possible.

(2) Minimum. This is the depth above which performance is not possible.

(3) Optimum. This is the depth spread at which performance is most satisfactory or effective.

h. Design Information. This refers to a technique, principle, or design feature, or the unique application thereof, which in and of itself requires classification. The design information that requires protection must be specified.

i. End Item. This refers to a final combination of end products, component parts, and/or materials that is ready for its intended use, for example, ships, tanks, mobile machine shops, and aircraft.

j. Endurance. Endurance is the time an aircraft can continue flying or a ground vehicle or ship can continue operating under specified conditions, for example, without refueling.

k. Formula or Material. The chemical or physical nature of the ingredient(s) and its proportions make up a formula or material of which all, or part of, the end item is composed.

l. Fuel or Propellant. Source of energy. Type. Identification of fuel/propellant.

m. Initial Operational Capability. This is the first attainment of the capability to employ effectively a weapon, item of equipment, or system of approved specific characteristics, which is manned or operated by an adequately trained, equipped, and supported military unit or force.

n. Lethality/Critical Effects. The ability to cause a specified degree of damage to the target or to incapacitate personnel (including physical, physiological, and psychological effects) is described as lethality/critical effects.

o. Maneuverability. This is the ability to change position or direction.

p. Military Application. The military application is the use or purpose for which the end item is intended in sufficient detail that performance and/or tactical application is revealed or implied.

q. Military Characteristics. Those characteristics of equipment which reflect its ability to perform desired military functions are military characteristics. Military characteristics include physical and operational characteristics, but not technical characteristics.

r. Mission. A mission is the task, together with the purpose, which clearly indicates the action to be taken and the reason therefor.

s. Operational Characteristics. Those military characteristics which pertain primarily to the functions to be performed by equipment, either alone or in conjunction with other equipment, are operational characteristics. For example, for electronic equipment, operational characteristics include such items as frequency coverage, channeling, type of modulation, and character of emission.

t. Operational Readiness (Alert) Time/Time Cycle. This refers to the sequence and duration of important operations to be performed on or by the end items or specified component thereof during a normal cycle of function such as emplacement, loading and firing/launching, and warm-up prior to operation.

u. Orbit/Trajectory. The path of travel is the orbit/trajectory.

v. Range. The distance between any given point and an object or target is the range. This also refers to the extent or distance limiting the operation or action of something, such as the range of an aircraft, ship, or gun.

(1) Maximum. This is the greatest distance attainable.

(2) Minimum. This is the shortest distance attainable or allowable.

(3) Optimum. This is the range spread at which performance is most satisfactory or effective.

w. Reliability. This is the probability that the design function will be performed at or for a specified time and/or within specified limits.

x. Resolutions. This refers to the ability to analyze characteristics of a complex nature (such as signals and target signature characteristics) and to distinguish between them.

y. Signature Characteristics. Acoustic, magnetic, thermal, radiological, mechanical, electromagnetic, and similar phenomena that are critical to the operation of the end item or a component thereof, or that identify or reveal its presence are signature characteristics.

z. Speed/Velocity. This is the rate of movement or motion.

(1) Maximum. This is the greatest speed/velocity attainable.

(2) Cruising. This is the speed/velocity at which greatest efficiency is attained.

(3) Take-off or Launching. This is the speed/velocity needed to initiate flight.

(4) Landing. This is the speed/velocity needed in terminating flight.

(5) Acceleration and/or Deceleration. This is the rate of change of speed/velocity.

aa. System Capability. This refers to the maximum number of operations that the end item can perform simultaneously in carrying out its design function.

ab. Technical Characteristics. Those characteristics of equipment that pertain primarily to the engineering principles involved in producing equipment possessing desired military characteristics are technical characteristics. For example, for electronic equipment, technical characteristics include such items as circuitry and types and arrangement of components.

ac. Terminal Ballistics. Terminal ballistics are the effects and actions of a missile or projectile when it impacts or bursts at the target.

ad. Thrust. Thrust refers to the impelling force delivered.

(1) Classes -- maximum thrust expressed as an approximation or within a grouping

(2) Specific -- exact maximum thrust

(3) Specific Impulse -- amount of thrust in pounds that can be maintained for one second by one pound of fuel

ae. Vulnerability. Vulnerability refers to the susceptibility to defeat by the enemy.

SAMPLE

DEPARTMENT OF DEFENSE CONTRACT SECURITY CLASSIFICATION SPECIFICATION		1. THE REQUIREMENTS OF THE OOD INDUSTRIAL SECURITY MANUAL APPLY TO ALL SECURITY ASPECTS OF THIS EFFORT. THE FACILITY CLEARANCE REQUIRED IS: _____	
2. THIS SPECIFICATION IS FOR:		3. CONTRACT NUMBER OR OTHER IDENTIFICATION NUMBER <i>(Prime contracts must be shown for all subcontracts)</i>	4. DATE TO BE COMPLETED <i>(Estimated)</i>
a. PRIME CONTRACT	a. PRIME CONTRACT NUMBER	a.	a.
b. SUBCONTRACT (Use Item 15 for subcontracting beyond second tier)	b. FIRST TIER SUBCONTRACT NO.	b.	b.
c. REQUEST FOR BID, REQUEST FOR PROPOSAL OR REQ FOR QUOTATION	c. IDENTIFICATION NUMBER	c. DUE DATE	c.
5. THIS SPECIFICATION IS: <i>(See "NOTE" below. If item b or c is "X'd", also enter date for item a)</i>		5. ORIGINAL (Complete date in all cases)	
		DATE	
		b. REVISED (supercedes all previous specifications)	
		REVISION NO.	
		DATE	
		c. FINAL	
		DATE	
6. Is this a follow-on contract? <input type="checkbox"/> Yes <input type="checkbox"/> No. If YES, complete the following:			
a. PRECEDING CONTRACT NUMBER		b. DATE COMPLETED	
c. Accountability for classified material on preceding contract			
<input type="checkbox"/> is <input type="checkbox"/> is not, transferred to this follow-on contract.			
7a. Name, Address & Zip Code of Prime Contractor *		b. FSC Number	c. Name, Address & Zip Code of Cognizant Security Office
8a. Name, Address & Zip Code of First Tier Subcontractor *		b. FSC Number	c. Name, Address & Zip Code of Cognizant Security Office
9a. Name, Address & Zip Code of Second Tier Subcontractor, or facility associated with IFB, RFP OR RFQ *		b. FSC Number	c. Name, Address & Zip Code of Cognizant Security Office
* When actual performance is at a location other than that specified, identify such other location in Item 15.			
10a. General identification of the Procurement for which this specification applies		b. DoDAAD Number of Procuring Activity identified in Item 16d.	
c. Are there additional security requirements established in accordance with paragraph 1-114 or 1-115, ISR? <input type="checkbox"/> Yes <input type="checkbox"/> No. If YES, identify the pertinent contractual documents in Item 15.			
d. Are any elements of this contract outside the inspection responsibility of the cognizant security office? <input type="checkbox"/> Yes <input type="checkbox"/> No. If YES, explain in Item 15 and identify specific areas or elements.			
11. ACCESS REQUIREMENTS		YES	NO
a. Access to Classified Information Only at other contractor/Government activities.			
b. Receipt of classified documents or other material for reference only (no generation)			
c. Receipt and generation of classified documents or other material.			
d. Fabrication/Modification/Storage of classified hardware.			
e. Graphic arts services only.			
f. Access to IPO Information.			
g. Access to RESTRICTED DATA.			
h. Access to classified COMSEC Information.			
i. Cryptographic Access Authorization required.			
12. Refer all questions pertaining to contract security classification specification to the official named below (NORMALLY, thru ACO (Item 16e); EMERGENCY, direct with written record of inquiry and response to ACO) (thru prime contractor for subcontracts).		11. ACCESS REQUIREMENTS (Continued)	
a. The classification guidance contained in this specification and attachments referenced herein is complete and adequate.		j. Access to SENSITIVE COMPARTMENTED INFORMATION.	
b. Typed name, title and signature of program/project manager or other designated official		k. Access to other Special Access Program Information (Specify in Item 15).	
		l. Access to U. S. classified information outside the U. S. Panama Canal Zone, Puerto Rico, U. S. Possessions and Trust Territories.	
		m. Defense Documentation Center or Defense Information Analysis Center Services may be requested.	
		n. Classified ADP processing will be involved.	
		o. REMARKS:	
c. Activity name, address, Zip Code, telephone number and office symbol			

SAMPLE

13a. Information pertaining to classified contracts or projects, even though such information is considered unclassified, shall not be released for public dissemination except as provided by the Industrial Security Manual (paragraph 5a and Appendix IX).	
b. Proposed public releases shall be submitted for approval prior to release <input type="checkbox"/> Direct <input type="checkbox"/> Through (Specify):	
to the Directorate For Freedom of Information and Security Review, Office of the Assistant Secretary of Defense (Public Affairs) * for review in accordance with paragraph 5a of the Industrial Security Manual. * In the case of non-DoD User Agencies, see footnote, paragraph 5a, Industrial Security Manual.	
14. Security Classification Specifications for this solicitation/contract are identified below ("X" applicable box(es) and supply attachments as required). Any narrative or classification guide(s) furnished shall be annotated or have information appended to clearly and precisely identify each element of information which requires a classification. When a classification guide is utilized, that portion of the guide(s) pertaining to the specific contractual effort may be extracted and furnished the contractor. When a total guide(s) is utilized, each individual portion of the guide(s) which pertains to the contractual effort shall be clearly identified in Item 14b. The following information must be provided for each item of classified information identified in an extract or guide: (I) Category of classification. (II) Date or event for declassification or review for declassification, and (III) The date or event for downgrading (if applicable). The official named in Item 12b, is responsible for furnishing the contractor copies of all guides and changes thereto that are made a part of this specification. Classified information may be attached or furnished under separate cover.	
<input type="checkbox"/> a. A completed narrative is (1) <input type="checkbox"/> attached, or (2) <input type="checkbox"/> transmitted under separate cover and made a part of this specification.	
<input type="checkbox"/> b. The following classification guide(s) is made a part of this specification and is (1) <input type="checkbox"/> attached, or (2) <input type="checkbox"/> transmitted under separate cover. (List guides under Item 15 or in an attachment by title, reference number and date).	
<input type="checkbox"/> c. Service-type contract/subcontract. (Specify instructions in accordance with ISR/ISM, as appropriate).	
<input type="checkbox"/> d. "X" only if this is a final specification and Item 6 is a "NO" answer. In response to the contractor's request dated _____ retention of the identified classified material is authorized for a period of _____.	
<input type="checkbox"/> e. Annual review of this DD Form 254 is required. If "X'd", provide date such review is due: _____.	
15. Remarks (Whenever possible, illustrate proper classification, declassification, and if applicable, downgrading instructions).	
16a. Contract Security Classification Specifications for Subcontracts issuing from this contract will be approved by the Office named in Item 16e below, or by the prime contractor, as authorized. This Contract Security Classification Specification and attachments referenced herein are approved by the User Agency Contracting Officer or his Representative named in Item 16b below.	
REQUIRED DISTRIBUTION:	b. Typed name and title of approving official
<input type="checkbox"/> Prime Contractor (Item 7a)	
<input type="checkbox"/> Cognizant Security Office (Item 7c)	
<input type="checkbox"/> Administrative Contracting Office (Item 16e)	c. Signature
<input type="checkbox"/> Quality Assurance Representative	
<input type="checkbox"/> Subcontractor (Item 8a)	
<input type="checkbox"/> Cognizant Security Office (Item 8c)	d. Approving official's activity address and Zip Code
<input type="checkbox"/> Program/Project Manager (Item 12b)	
<input type="checkbox"/> U. S. Activity Responsible for Overseas Security Administration	
ADDITIONAL DISTRIBUTION:	e. Name, address and Zip Code of Administrative Contracting Office
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	

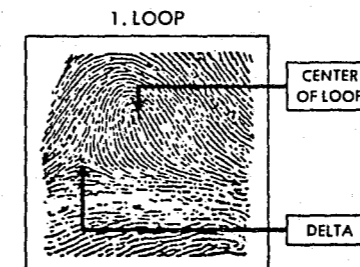


G. "Applicant Fingerprint Card" (FD Form 258). This form is completed for all personnel being considered by DISCO for a PCL or a reciprocal clearance. Completion of the form is a prerequisite to the granting of such actions. Care shall be exercised to ensure that fingerprints are authentic, legible, and complete, as forms that do not meet prescribed standards shall be returned for reexecution, which will result in clearance delays.

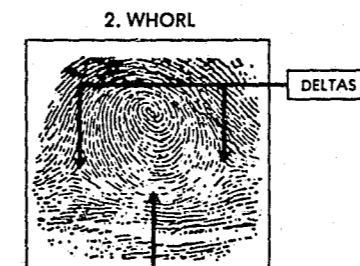
FD Form 258

SAMPLE

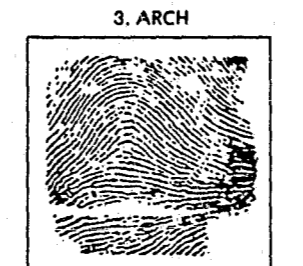
FEDERAL BUREAU OF INVESTIGATION  
 UNITED STATES DEPARTMENT OF JUSTICE  
 WASHINGTON, D.C. 20537  
**APPLICANT**



THE LINES BETWEEN CENTER OF LOOP AND DELTA MUST SHOW



THESE LINES RUNNING BETWEEN DELTAS MUST BE CLEAR



ARCHES HAVE NO DELTAS

- TO OBTAIN CLASSIFIABLE FINGERPRINTS:
1. USE BLACK PRINTER'S INK.
  2. DISTRIBUTE INK EVENLY ON INKING SLAB.
  3. WASH AND DRY FINGERS THOROUGHLY.
  4. ROLL FINGERS FROM NAIL TO NAIL AND AVOID ALLOWING FINGERS TO SLIP.
  5. BE SURE IMPRESSIONS ARE RECORDED IN CORRECT ORDER.
  6. IF AN AMPUTATION OR DEFORMITY MAKES IT IMPOSSIBLE TO PRINT A FINGER, MAKE A NOTATION TO THAT EFFECT IN THE INDIVIDUAL FINGER BLOCK.
  7. IF SOME PHYSICAL CONDITION MAKES IT IMPOSSIBLE TO OBTAIN PERFECT IMPRESSIONS, SUBMIT THE BEST THAT CAN BE OBTAINED WITH A MEMO STAPLED TO THE CARD EXPLAINING THE CIRCUMSTANCES.
  8. EXAMINE THE COMPLETED PRINTS TO SEE IF THEY CAN BE CLASSIFIED, BEARING IN MIND THAT MOST FINGERPRINTS FALL INTO THE PATTERNS SHOWN ON THIS CARD (OTHER PATTERNS OCCUR INFREQUENTLY AND ARE NOT SHOWN HERE).

- THIS CARD FOR USE BY:
1. LAW ENFORCEMENT AGENCIES IN FINGERPRINTING APPLICANTS FOR LAW ENFORCEMENT POSITIONS.\*
  2. OFFICIALS OF STATE AND LOCAL GOVERNMENTS FOR PURPOSES OF EMPLOYMENT, LICENSING, AND PERMITS, AS AUTHORIZED BY STATE STATUTES AND APPROVED BY THE ATTORNEY GENERAL OF THE UNITED STATES, LOCAL AND COUNTY ORDINANCES UNLESS SPECIFICALLY BASED ON APPLICABLE STATE STATUTES DO NOT SATISFY THIS REQUIREMENT.\*
  3. U.S. GOVERNMENT AGENCIES AND OTHER ENTITIES REQUIRED BY FEDERAL LAW.\*\*
  4. OFFICIALS OF FEDERALLY CHARTERED OR INCORPORATED BANKING INSTITUTIONS TO PROMOTE OR MAINTAIN THE SECURITY OF THOSE INSTITUTIONS.

LEAVE THIS SPACE BLANK

- INSTRUCTIONS:
- \*1. PRINTS MUST FIRST BE CHECKED THROUGH THE APPROPRIATE STATE IDENTIFICATION BUREAU, AND ONLY THOSE FINGERPRINTS FOR WHICH NO DISQUALIFYING RECORD HAS BEEN FOUND LOCALLY SHOULD BE SUBMITTED FOR FBI SEARCH.
  2. PRIVACY ACT OF 1974 (P.L. 93-579) REQUIRES THAT FEDERAL, STATE, OR LOCAL AGENCIES INFORM INDIVIDUALS WHOSE SOCIAL SECURITY NUMBER IS REQUESTED WHETHER SUCH DISCLOSURE IS MANDATORY OR VOLUNTARY, BASIS OF AUTHORITY FOR SUCH SOLICITATION, AND USES WHICH WILL BE MADE OF IT.
  - \*\*3. IDENTITY OF PRIVATE CONTRACTORS SHOULD BE SHOWN IN SPACE "EMPLOYER AND ADDRESS". THE CONTRIBUTOR IS THE NAME OF THE AGENCY SUBMITTING THE FINGERPRINT CARD TO THE FBI.
  4. FBI NUMBER, IF KNOWN, SHOULD ALWAYS BE FURNISHED IN THE APPROPRIATE SPACE.
- MISCELLANEOUS NO. RECORD: OTHER ARMED FORCES NO., PASSPORT NO. (PP), ALIEN REGISTRATION NO. (AR), PORT SECURITY CARD NO. (PS), SELECTIVE SERVICE NO. (SS), VETERANS' ADMINISTRATION CLAIM NO. (VA).

SAMPLE

<b>APPLICANT</b>		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK		LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED		LAST NAME <b>NAM</b>		FIRST NAME		MIDDLE NAME	
RESIDENCE OF PERSON FINGERPRINTED		ALIASES <b>AKA</b>		OR <b>DISDIS000Z</b>		DATE OF BIRTH <b>DOB</b>	
DATE		CITIZENSHIP <b>CTZ</b>		<b>DIS NACC</b>		Month Day Year	
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		SEX		RACE		HGT	
EMPLOYER AND ADDRESS		YOUR NO. <b>OCA</b>		WGT		EYES	
REASON FINGERPRINTED		FBI NO. <b>EB</b>		HAIR		PLACE OF BIRTH <b>POB</b>	
		ARMED FORCES NO. <b>MNU</b>		CLASS		LEAVE BLANK	
		SOCIAL SECURITY NO. <b>SOC</b>		REF.			
		MISCELLANEOUS NO. <b>MNU</b>					
1. R. THUMB		2. R. INDEX		3. R. MIDDLE		4. R. RING	
5. R. LITTLE		6. L. THUMB		7. L. INDEX		8. L. MIDDLE	
9. L. RING		10. L. LITTLE					
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		L. THUMB		R. THUMB		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY	

H. "Request for Visit or Access Approval" (DOE F 5631.20). This form is included for information purposes. It is used for processing visits involving access to RESTRICTED DATA. Copies of this form may be obtained from the DOE.

SAMPLE

DOE F 5631.20 (3-83) (Formerly DP-277)

U.S. DEPARTMENT OF ENERGY  
REQUEST FOR VISIT OR ACCESS APPROVAL  
(Not to be used for temporary or permanent personnel assignments.)

PART "A"

To: \_\_\_\_\_ Date: \_\_\_\_\_  
From: \_\_\_\_\_ Prepared by: \_\_\_\_\_  
Symbol: \_\_\_\_\_  
Telephone No.—Commercial: \_\_\_\_\_

It is requested that the following person(s) be granted visit/access approval:

LAST NAME, FIRST, MIDDLE INITIAL AND SOCIAL SECURITY NUMBER	GENDER		DATE OF BIRTH	ORGANIZATION	TYPE OF CLEARANCE	CLEARANCE NO.	DATE OF EXPIRATION
	MALE	FEMALE					

NAME OF FACILITY(IES) TO BE VISITED: \_\_\_\_\_  
FOR THE PURPOSE OF: \_\_\_\_\_  
TO COMPARE WITH THE FOLLOWING PERSON(S): \_\_\_\_\_  
SPECIFIC INFORMATION TO WHICH ACCESS IS REQUESTED: \_\_\_\_\_  
Prior arrangements have/has not been made as follows: \_\_\_\_\_  
Access requested to: Restricted Data  Yes  No  
Other classified info  Yes  No

CERTIFICATION FOR PERSONNEL HAVING DOD CLEARANCE  
This certifies that the person(s) named above needs this access in the performance of duty and that permitting the above access will not endanger the common defense and security.  
Name and Title, Requesting DOD Official: \_\_\_\_\_  
Title, Authorizing DOD Official (See DOD Directive 5210.2 and 5210.8): \_\_\_\_\_  
Special Agent in Charge (See AR 380-100; OPIAV 58-133; AFR 205-1)

CERTIFICATION FOR PERSONNEL HAVING DOE CLEARANCE  
This certifies that the person(s) named above needs this access in the performance of duty.  
Title: \_\_\_\_\_  
Requesting DOE or Other Government Agency: \_\_\_\_\_

Approval is granted with limitations indicated below:

Manager of Operations for Headquarters Division Director

SEE REVERSE OF PART B FOR PRIVACY ACT INFORMATION STATEMENT

Insert the office and address of DOE Manager having operational control over the installation to be visited.

Insert contracting activity and address of User Agency supporting the visit request.

Enter the full name of each proposed visitor and his social security number.

State the purpose of the visit in sufficient detail to enable the addressee to ascertain the subject area involved, and to determine the level and scope of access required. Classified information will not be disclosed in this item.

To be signed, on the original only, by the contracting officer. Then forward to appropriate DOE Manager of operations.

Insert the signature block of the certifying official. Also show the position title of the certifying official (for example: A. B. Jones, Contracting Officer, Project Spoonfish, Naval Ship Systems Command, Main Navy Bldg., Washington, DC 20360).

Insert the date on which the form is prepared.

Enter symbol and telephone number of contracting officer of activity identified in "From" line.

Federal telephone system.

Name and address of contractor facility.

For each proposed visitor, show the current highest level of access he or she is authorized, and the date of its issuance. For contractor personnel, use the date of the current Letter of Consent (DISCO Form 560), which can be obtained from the contractor or from his or her cognizant security office. To be certified by the Facility Security Supervisor.

Leave blank; this space is for use by the activity to be visited.

PRIVACY ACT INFORMATION STATEMENT

Collection of the information requested is authorized by Section 145 of the Atomic Energy Act of 1954, as amended (PL 83-703, 42 USC 2165). Compliance with this request is voluntary; however, if the information submitted is inadequate or incomplete, approval for your visit to a classified DOE facility, or your access to classified information may be delayed or withheld. The information you furnish will be used by DOE and DOE contractors to control access to classified information and areas.

The social security number is not required for these purposes, but you may voluntarily furnish it to assist us in correct identification.

I. "Letter of Notification of Facility Security Clearance" (DIS FL 381-R). This letter is used by the DIS to notify a facility that it has been granted a FCL. Letters of notification shall not be duplicated, and the fact that a FCL has been granted shall not be used for promotional or advertising purposes.

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(Sample "Letter of Notification of Facility Security Clearance")  
(Edition of January 1981 is obsolete.)

(Use appropriate DIS letterhead stationery.)

Name and Address of Facility

Dear \_\_\_\_\_:

In reference to our earlier correspondence regarding the eligibility of your facility for a Department of Defense security clearance, I am pleased to advise that the necessary processing has been completed and security clearance at the

\_\_\_\_\_ level is hereby granted to your facility.

The fact that your organization has qualified for and been granted a facility security clearance may not be used for advertising or promotional purposes, nor may this letter be reproduced in any form except for the necessary records of your organization.

As your cognizant security office, we are vitally interested in assisting you in the development of a sound security posture. We will conduct periodic reviews of your program to aid you in maintaining proper security safeguards. You may contact us for guidance or assistance.

Sincerely,

(Signature and Title)

DIS FL 381-R  
Oct 83

J. Reserved.

K. "Department of Defense Security Agreement" (DD Form 441) and "Appendage" (DD Form 441-1). This form is used to obtain the formal agreement of management of a facility to abide by the DoD "Industrial Security Manual for Safeguarding Classified Information" (Attachment to DD Form 441). Once executed, a DD Form 441 continues in effect until terminated by one of the parties thereto, as provided for in section IV, "Termination," of the form. Execution of the DD Form 441 is a prerequisite to the processing of a FCL. An appendage (DD Form 441-1), to be used when management desires to indicate multiple facility coverage with one "DD Form 441," is included herewith. After a "Department of Defense Security Agreement" has been properly executed, a contractor may use the DD Form 441-1 to accomplish additions, deletions, or changes in the branches and/or facilities included in and covered by the DD Form 441. After the HOF of the MFO has executed the DD Form 441, it is permissible for one of the executive personnel at the specific operating location of the company, including the FSO, to sign the DD Form 441-1. This authority may be exercised by the local management official, provided he or she has the delegated authorization to do so, whether or not the official is also an officer of the company.

SAMPLE

**DEPARTMENT OF DEFENSE  
SECURITY AGREEMENT**

THIS DEPARTMENT OF DEFENSE SECURITY AGREEMENT (hereinafter called the Agreement), entered into this day of \_\_\_\_\_, 19\_\_\_\_, by and between the UNITED STATES OF AMERICA, through the Defense Investigative Service acting for the Department of Defense and other governmental User Agencies (hereinafter called the Government), and

(i) a corporation organized and existing under the laws of the state of \_\_\_\_\_

(ii) a partnership consisting of \_\_\_\_\_

(iii) an individual trading as \_\_\_\_\_

with its principal office and place of business at \_\_\_\_\_ in the city of \_\_\_\_\_, state of \_\_\_\_\_ (hereinafter called the Contractor)

WITNESSETH THAT:

WHEREAS, the Government has in the past purchased or may in the future purchase from the Contractor supplies or services, which are required and necessary to the national security of the United States; or may invite bids or request quotations on proposed contracts for the purchase of supplies or services, which are required and necessary to the national security of the United States; and

WHEREAS, it is essential that certain security measures be taken by the Contractor prior to and after being accorded access to classified information; and

WHEREAS, the parties desire to define and set forth the precautions and specific safeguards to be taken by the Contractor and the Government in order to preserve and maintain the security of the United States through the prevention of improper disclosure of classified information, sabotage, or any other acts detrimental to the security of the United States;

Now, THEREFORE, in consideration of the foregoing and of the mutual promises herein contained, the parties hereto agree as follows.

**Section I - SECURITY CONTROLS**

(A) The Contractor agrees to provide and maintain a system of security controls within the organization in accordance with the requirements of the Department of Defense "Industrial Security Manual for Safeguarding Classified Information" (hereinafter called the Manual) attached hereto and made a part of this Agreement, subject, however, (i) to any revisions of the Manual required by the demands of national security as determined by the Government, notice of which shall be furnished to the Contractor, and (ii) to mutual agreements entered into by the parties in order to adapt the Manual to the Contractor's business and necessary procedures thereunder. In order to place in effect such security controls, the Contractor further agrees to prepare Standard Practice Procedures for internal use, such procedures to be consistent with the Manual. In the event of any inconsistency between the Manual, as revised, and the Contractor's Standard Practice Procedures, the Manual shall control.

(B) The Government agrees that it shall indicate, when necessary, by security classification (TOP SECRET, SECRET, or CONFIDENTIAL) the degree of importance to the national security of information pertaining to supplies, services, and other matters to be furnished by the Contractor to the Government, or by the Government to the Contractor, and the Government shall give written notice of such security classification to the Contractor and of any subsequent changes thereof; provided, however, that matters requiring security classification will be assigned the least restricted security classification consistent with proper safeguarding of the matter concerned, since over-classification causes unnecessary operational delays and depreciates the importance of correctly classified matter. Further, the Government agrees that when Atomic Energy information is involved it will, when necessary, indicate by a marking additional to the classification marking that the information is "RESTRICTED DATA." The "Department of Defense Contract Security Classification Specification" (DD Form 254) is the basic document by which classification, regrading, and declassification specifications are documented and conveyed to the Contractor.

(C) The Government agrees, on written application, to grant personnel security clearances to eligible employees of the Contractor who require access to information classified TOP SECRET, SECRET, or CONFIDENTIAL.

(D) The Contractor agrees to determine that any subcontractor, subbidder, individual, or organization proposed for the furnishing of supplies or services, which will involve access to classified information, has been granted an appropriate Department of Defense facility security clearance, which is still in effect prior to according access to such classified information.

**Section II - INSPECTION**

Designated representatives of the Government responsible for inspection pertaining to industrial plant security shall have the right to inspect, at reasonable intervals, the procedures, methods, and facilities utilized by the Contractor in complying with the requirements of the terms and conditions of the Manual. Should the Government, through its authorized representative, determine that the Contractor's security methods, procedures, or facilities do not comply with such requirements, it shall submit a written report to the Contractor advising of the deficiencies.

**Section III - MODIFICATION**

Modification of this Agreement may be made only by written agreement of the parties hereto. The Manual may be modified in accordance with section I of this Agreement.

SAMPLE

**Section IV - TERMINATION**

This Agreement shall remain in effect until terminated through the giving of 30 days' written notice to the other party of the intention to terminate; provided, however, notwithstanding any such termination, the terms and conditions of this Agreement shall continue in effect so long as the Contractor possesses classified information.

**Section V - PRIOR SECURITY AGREEMENTS**

As of the date hereof, this Agreement replaces and succeeds any and all prior security or secrecy agreements, understandings, and representations, with respect to the subject matter included herein, entered into between the Contractor and the Government; provided, that the term "security or secrecy agreements, understandings, and representations" shall not include agreements, understandings, and representations contained in contracts for the furnishing of supplies or services to the Government, which were previously entered into between the Contractor and the Government.

**Section VI - SECURITY COSTS**

This Agreement does not obligate Government funds, and the Government shall not be liable for any costs or claims of the Contractor arising out of this Agreement or instructions issued hereunder. It is recognized, however, that the parties may provide in other written contracts for security costs, which may be properly chargeable thereto.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day and year written above:

THE UNITED STATES OF AMERICA

By \_\_\_\_\_

(Authorized Representative of the Government)

(Corporation)

WITNESS

By \_\_\_\_\_

(Firm)

(Title)

(Address)

NOTE: In case of a corporation, witnesses are not required, but the certificate must be completed. Type or print names under all signatures.

NOTE: The Contractor, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.

**CERTIFICATE**

I, \_\_\_\_\_, certify that I am the \_\_\_\_\_ of the corporation named as Contractor herein; that \_\_\_\_\_ who signed this agreement on behalf of the Contractor, was then \_\_\_\_\_ of said corporation; that said agreement was duly signed for and in behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.

(Corporate Seal) \_\_\_\_\_ (Signature)

SAMPLE

APPENDAGE TO DEPARTMENT OF DEFENSE SECURITY AGREEMENT		
(It is further agreed, on this _____ day of _____, 19____, by and between the United States of America through the Defense Investigative Service, acting for the Department of Defense, hereafter called the Government, and _____ which has entered into the Security Agreement to which this appendix is made a part that the branches and/or facilities listed below, owned and/or operated by said contractor are included in and covered by the provisions of the said Security Agreement, and Certificate Pertaining to Foreign Affiliation, DD Form 441s.		
NAME OF PLANT OR FACILITY	NUMBER AND STREET ADDRESS	CITY AND STATE
THE UNITED STATES OF AMERICA		CONTRACTOR
BY		BY (Authorized Representative of Contractor)
AUTHORIZED REPRESENTATIVE OF THE GOVERNMENT		TITLE
		ADDRESS

L. "Certificate Pertaining to Foreign Interests" (DD Form 441s). This form is used to provide formal certification from the contractor relative to FOCI, in order that the DoD may determine eligibility for a FCL. In completing the DD Form 441s, all items are to be answered by indicating "X" in either the "Yes" or "No" column. If an answer to any question is "Yes," the following paragraphs provide instructions for the submission of necessary data.

Question 1. Identify the percentage of any class of shares or other securities issued, that is owned by foreign interests, broken down by country. If the answer is "Yes" and a copy of Schedule 13D and/or Schedule 13G filed by the investor with the Securities and Exchange Commission (SEC), has been received, attach a copy of Schedule 13D and/or Schedule 13G to the revised DD Form 441s.

Question 2. Furnish the name, address by country, and the percentage owned. Include name and title of officials of the facility who occupy positions with the foreign entity, if any.

Question 3. Furnish full information concerning the identity of the foreign interest, and the position he or she holds in the organization.

Question 4. Identify the foreign interest(s) and furnish full details concerning the control or influence.

Question 5. Furnish name of foreign interest, country, and nature of agreement or involvement. Agreements include licensing, sales, patent exchange, trade secrets, agency, cartel, partnership, joint venture, and proxy. If the answer is "Yes" and a copy of Schedule 13D and/or Schedule 13G filed by the investor with the SEC has been received, attach a copy of Schedule 13D and/or Schedule 13G to the revised DD Form 441s.

Question 6. Furnish the amount of indebtedness and by whom furnished as related to the current assets of the organization. Include specifics as to the type of indebtedness and what, if any, collateral, including voting stock, has been furnished or pledged. If any debentures are convertible, specifics are to be furnished.

Question 7. State full particulars with respect to any income from Communist countries, including percentage from each such country, as related to total income, and the type of services or products involved. If income is from non-Communist countries, give overall percentage as related to total income and type of services or products in general terms. If income is from a number of foreign countries, identify countries and include percentage of income by each country.

Question 8. Identify each foreign institutional investor holding 5 percent or more of the voting stock. Identification should include the name and address of the investor and percentage of stock held. State whether the investor has attempted to, or has in fact, exerted any management control or influence over the appointment of directors, officers, or other key management personnel, and whether such investors have attempted to influence the policies of the corporation. If a copy of Schedule 13D and/or Schedule 13G filed by the investor with the SEC has been received, attach a copy of Schedule 13D and/or Schedule 13G to the revised DD Form 441s.

Question 9. Include identifying data on all such directors. If they have a security clearance, state so. Also, indicate the name and address of all other corporations with which they serve in any capacity.

Question 10. Provide complete information by identifying the individuals and the country of which they are a citizen. Category 4 (see paragraph 4ld) visits are not included in the range of this question.

Question 11. Describe the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.

SAMPLE

CERTIFICATE PERTAINING TO FOREIGN INTERESTS		TYPE OR PRINT ALL ANSWERS	FORM APPROVED OMB NO. 0704-0024 EXP. DATE MAR 1984
<b>PENALTY NOTICE</b>			
<p><b>PENALTY</b> - Failure to answer all questions, or any misrepresentation (by omission or concealment, or by misleading, false or partial answers) may serve as a basis for denial of clearance for access to classified Department of Defense information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment \$10,000 fine, or both, knowingly to make a false statement or representation to any Department or Agency of the United States, as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly incorrect, incomplete or misleading in any important particular.</p>			
<b>PROVISIONS</b>			
<p>1. This report is authorized by the Secretary of Defense pursuant to authority granted him by E.O. 10865. While you are not required to respond, your eligibility for a facility security clearance cannot be determined if you do not complete this form. The retention of a facility security clearance is contingent upon your compliance with the requirements of DoD 5220.22-M for submission of a revised form as appropriate.</p> <p>2. When this report is submitted in confidence and is so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold it from public disclosure.</p> <p>3. Complete all questions on this form. Answer each question in either the "Yes" or "No" column. If your answer is "Yes" furnish in full the complete information under "Remarks".</p>			
QUESTION	YES	NO	
1. Do foreign interests own or have beneficial ownership in 5% or more of your organization's securities?			
2. Does your organization own any foreign interest in whole or in part?			
3. Do any foreign interests have positions, such as directors, officers, or executive personnel in your organization?			
4. Does any foreign interest control or influence, or is any foreign interest in a position to control or influence the election, appointment, or tenure of any of your directors, officers, or executive personnel?			
5. Does your organization have any contracts, agreements, understandings or arrangements with a foreign interest(s)?			
6. Is your organization indebted to foreign interests?			
7. Does your organization derive any income from Communist countries or income in excess of 10% of gross income from non-Communist foreign interests?			
8. Is 5% or more of any class of your organization's securities held in "nominee shares," in "street names" or in some other method which does not disclose the beneficial owner of equitable title?			
9. Does your organization have interlocking directors with foreign interests?			
10. Are there any citizens of foreign countries employed by or who may visit your facility (or facilities) in a capacity which may permit them to have access to classified information (exclude cleared immigrant aliens in answering this question)?			
11. Does your organization have any foreign involvement not otherwise covered in your answers to the above questions?			

SAMPLE

REMARKS (Attach additional sheets, if necessary, for a full detailed statement)

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**CERTIFICATION**

I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

WITNESS:

	DATE CERTIFIED
	By
	CONTRACTOR
	TITLE
	ADDRESS

NOTE: In case of corporation, witnesses not required but certificate below must be completed. Type or print names under all signatures.

---

NOTE: Contractor, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the agreement and the certificate.

**CERTIFICATE**

I, \_\_\_\_\_ certify that I am the \_\_\_\_\_ of the corporation named as Contractor herein; that \_\_\_\_\_ who signed this certificate on behalf of the Contractor, was then \_\_\_\_\_ of said corporation; that said certificate was duly signed for and in behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.

(Corporate Seal) \_\_\_\_\_ SIGNATURE AND DATE

M. "Security Briefing and Termination Statements (Industrial Personnel)" (DISCO Form 482). This is a two-part form prescribed for use by employees of contractors. Part I shall be executed by employees following their initial security briefings prior to being granted access to classified information, to certify that they have read and are familiar with the provisions of the espionage laws and other federal criminal statutes applicable to the safeguarding of classified information. Part II shall be executed by the employees during termination proceedings to make like declarations. The use of this form shall supersede all local forms presently used by contractors. The espionage laws and other federal criminal statutes referred to in this form are in Title 50 U.S.C. § 797 and the following sections of Title 18 U.S.C. §§ 793, 794, 795, 796, 797, 798, 799, 2153, 2154, 2155, 2156, and 371. These sections of the U.S.C. are set forth in appendix VI.

SAMPLE

SECURITY BRIEFING AND TERMINATION STATEMENTS (INDUSTRIAL PERSONNEL)		
<p>Section 1001 of Title 18, United States Code, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment, \$10,000 fine, or both, knowingly and willfully to make a false statement or representation to any Department or Agency of the United States, as to any matter within the jurisdiction of any Department or Agency of the United States.</p> <p><i>INSTRUCTION: Part I of this form shall be executed by an employee of a contractor following his initial security briefing, and prior to being permitted access to classified information. An employee who executes Part I and who subsequently is absent from place of employment, for any reason, for more than one year, must reexecute a new Part I before again being permitted access to classified information.</i></p> <p><i>Part II shall be executed by the employee:</i></p> <p><i>a. at the time of termination of employment (discharge, resignation, or retirement).</i></p> <p><i>b. at the beginning of a layoff or leave of absence for an indefinite period, or a prescribed period in excess of one year.</i></p> <p><i>c. if the employee's personnel security clearance is administratively terminated.</i></p> <p><i>d. if the employee's personnel security clearance is suspended or revoked by the Department of Defense.</i></p> <p><i>e. upon termination of the facility's security clearance.</i></p> <p><i>If the employee refuses to sign either part of this form, the contractor shall notify his cognizant security office immediately.</i></p>		
TYPED NAME OF EMPLOYEE (Last, First, Middle)		TYPED NAME OF CONTRACTOR
PART I - INITIAL SECURITY BRIEFING STATEMENT		
DATE OF BRIEFING	TYPED NAME AND TITLE OF PERSON BRIEFING EMPLOYEE	
<p>I hereby certify that I have received a security briefing. I shall not knowingly and willfully communicate, deliver, or transmit, in any manner, classified information to an unauthorized person or agency. I am informed that such improper disclosure may be punishable under Federal criminal statutes. I have been instructed in the importance of classified information, and in the procedure governing its safeguarding. I am informed that willful violation or disregard of security regulations may cause the loss of my security clearance. I have read, or have had read to me, the portions of the Espionage Laws and other Federal criminal statutes relating to the safeguarding of classified information reproduced in Appendix VI, "Department of Defense Industrial Security Manual." I will report to the Federal Bureau of Investigation and to my employer, without delay, any incident which I believe to constitute an attempt to solicit classified information by an unauthorized person.</p>		
TYPED NAME AND SIGNATURE OF WITNESS	DATE SIGNED	SIGNATURE OF EMPLOYEE
PART II - SECURITY TERMINATION STATEMENT		
<p>I certify that I have read, or have had read to me, the portions of the Espionage Laws and other Federal criminal statutes applicable to the safeguarding of classified information reproduced in Appendix VI, "Department of Defense Industrial Security Manual"; that I have surrendered all classified information in my custody; that I will not knowingly and willfully communicate, deliver or transmit, in any manner, classified information to an unauthorized person or agency; that I will report to the Federal Bureau of Investigation, without delay, any incident which I believe to constitute an attempt to solicit classified information by an unauthorized person; and that I (have) (have not) (<i>strike out inappropriate word or words</i>) also received a terminal, oral security briefing.</p>		
TYPED NAME AND SIGNATURE OF WITNESS	DATE SIGNED	SIGNATURE OF EMPLOYEE

N. "Letter of Consent" (DISCO Form 560). The LOC is used by DISCO to notify a facility that one of its employees is authorized to have access to classified information of the category indicated. LOC's are not issued to individuals; therefore, this form shall not be released to employees.

SAMPLE

LAST NAME - FIRST NAME - MIDDLE		DATE	OTHER NAMES
SOCIAL SECURITY NO.	PLACE OF BIRTH		
DATE OF BIRTH	ODDEP	PHYS LOC	CITIZEN OF
LEVEL OF CLEARANCE			
NAME AND ADDRESS OF CONTRACTOR			
VOID			
<p><small>GENTLEMEN: The consent of the Secretary of Defense is hereby granted for the above-named employee to have access to classified information up to and including the level shown, provided access is essential in connection with the performance of a classified contract. Unless suspended or revoked by the Department of Defense, or administratively terminated when access no longer is required, this personnel security clearance is valid as long as the individual is continuously employed by your organization. If this clearance is administratively terminated and a need for access develops later, or if employment is terminated and the individual is subsequently reemployed and requires access, this clearance may be reinstated provided not more than one year has elapsed since it was last valid. This consent will continue in effect if the employee is transferred to another facility of your organization if continued clearance is required, and provided DISCO is promptly notified. You are required to report promptly to DISCO any information coming to your attention which may indicate that continued access to classified information may not be clearly consistent with the national interest. A copy of this form shall not be furnished to the above-named employee for any purpose whatsoever. You may reproduce it only as necessary for your organization's essential records or to meet Department of Defense requirements. This form shall be returned to DISCO upon death of the employee, or whenever return is requested by the Government.</small></p>			
ISSUED BY Defense Industrial Security Clearance Office Columbus, Ohio		SIGNATURE OF AUTHORIZED REPRESENTATIVE	
DISCO FM 560 (R1) AUG 81		LETTER OF CONSENT	
REPLACES DISCO FM 560 1 MAR 75 WHICH MAY BE USED UNTIL EXHAUSTED		DEPARTMENT OF DEFENSE INDUSTRIAL SECURITY PROGRAM	



O. Reserved.

P. "Personnel Security Clearance Change Notification" (DISCO Form 562).

a. This is a multipurpose form used by the contractor to report one of the following occurrences concerning a cleared employee or an employee for whom a clearance has been requested. The form is submitted to DISCO, except when the individual concerned is either cleared or in the process of being cleared in connection with the FCL, as required by paragraph 22. In these cases, the forms shall be submitted to the CSO. The CSO, after annotating its own records, will forward the form to DISCO. In the case of a termination, change of name, multiple facility transfer, collocated cleared facilities transfer (paragraph 72c), reinstatement of clearance, downgrading of a TOP SECRET clearance, or reinstatement of a previously downgraded TOP SECRET clearance, only one legible copy of the form is required to be submitted. In the case of a multiple facility transfer or reinstatement, DISCO will acknowledge its receipt using an appropriate form letter. In the case of a change of name, DISCO will issue a new LOC. When requesting reinstatement of a clearance, downgrading of a TOP SECRET clearance, or reinstatement of a previously downgraded TOP SECRET clearance, the name and address of the submitting facility, if different from block 4, shall appear in the "Remarks" portion of the form. In the case of a multiple facility transfer, the name and address of the facility to which the individual is transferred shall be included in the "Remarks" block. In this latter case, the name and address of the submitting facility, if different from block 4, shall also be listed and identified in the "Remarks" portion of the form.

b. The form shall be used by the contractor to report the following.

(1) Clearance transfers within a MFO (see paragraph 26f) -- the name and address of the facility to which the individual is transferred shall be included in the "Remarks" block of the form.

(2) Reemployment of cleared personnel (see paragraph 26h) -- indicate "Reemployment (date)" in the "Remarks" block of the form, if it is different from the effective date listed in block 1.

(3) Change of name (see paragraph 26j) -- the name of the individual exactly as shown on the LOC (or on the DD Form 48 or 49, in the case of an individual who is in the process of being cleared by DISCO) shall be placed in the "Name of Employee" block of the form. The individual's new name shall be set out in the "Remarks" block of the form. If the contractor has elected, under paragraph 26k(1)(b), to have the LOC sent to a facility other than the one at which the individual is employed, the name and address of that facility shall be identified in the "Job Title" block.

(4) Report of termination of employment (see paragraphs 6a(4) and 6b(2)) -- indicate "Termination (date)" in the "Remarks" block of the form, if it is different from the effective date listed in block 1.

(5) Downgrading of a TOP SECRET clearance (see paragraph 30a) -- in the "Remarks" block indicate, "Downgrade without prejudice to (SECRET or CONFIDENTIAL)."

(6) Reinstatement of a previously downgraded TOP SECRET clearance (see paragraph 30b) -- in the "Remarks" block indicate: "Reinstatement of previously downgraded TOP SECRET clearance due to a current requirement for access at such level."

(7) Administrative termination of PCL's that are no longer required -- government and contractor-granted clearances can be administratively terminated (see paragraph 29) for employees who no longer have, or require, access and will not require access in the foreseeable future. Forms submitted to accomplish administrative termination shall be processed as outlined in paragraph a above, or, in the case of administrative termination of a contractor-granted CONFIDENTIAL clearance, the form will be handled in accordance with the requirements outlined in paragraph 29.

(8) Clearance transfers between collocated facilities (see paragraphs 26e and 72c) -- block 1 "I" will be marked "collocated cleared facilities." Blocks 4-10 and 12-15 will be completed. Block 14 should include the contract number (if applicable) and the name and FSC of the gaining facility. The following statement must also be included in the "Remarks block": "(level) security clearance is required; time limits imposed by paragraph 26e, ISM, have been met."

c. It should be noted that where a contractor in a MFO elects, pursuant to paragraph 26k(1)(b), to have all LOC's issued to the HOF, the DISCO Form 562 will be utilized. In these cases, the name and address of the facility at which the individual is employed will be placed in the "Name, Address, FSC and Telephone Number of Employer" block of the DISCO Form 562. In addition, the name and address of the facility to which LOC's are mailed shall be placed in the "Job Title" block of the DISCO Form 562 (see paragraph 26k(3)).

SAMPLE

PERSONNEL SECURITY CLEARANCE CHANGE NOTIFICATION				FORM APPROVED OMB. NO. 0704-0131 EXP. DATE DEC 1986	
1. TYPE OF ACTION ("X" appropriate action box)			2. EFFECTIVE DATE OF ACTION "X'd" IN ITEM NO. 1		
<input type="checkbox"/> A. MULTIPLE FACILITY TRANSFER <input type="checkbox"/> B. REINSTATEMENT <input type="checkbox"/> C. CHANGE OF NAME <input type="checkbox"/> D. TERMINATION <input type="checkbox"/> E. ADMINISTRATIVE DOWNGRADE <input type="checkbox"/> F. REVALIDATION <input type="checkbox"/> G. CITIZENSHIP CHANGE <input type="checkbox"/> H. SSN CORRECTION <input type="checkbox"/> I. REQUEST FOR DUPLICATE LETTER OF CONSENT <input type="checkbox"/> J. DATE AND PLACE OF BIRTH CHANGE <input type="checkbox"/> K. EMPLOYEE STATUS CHANGE <input type="checkbox"/> L. COLLOCATED FACILITY TRANSFER <input type="checkbox"/> M. OTHER (Indicate specific action, e. g., concurrent clearance, etc.):					
3. TERMINATION STATUS (Complete if Item 1d, is "X'd")					
<input type="checkbox"/> ACTIVE CLEARANCE <input type="checkbox"/> PENDING CLEARANCE AND <input type="checkbox"/> DD FORM 48 SUBMITTED <input type="checkbox"/> DD FORM 48-3 SUBMITTED					
4. NAME, ADDRESS AND ZIP CODE OF EMPLOYER		4a. FED SUPPLY CODE	5. NAME OF EMPLOYEE (Last, First, Middle Name)		
		4b. TELEPHONE NO. (Include Area Code)	6. ANY OTHER NAME BY WHICH KNOWN (Alias, Maiden, or Former Legal Name; Designate which)		
7. DATE OF BIRTH	8. PLACE OF BIRTH	9. CITIZEN OF (Country)	10. SOCIAL SECURITY NUMBER		
11. CURRENT CLEARANCE INFORMATION (Termination of Company Confidential should not be reported here. Use blocks 15 and 16 for Company Confidential Administrative Termination)					
a. DEGREE OF CLEARANCE	b. DATE OF CLEARANCE	c. CLEARED BY			
12. IS EMPLOYEE CLEARED OR IN PROCESS FOR CLEARANCE IN CONNECTION WITH FACILITY SECURITY CLEARANCE (See Par. 22, ISM)					
<input type="checkbox"/> YES <input type="checkbox"/> NO. IF YES, ENTER JOB TITLE IN ITEM 13 AND SUBMIT THIS FORM TO COGNIZANT SECURITY OFFICE RATHER THAN DISCO.					
13. JOB TITLE (Complete this item only if Item 12 is answered YES)					
14. REMARKS (State appropriate information; i.e., Name and Address of Facility to which transferred; New Name of Employee - Last Name, First Name, Middle Name; list Concurrent clearance information; if death has occurred, state "Deceased" and include date of death; indicate special situations, e.g., where employee is physically located if not the same as initiating facility shown in block 4, location to which employee is transferred, etc.)					
15. "X" BOX "a" FOR ADMINISTRATIVE TERMINATION OR BOX "b" FOR ALL OTHER CHANGE NOTIFICATIONS					
<input type="checkbox"/> a. I certify that the above named employee does not require access to classified information in connection with his (her) employment. Moreover, there will be no requirement for the employee to have access to classified information in the foreseeable future. Accordingly, it is recommended that the personnel security clearance be administratively terminated since there is no current or foreseeable future procurement requirement for the clearance. It is understood this recommendation is purely of an administrative nature and does not reflect adversely on the employee in any manner whatsoever. I certify that the entries made above are true, complete, and correct to the best of my knowledge and belief.					
<input type="checkbox"/> b. I certify that the entries made above are true, complete and correct to the best of my knowledge and belief.					
c. SIGNATURE OF SECURITY SUPERVISOR			d. DATE		
16. ADMINISTRATIVE TERMINATION OF PERSONNEL SECURITY CLEARANCE					
I certify that I do not currently have classified information in my possession or custody. My employer has advised me there will be no requirement for me to have access to classified information in the foreseeable future. Therefore I hereby acknowledge my employer's recommendation to administratively terminate the personnel security clearance which has been granted me. I understand that this termination is purely administrative in nature, it does not reflect adversely upon me in any manner whatsoever and further, that my employer may request a new personnel security clearance should the need arise in the future for me to have access to classified information. This form will be retained for two years by my employer if Company Confidential Administrative Termination.					
a. SIGNATURE OF WITNESS	b. DATE	c. SIGNATURE OF EMPLOYEE	d. DATE		

DISCO FORM 562 (R1) 30 MAR 81

PREVIOUS EDITIONS ARE OBSOLETE.

Q. Envelope, Preaddressed to DISCO (DISCO Form 703). This form is an envelope used for submitting DD Form 48, DD Form 49, and DD Form 48-3 to DISCO. It enables an applicant for a clearance to put the form containing privileged information into the envelope and seal it.

R. Envelope, Not Preaddressed (DISCO Form 704). This form is an envelope used for submitting DD Form 48, DD Form 49, and DD Form 48-3 to the CSO in OODEP cases. The contractor is required to address the envelope to his or her CSO.

S. "Department of Defense Transportation Security Agreement" (DIS Form 1149). This form is prescribed for use by the CSO in obtaining the formal agreement of the HOF of the commercial carrier to abide by the ISM and the DoD 5220.22-C, "Carrier Supplement to Industrial Security Manual for Safeguarding Classified Information." Once executed, a DIS Form 1149 continues in effect until terminated by one of the parties thereto, as provided for in "Section VI - Termination," of the form. As long as the DIS Form 1149 is in effect, the carrier shall not be required to execute another form, unless there is a change in operating name or location of the HOF or reincorporation. Execution of the DIS Form 1149 is a prerequisite to making an eligibility determination with regard to transportation of SECRET controlled shipments.

SAMPLE

DEPARTMENT OF DEFENSE  
**TRANSPORTATION SECURITY AGREEMENT**

THIS AGREEMENT, entered into this \_\_\_\_\_ day of \_\_\_\_\_ 19\_\_\_\_

by and between THE UNITED STATES OF AMERICA through the Defense Investigative Service acting for the Department of Defense Agencies and other user agencies, (*hereinafter called the Government*) and

(i) the following named corporation: \_\_\_\_\_

\_\_\_\_\_

organized and existing under the laws of the State of \_\_\_\_\_

(ii) a partnership consisting of \_\_\_\_\_

(iii) an individual trading as \_\_\_\_\_

with its principal office and place of business at \_\_\_\_\_

in the City of \_\_\_\_\_, State of \_\_\_\_\_ (*hereinafter called the Carrier*).

WITNESSETH THAT:

WHEREAS, the Carrier is authorized by law, regulatory body or regulation to transport property, and

WHEREAS, the requirement for the Carrier's service has been established by a shipping component; and

WHEREAS, Military Traffic Management Command (MTMC) has determined that the Carrier meets current qualification requirements; and

WHEREAS, the Government has SECRET material to be transported (*hereinafter called SECRET Controlled Shipments*); and

WHEREAS, it is essential that certain security measures be taken by the Carrier prior to, and after, his being accorded custody of SECRET Controlled Shipments; and

WHEREAS, the parties desire to define and set forth the precautions and specific safeguards to be taken by the Carrier and the Government in order to preserve and maintain the security of the United States through the prevention of improper disclosure of the contents of SECRET Controlled Shipments, sabotage, or any other act detrimental to the security of the United States regarding such shipments.

NOW, THEREFORE, in consideration of the foregoing and of the mutual promises herein contained, the parties hereto agree, as follows:

**SECTION I - SECURITY CONTROLS**

(A) The carrier agrees to provide and maintain a system of security controls in accordance with the requirements of the Department of Defense Industrial Security Manual for Safeguarding Classified Information and the Carrier Supplement thereto, (*hereinafter referred to as the Manual*) attached hereto and made a part of this Agreement, subject, however, to any revision of the Manual required by the demands of national security as determined by the Government, notice and copy of which will be furnished to the Carrier.

(B) The Carrier agrees to place in effect such security controls, by preparing Standard Practice Procedures such procedures to be consistent with the Manual. The Carrier's Standard Practice Procedures shall be subject to review by the Government. Such procedures are a prerequisite to the granting of a facility security clearance.

(C) The Carrier agrees to comply with all requirements and conditions set forth in the Manual applicable to the type of transportation being furnished for the movement of SECRET Controlled Shipments.

(D) The Carrier agrees that he shall not use the services of another business entity, which will involve a SECRET Controlled Shipment entrusted to the Carrier named herein, without the specific authorization of the Government.

(E) The Government agrees that it shall, via shipping order or bill of lading, indicate which shipments require the protection agreed to herein.

(F) The Government agrees that if the Carrier meets the requirements of the Manual and this Agreement, it shall be granted authority to transport SECRET Controlled Shipments. Such authorization shall be made a matter of record in the files of MTMC and the Defense Supply Agency.

**SECTION II - APPLICABILITY**

(A) This Agreement applies only to the specific locations of the Carrier which have been authorized by the Government for handling SECRET Controlled Shipments and listed on the Appendix hereto.

(B) This Agreement does not apply to other Carriers or brokers acting as agents for the Carrier.

(C) As a condition to the granting of clearance by the Government to the carrier to receive and transport SECRET Controlled Shipments, the carrier shall complete and execute a DD Form 441s with necessary attachments thereto if any, as required by the Manual, which form and attachments shall become a part of this Agreement by reference.

**SECTION III - INSPECTION**

Designated representatives of the Government responsible for inspection shall have the right to inspect at reasonable intervals, the specific locations of the Carrier authorized to handle SECRET Controlled Shipments. Such inspection will

*(Continue on reverse side)*

SAMPLE

include the procedures, methods, operating facilities and records utilized by the Carrier in complying with the requirements of the terms and conditions of the Manual. Should the Government, through its authorized representative, determine that the Carrier's security methods, procedures, operating facilities and records do not comply with such requirements, it shall submit a written report to the Carrier named herein advising him of the deficiencies.

**SECTION IV - SUSPENSION**

The failure of the Carrier to comply with security procedures and requirements set forth in this Agreement shall be deemed grounds for suspending the use of the Carrier for the transportation of SECRET Controlled Shipments for the Government.

**SECTION V - MODIFICATION**

Modification of this security agreement (*as distinguished from the Manual which may be modified as indicated in Section I of this Agreement*) may be made only by written agreement of the parties hereto.

**SECTION VI - TERMINATION**

This Agreement shall remain in effect until terminated through the giving of thirty (30) days written notice to the other party of intention to terminate, provided, however, notwithstanding any such termination, the terms and conditions of this Agreement shall continue in effect so long as the Carrier has SECRET Controlled Shipments in his custody or under his control.

**SECTION VII - SECURITY COSTS**

This Agreement does not obligate Government funds, and the Government shall not be liable for any costs or claims of the Carrier arising out of this Agreement or instructions issued thereunder.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day and year first above written:

THE UNITED STATES OF AMERICA

By \_\_\_\_\_  
*(Authorized Representative of the Government)*

\_\_\_\_\_

*(Carrier)*

By \_\_\_\_\_

\_\_\_\_\_

*(Firm)*

\_\_\_\_\_

*(Title)*

\_\_\_\_\_

*(Address)*

WITNESS

\_\_\_\_\_

\_\_\_\_\_

NOTE: In case of corporation, witnesses not required but certificate below must be completed. Type or print names under all signatures.

NOTE: Carrier, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.

**CERTIFICATE**

I, \_\_\_\_\_ certify that I am the \_\_\_\_\_

of the corporation named as Carrier herein; that \_\_\_\_\_

who signed this Agreement on behalf of the Carrier, was then \_\_\_\_\_

of said corporation; that said Agreement was duly signed for and in behalf of said corporation by authority of its governing body; and is within the scope of its corporate powers.

\_\_\_\_\_

*(Corporate Seal)* *(Signature)*

T. "Facility Clearance Register" (DD Form 1541) and "Registration for Scientific and Technical Information Services" (DD Form 1540). The purpose of the DD Form 1541 is to provide for uniform certification of a facility's security clearance and safeguarding ability to the DTIC, Cameron Station, Alexandria, Virginia 22314, and to provide notice to DTIC of changes affecting an existing certification.

a. For initial certifications, part I of the form is executed by the contractor in accordance with instructions appearing on the form. It is forwarded in duplicate to the CSO. That office shall complete part II of the form, noting in the "Remarks" section any limitations on the facility's eligibility to receive and store classified material. The original form, when certified, shall be forwarded to the DTIC. The copy is to be retained as a part of the official FCL records maintained by the CSO. Contractors shall submit the DD Form 1541 only when requesting approval of the first DD Form 1540. When certified, the DD Form 1541 remains in effect for all future registrations or until changes occur affecting the clearance or safeguarding ability of the certified facility.

b. A copy of DD Form 1540 is included for information purposes. It is used to become eligible for the services of DTIC and must be submitted to that activity. Additional copies may be obtained from the following: DTIC, Cameron Station, Alexandria, Virginia 22314, ATTN: DTIC-TSR-I.

DD Form 1541

SAMPLE

FACILITY CLEARANCE REGISTER	
INSTRUCTIONS	
<b>FOR CONTRACTOR:</b> 1. Complete Part I and retain the last copy for your records. 2. Forward the original and the remaining copy to the Director of Industrial Security having security cognizance over your company. 3. Separate facility clearance registers are required for each location to which classified material will be sent.	<b>FOR COGNIZANT SECURITY OFFICE:</b> 1. Complete Part II. 2. Forward the original to DTIC at the address given below. Retain the remaining copy for your records. 3. If you have no record of facility clearance, return forms to the contractor with appropriate explanation.
PART I	
1. NAME OF FACILITY	4. TYPED NAME OF REQUESTER (Last, First, Middle Initial)
2. ADDRESS (Street, City, State, ZIP Code) (Classified material will be forwarded to this address)	5. ORGANIZATIONAL TITLE OF REQUESTER
3. ADDRESS (Street, City, State, ZIP Code) (Actual location if different from Item 2)	6. SIGNATURE OF REQUESTER
	7. DATE (YYMMDD)
PART II	
8. THE FACILITY LISTED IN PART I IS CLEARED TO RECEIVE AND STORE DEPARTMENT OF DEFENSE CLASSIFIED MATERIAL UP TO AND INCLUDING: <input type="checkbox"/> SECRET <input type="checkbox"/> CONFIDENTIAL (Report immediately to DTIC any change affecting this facility clearance)	
9. NAME OF THE COGNIZANT SECURITY OFFICE	11. TYPED NAME OF CERTIFYING OFFICIAL (Last, First, Middle Initial)
10. ADDRESS (Street, City, State, ZIP Code)	12. ORGANIZATIONAL TITLE OF CERTIFYING OFFICIAL
	13. SIGNATURE OF CERTIFYING OFFICIAL
	14. DATE (YYMMDD)
15. MAIL TO: Defense Technical Information Center ATTN: DTIC-DDR-2 Cameron Station, Bldg. 5 Alexandria, Virginia 22314	
16. REMARKS	

DD FORM 1541  
80 DEC

REPLACES EDITION OF 1 SEP 65 WHICH  
MAY BE USED UNTIL SUPPLY IS EXHAUSTED

REGISTRATION FOR SCIENTIFIC AND TECHNICAL INFORMATION SERVICES <i>(No carbon paper is required in the completion of this form)</i>				FOR DTIC CENTRAL USER FILE DOD USER CODE		APPROVING OFFICIAL FORWARD COMPLETED FORM TO:  DEFENSE TECHNICAL INFORMATION CENTER ATTN: DTIC-DDR-2 CAMERON STATION, BLDG. 5 ALEXANDRIA, VIRGINIA 22314
<b>PART I - REQUESTER APPLICATION</b>				CONTRACT SPONSOR		
1. ORGANIZATION NAME				USER CLASSIFICATION		
2. ADDRESS (Street, City, State, ZIP Code)				FACILITY SECURITY CLEARANCE		
3. ATTENTION LINE OF REQUESTING OFFICIAL (Name: Last, First, Middle Initial)				CONTRACT SECURITY CLEARANCE		<b>PART IV - SUBJECT FIELDS OF INTEREST</b>
4. ORGANIZATIONAL TITLE OF REQUESTING OFFICIAL				CLEAR- ANCE RD NATO CNWDI		
6. SIGNATURE OF REQUESTING OFFICIAL				5. TELEPHONE NO. (Include Area Code)		Circle required codes below. First Number is the Subject Field; the second is the more specific group. See Subject Fields on Reverse.
6. PRIME CONTRACT/GRAANT OR PROGRAM NO. (Enter One Only)				7. DATE (YYMMDD)		
9. EXPIRATION DATE OF ITEM 8 (YYMMDD)		10. SECURITY CLASSIFICATION REQUIRED <input type="checkbox"/> UNCLASSIFIED <input type="checkbox"/> CONFIDENTIAL <input type="checkbox"/> SECRET		10a. SPECIAL SECURITY CLASSIFICATION REQUIRED <input type="checkbox"/> NATO <input type="checkbox"/> RESTRICTED DATA <input type="checkbox"/> CNWDI		
<b>PART II - PRIME CONTRACTOR APPROVAL (If Part I is a Subcontractor)</b>						
11. ORGANIZATION NAME				12. SUBCONTRACT NUMBER		
13. ADDRESS (Street, City, State, ZIP Code)				14. EXPIRATION DATE OF ITEM 12 (YYMMDD)		
15. TYPED NAME (Last, First, Middle Initial)		16. SIGNATURE		17. DATE (YYMMDD)		
<b>PART III - CERTIFICATION AND APPROVAL</b>						
18. ORGANIZATION NAME				19. TELEPHONE NO. (Include Area Code)		
20. ADDRESS (Street, City, State, ZIP Code)				21. DATE (YYMMDD)		
22. TYPED NAME OF APPROVING OFFICIAL (Last, First, Middle Initial)			23. SIGNATURE			
24. ORGANIZATIONAL TITLE OF APPROVING OFFICIAL						
THE DTIC CENTRAL FILES MUST BE NOTIFIED IMMEDIATELY OF ANY CHANGES TO INFORMATION PROVIDED ON THIS FORM (FOR DTIC USE ONLY)						

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DD Form 1540

SAMPLE

DD FORM 1540  
80 DECREPLACES EDITION OF 1 JUL 71 WHICH  
MAY BE USED UNTIL SUPPLY IS EXHAUSTEDCOPY DESIGNATION: White - DTIC; Green - DTIC; Yellow - Approving Official;  
Pink - Prime Contractor or OUSDR&E; Gold - Originator

SUBJECT FIELD AND GROUP STRUCTURE

- |  |   |   |  |
|--|---|---|--|
| <p><b>01 Aeronautics</b><br/>                 01 Aerodynamics<br/>                 02 Aircraft<br/>                 03 Aircraft flight instrumentation<br/>                 05 Air facilities</p> <p><b>02 Agriculture</b><br/>                 01 Agricultural chemistry<br/>                 02 Agricultural economics<br/>                 03 Agronomy and horticulture<br/>                 04 Animal husbandry<br/>                 05 Forestry</p> <p><b>03 Astronomy and Astrophysics</b><br/>                 01 Astronomy<br/>                 02 Astrophysics<br/>                 03 Celestial mechanics</p> <p><b>04 Atmospheric Sciences</b><br/>                 01 Atmospheric physics<br/>                 02 Meteorology</p> <p><b>05 Behavioral and Social Sciences</b><br/>                 01 Administration and management<br/>                 02 Documentation and information technology<br/>                 03 Economics<br/>                 04 History, law and political science<br/>                 05 Human factors engineering<br/>                 06 Humanities<br/>                 07 Linguistics<br/>                 08 Man-machine relations<br/>                 09 Personnel selection, training and evaluation<br/>                 10 Psychology (Individual and group behavior)<br/>                 11 Sociology</p> <p><b>06 Biological and Medical Sciences</b><br/>                 01 Biochemistry<br/>                 02 Bioengineering<br/>                 03 Biology<br/>                 04 Bionics<br/>                 05 Clinical medicine<br/>                 06 Environmental biology<br/>                 07 Escape, rescue and survival<br/>                 08 Food<br/>                 09 Hygiene and sanitation<br/>                 10 Industrial (Occupational) medicine<br/>                 11 Life support<br/>                 12 Medical and hospital equipment and supplies<br/>                 13 Microbiology<br/>                 14 Personnel selection and maintenance (Medical)<br/>                 15 Pharmacology<br/>                 16 Physiology<br/>                 17 Protective equipment<br/>                 18 Radiobiology<br/>                 19 Stress physiology<br/>                 20 Toxicology<br/>                 21 Weapon effects</p> | <p><b>07 Chemistry</b><br/>                 01 Chemical engineering<br/>                 02 Inorganic chemistry<br/>                 03 Organic chemistry<br/>                 04 Physical chemistry<br/>                 05 Radio and radiation chemistry</p> <p><b>08 Earth Sciences and Oceanography</b><br/>                 01 Biological oceanography<br/>                 02 Cartography<br/>                 03 Dynamic oceanography<br/>                 04 Geochemistry<br/>                 05 Geodesy<br/>                 06 Geography<br/>                 07 Geology and mineralogy<br/>                 08 Hydrology and limnology<br/>                 09 Mining engineering<br/>                 10 Physical oceanography<br/>                 11 Seismology<br/>                 12 Snow, ice and permafrost<br/>                 13 Soil mechanics<br/>                 14 Terrestrial magnetism</p> <p><b>09 Electronics and Electrical Engineering</b><br/>                 01 Components<br/>                 02 Computers<br/>                 03 Electronic and electrical engineering<br/>                 04 Information theory<br/>                 05 Subsystems<br/>                 06 Telemetry</p> <p><b>10 Energy Conversion (Non-propulsive)</b><br/>                 01 Conversion techniques<br/>                 02 Power sources<br/>                 03 Energy storage</p> <p><b>11 Materials</b><br/>                 01 Adhesives and seals<br/>                 02 Ceramics, refractories and glasses<br/>                 03 Coatings, colorants and finishes<br/>                 04 Composite materials<br/>                 05 Fibers and textiles<br/>                 06 Metallurgy and metallography<br/>                 07 Miscellaneous materials<br/>                 08 Oils, lubricants, and hydraulic fluids<br/>                 09 Plastics<br/>                 10 Rubbers<br/>                 11 Solvents, cleaners and abrasives<br/>                 12 Wood and paper products</p> <p><b>12 Mathematical Sciences</b><br/>                 01 Mathematics and statistics<br/>                 02 Operations research</p> | <p><b>13 Mechanical, Industrial, Civil and Marine Engineering</b><br/>                 01 Air conditioning, heating, lighting and ventilating<br/>                 02 Civil engineering<br/>                 03 Construction equipment, materials and supplies<br/>                 04 Containers and packaging<br/>                 05 Couplings, fasteners and joints<br/>                 06 Ground transportation equipment<br/>                 07 Hydraulic and pneumatic equipment<br/>                 08 Industrial processes<br/>                 09 Machinery and tools<br/>                 10 Marine engineering<br/>                 10.1 Submarine engineering<br/>                 11 Pumps, filters, pipes, tubing and valves<br/>                 12 Safety engineering<br/>                 13 Structural engineering</p> <p><b>14 Methods and Equipment</b><br/>                 01 Cost effectiveness<br/>                 02 Laboratories, test facilities, and test equipment<br/>                 03 Recording devices<br/>                 04 Reliability<br/>                 05 Reprography</p> <p><b>15 Military Sciences</b><br/>                 01 Antisubmarine warfare<br/>                 02 Chemical, biological, and radiological warfare<br/>                 03 Defense<br/>                 03.1 Antimissile defense<br/>                 04 Intelligence<br/>                 05 Logistics<br/>                 06 Nuclear warfare<br/>                 07 Operations, strategy, and tactics</p> <p><b>16 Missile Technology</b><br/>                 01 Conversion techniques and ground support<br/>                 02 Missile trajectories<br/>                 03 Missile warheads and fuzes<br/>                 04 Missiles<br/>                 04.1 Air and space launched missiles<br/>                 04.2 Surface launched missiles<br/>                 04.3 Underwater launched missiles</p> <p><b>17 Navigation, Communications, Detection and Countermeasures</b><br/>                 01 Acoustic detection<br/>                 02 Communications<br/>                 02.1 Radio communications<br/>                 03 Direction finding<br/>                 04 Electromagnetic and acoustic countermeasures<br/>                 05 Infrared and ultraviolet detection<br/>                 06 Magnetic detection<br/>                 07 Navigation and guidance<br/>                 08 Optical detection<br/>                 09 Radar detection<br/>                 10 Seismic detection</p> | <p><b>18 Nuclear Science and Technology</b><br/>                 01 Fusion devices (Thermonuclear)<br/>                 02 Isotopes<br/>                 03 Nuclear explosions<br/>                 04 Nuclear instrumentation<br/>                 05 Nuclear power plants<br/>                 06 Radiation shielding and protection<br/>                 07 Radioactive wastes and fission products<br/>                 08 Radioactivity<br/>                 09 Reactor engineering and operation<br/>                 10 Reactor materials<br/>                 11 Reactor physics<br/>                 12 Reactors (Power)<br/>                 13 Reactors (Non-power)<br/>                 14 SNAP technology</p> <p><b>19 Ordnance</b><br/>                 01 Ammunition, explosives and pyrotechnics<br/>                 02 Bombs<br/>                 03 Combat vehicles<br/>                 04 Explosions, ballistics and armor<br/>                 05 Fire control and bombing systems<br/>                 06 Guns<br/>                 07 Rockets<br/>                 08 Underwater ordnance</p> <p><b>20 Physics</b><br/>                 01 Acoustics<br/>                 02 Crystallography<br/>                 03 Electricity and magnetism<br/>                 04 Fluid mechanics<br/>                 05 Masers and lasers<br/>                 06 Optics<br/>                 07 Particle accelerators<br/>                 08 Particle physics<br/>                 09 Plasma physics<br/>                 10 Quantum theory<br/>                 11 Solid mechanics<br/>                 12 Solid state physics<br/>                 13 Thermodynamics<br/>                 14 Wave propagation</p> <p><b>21 Propulsion and Fuels</b><br/>                 01 Air breathing engines<br/>                 02 Combustion and ignition<br/>                 03 Electric propulsion<br/>                 04 Fuels<br/>                 05 Jet and gas turbine engines<br/>                 06 Nuclear propulsion<br/>                 07 Reciprocating engines<br/>                 08 Rocket motors and engines<br/>                 08.1 Liquid rocket motors<br/>                 08.2 Solid rocket motors<br/>                 09 Rocket propellants<br/>                 09.1 Liquid rocket propellants<br/>                 09.2 Solid rocket propellants</p> <p><b>22 Space Technology</b><br/>                 01 Astronautics<br/>                 02 Spacecraft<br/>                 03 Spacecraft trajectories and reentry<br/>                 04 Spacecraft launch vehicles and ground support</p> |
|--|---|---|--|

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SAMPLE

DD Form 1540  
Page Two

U. Letter Agreement to Safeguard Classified Information for an Employee Performing Consultant Services. This agreement shall be prepared and executed by a contractor if he or she agrees to accept responsibility for safeguarding classified information released to an employee furnishing consultant services.

The contractor shall send the original to the CSO and distribute copies as indicated on the agreement. In case of failure to execute this agreement, the consultant shall be cleared as a facility.

(Sample)

(Company Letterhead)

To: \_\_\_\_\_ (date)  
(cognizant security office)

Dear \_\_\_\_\_:

In accordance with paragraph 70 of the "Industrial Security Manual for Safeguarding Classified Information" (ISM), the \_\_\_\_\_ cleared to the  
(name of cleared facility)  
level of \_\_\_\_\_ and \_\_\_\_\_ an  
(level of facility clearance) (name of employee)  
employee cleared for access to \_\_\_\_\_ classified information, by  
(level)  
\_\_\_\_\_ on \_\_\_\_\_ who is serving as a  
(activity granting clearance) (date)  
consultant to \_\_\_\_\_ hereby jointly  
(name of using facility or user agency activity)  
agree to the following.

- (i) Place classified material received and/or produced by said employee in his or her capacity as a consultant into the facility's classified material control system.
- (ii) Provide the employee with an approved container in which to store classified material relating to his or her consulting activity.
- (iii) Incorporate the facility's standard practice procedures implementing the access limitation requirements of paragraphs 70a(2) and 70a(3), ISM.
- (iv) Abide by the facility's standard practice procedures in handling classified material relating to the employee's consulting activity.
- (v) Advise the cognizant security office and either the contractor or the user agency activity to which the employee is a consultant of any change in the consultant's status as an employee of the facility.

\_\_\_\_\_  
(date)

\_\_\_\_\_  
(employing contractor signature)

\_\_\_\_\_  
(title)

\_\_\_\_\_  
(date)

\_\_\_\_\_  
(employee-consultant signature)

Copy to:  
Facility of Employee Consultant  
Contractor or User Agency to which Employee is Consultant  
Employee Consultant



Appendix II. DERIVATIVE CLASSIFICATION INFORMATION  
AND PROCEDURES

A. Scope and Application.

1. General. E.O. 12356 prescribes a uniform system for classifying and declassifying national security information. The E.O. recognizes that it is essential that the public be informed concerning the activities of its government, but that the interests of the U.S. and its citizens require that certain information concerning the national defense and foreign relations be protected against unauthorized disclosure. Information classified under E.O. 12356 and prior orders shall be declassified or downgraded as soon as national security considerations permit. Information is declassified based on the loss of sensitivity of the information with the passage of time or on the occurrence of an event that permits declassification. Information that continues to meet the classification criteria, despite the passage of time, will remain classified and continue to be protected.

2. User Agency Information. In compliance with their responsibilities under the above E.O., the Secretaries of Defense, Commerce, State, Treasury, Transportation, Interior, Agriculture, Labor, and Health and Human Services; the Attorney General, Department of Justice; the Comptroller General of the United States, General Accounting Office; the Chairman, Board of Governors, Federal Reserve System; the Administrators, General Services Administration, Small Business Administration, National Aeronautics and Space Administration, and Environmental Protection Agency; and the Directors, National Science Foundation, U.S. Arms Control and Disarmament Agency, and Federal Emergency Management Agency (all hereinafter referred to as UA's) have prescribed that the provisions of this appendix shall apply to all classified information originated in the UA's or by one of their components or contractors. This encompasses all classified information originated by: the OSD and DoD agencies; the present and former Joint Chiefs of Staff and Joint Staff; the Department of Army and former War Department; the Department of Navy; the Department of Air Force and former Army Air Forces; the U.S. Coast Guard, when acting as a part of Navy, Treasury, or Transportation; NASA and predecessor NASA agencies, including the National Advisory Committee for Aeronautics; the FAA, prior and subsequent to its assignment to the Department of Transportation, predecessor FAA agencies, including the Civil Aeronautics Administration and the Airways Modernization Board, formerly of the Department of Commerce; joint committees or agencies comprised entirely of representatives from within the above described agencies or their predecessor agencies; other U.S. Government agencies whose functions have officially transferred to any of the above agencies; and contractors in the performance of contracts awarded by or on behalf of the UA's, their components, or their predecessors.

3. Authority of Contractors. The contractor shall apply and implement the provisions of this appendix, unless otherwise instructed by his or her

contracting officer 1/. In those cases in which a contracting officer determines that the material has been improperly designated, the contracting officer shall instruct the contractor to mark the material to reflect the correct designation.

4. Responsibility of Contractors. Each contractor who possesses classified material affected by this appendix is responsible for initiating action to apply the appropriate notation and to change or cancel classifications as prescribed herein. Such actions are the responsibility of each holder of classified material; they constitute an implementation of a directed action rather than an exercise of the authority for deciding the change or cancellation of classification 2/. Pending the re-marking of classified material, as prescribed in this appendix, the contractor shall safeguard the material in accordance with the classification marked on it.

5. Requests for Advice. When the contractor cannot determine exactly which provision of this appendix applies to certain classified information or material, he or she shall request advice from the contracting officer concerned. If the contracting officer is unknown, or is known to have been abolished, such requests will be forwarded through UA contracting channels, as appropriate. If the channels are not known, the request will be sent directly to the appropriate office shown below. All such requests must include a complete description or identification of the classified information or document in question.

a. Army. The Adjutant General, ATTN: DAAG-AMR-S, Department of Army, Washington, D.C. 20315

b. Navy. Chief of Naval Material, ATTN: MAT-09B2, Washington, D.C. 20360

c. Air Force. HQ AFOSP/SPIA, Kirtland AFB, NM 87117

d. NASA. Headquarters, NASA, ATTN: Code ADA-42, Washington, D.C. 20546

e. Commerce. Director of Investigations and Security, Department of Commerce, Washington, D.C. 20230

f. GSA. Director, Security Division, Office of Investigations, General Services Administration, Washington, D.C. 20405

1/ In those cases in which a contractor receives instructions that appear to be in conflict with the provisions of this appendix, the contractor shall immediately notify the contracting officer of the conflicting instructions. Pending resolution of the problem, he or she shall comply with the most recent instructions received from the contracting officer.

2/ The date of the initial specification, drawing, or blueprint from which hardware is manufactured may be used as the date from which to compute automatic downgrading or declassification of the information, which may be disclosed by the hardware.

g. State. Director of Security, Department of State, Washington, D.C. 20230

h. SBA. Director, Office of Security and Investigations, Small Business Administration, Washington, D.C. 20416

i. NSF. Security Officer, National Science Foundation, Washington, D.C. 20550

j. Treasury. Departmental Physical Security Officer, Department of Treasury, Washington, D.C. 20220

k. Transportation. Chief, Security Division, Department of Transportation, Washington, D.C. 20590

l. Interior. Defense Coordinator, Department of the Interior, Washington, D.C. 20240

m. Agriculture. Department Security Officer, Department of Agriculture, Washington, D.C. 20250

n. HHS. Director, Security and Protection Division, Office of Investigations (OIG), Department of Health and Human Services, Washington, D.C. 20201

o. Labor. Chief, Physical Security Branch, Office of the Assistant Secretary for Administration, Department of Labor, Washington, D.C. 20210

p. EPA. Director, Security and Inspections Staff, Environmental Protection Agency, Washington, D.C. 20460

q. FRS. Associate Director, Division of Support Services, Board of Governors, Federal Reserve System, Washington, D.C. 20551

r. Justice. Director, Security and Administrative Programs Staff, Office of Management and Finance, Department of Justice, Washington, D.C. 20530

s. ACDA. Security Office, U.S. Arms Control and Disarmament Agency, Washington, D.C. 20451

t. FEMA. Security Officer, Federal Emergency Management Agency, Room 4207, 18th & F Streets, NW, Washington, D.C. 20405

u. GAO. Director, Office of Security & Safety, General Accounting Office, Washington, D.C. 20548

w. If the contractor is unable to obtain advice from the UA's listed above, assistance may be requested from the Deputy Under Secretary of Defense for Policy, ATTN: Director, Information Security, The Pentagon, Washington, D.C. 20301.

B. Downgrading/Declassification and "Classified by" Line Procedures.

1. General. All derivatively classified material shall be marked to reflect declassification instructions, the source of classification (shown on the "Classified by" line), and, if applicable, downgrading instructions. Documents shall show the required information either on the cover, first page, title page, or in a similarly prominent position. Other material shall show the required information on the material itself or, if not practical, in related or accompanying documentation.

The markings used to show this information shall be as follows:

CLASSIFIED BY \_\_\_\_\_ (Required)  
DOWNGRADE TO \_\_\_\_\_ ON \_\_\_\_\_ (As Appropriate)  
DECLASSIFY ON \_\_\_\_\_ (Required)

a. On electronically transmitted messages, the "classified by" line is not required; the other markings are required and may be included on the last line of text and may be abbreviated as follows:

DNG/"S" or "C"/ (date or event)  
DECL \_\_\_\_\_

b. Material containing RESTRICTED DATA may only be declassified by the DOE. FORMERLY RESTRICTED DATA may only be declassified on a joint determination by the DoD and the DOE. Therefore, only a "Classified by" line is shown on the material. The "Declassify on" line is not to be used.

2. The "Classified by" line.

a. In completing the "Classified by" line, the contractor shall identify the applicable DD Form 254 (see paragraph b below) or other UA guidance. In addition, if any single guidance source other than, or supplemental to, the applicable DD Form 254 is followed, that source will also be shown in such a way that, standing alone, it will be sufficiently complete to identify it, including its date. If two or more guidance sources other than or in addition to the applicable DD Form 254 are followed, the identification of the DD Form 254 will be followed by the phrase "multiple sources" (for example, DD Form 254, August 30, 1982, RFQ #12345, Multiple Sources). In each such case, when the phrase "multiple sources" is used, the contractor shall maintain adequate records to support the application of the classification marking and shall retain such records for the duration of the contract or program under which the document was created. The records could take the form of a bibliography identifying the applicable classification sources and be included in the text.

b. Identification of the applicable DD Form 254 in the "Classified by" line will always include at least the following:

(1) the date of the DD Form 254, and

(2) the specific designator (for example, contract number) of the contract or other requirements document for which the DD Form 254 was issued 3/.

3. The "Declassify on" Line. In completing the "Declassify on" line, the contractor shall use the information specified in or with the DD Form 254 provided by a UA or cite the source document.

4. The "Downgrade to" Line. In completing the "Downgrade to" line, the contractor shall insert SECRET or CONFIDENTIAL and an effective date or event as indicated in or with the DD Form 254, or cite the source document.

C. Applying Derivative Markings to New Material.

1. Pre-August 1, 1982. New material that derives its classification from material classified or issued prior to August 1, 1982 shall be treated as follows.

a. If the DD Form 254 or source material bears a date or event for declassification, that date or event shall be applied to the new material.

b. If the DD Form 254 or source material bears no date or event for declassification, bears an indefinite date or event, or is marked for declassification review, the new material shall be marked with the notation: "Originating Agency's Determination Required" or "OADR."

2. After August 1, 1982. New material that derives its classification from a DD Form 254 or source material bearing a date on or after August 1, 1982 shall be marked with the declassification date or event, or with the notation, "Originating Agency's Determination Required," or "OADR" as specified in the DD Form 254 or source material.

D. Most Restrictive Marking Determination. In all cases where a new document or material is classified based on "multiple sources," the most remote date or event for declassification shown on any source shall be assigned to the new document or material. If any source shows the notation "Originating Agency's Determination Required" or "OADR," the new document or material shall also be assigned this notation. For example, if one source indicates declassification on December 31, 1988 and another source indicates, "Originating Agency's Determination Required," or "OADR," the notation, "Originating Agency's Determination Required," or "OADR" shall be assigned to the new material, because it is the most restrictive marking.

3/ For potential prime contractors responding to an IFB, RFQ, or RFP, when no contract designator is shown in item 3a of the DD Form 254, the designator shown in item 3c of the DD Form 254 shall be used. Prime contractors and subcontractors at all tiers shall use the designator set forth in item 3a of the DD Form 254.

E. Downgrading/Declassification Actions for Pre-August 1, 1982 Material.

1. Documents and material classified under E.O. 12065, and predecessor E.O.'s that are marked for automatic downgrading or declassification on a specified date or event, may be downgraded and declassified pursuant to such markings. Such documents or material need not be re-marked, except in accordance with paragraph 11d. Information extracted from these documents or material for use in new documents or material shall be marked for declassification as specified in the source document.

2. Documents and material classified under E.O. 12065, and predecessor E.O.'s that are not marked for automatic downgrading or declassification on a specified date or event, shall not be downgraded or declassified without authorization of the originating agency. Such documents or material need not be re-marked. Information extracted from these documents or material for use in new documents or material shall be marked for declassification on the determination of the originating agency; that is, the "Declassify on" line shall be completed with the notation, "Originating Agency's Determination Required," or "OADR."

F. Extracts of Information. Information extracted from a classified source shall be derivatively classified or not classified, in accordance with the classification markings shown in the source. The overall and internal markings of the source should supply adequate classification guidance. If internal markings or classification guidance are not found in the source, and no reference is made to an applicable and available classification guide, the extracted information shall be classified according either to the overall marking of the source or the guidance obtained from the classifier of the source material.

G. Changing Classification Markings. At the time the material is actually downgraded or declassified, the action to change the classification markings shall be initiated and performed, in accordance with the provisions of paragraph 11. When classification markings are changed or canceled, an entry, when appropriate, shall be made in the control station records prescribed in paragraph 12, to reflect such change or cancellation.

H. Release of Declassified Information. Declassification, either automatically or by individual review and determination, is not automatically an approval for public disclosure. Accordingly, contractors shall request approval for public disclosure of "declassified" information, in accordance with the provisions of paragraph 5o.

Appendix III. FOREIGN CLASSIFIED CONTRACTS

Table Outlining Responsibilities for Security Actions.

Certain duties which this manual assigns to the contracting officer or to the contracting UA are, with respect to foreign classified contracts, assigned to the Deputy Director (Industrial Security), HQ DIS, the administrative contracting office, or the CSO.

Table I shows the assignment of these duties. Contractors will submit their requests for instructions or guidance as set forth below. Duties not specifically assigned herein are reserved to the foreign government agency or foreign contracting activity concerned. Requests for instructions in such cases shall be submitted through the Deputy Director (Industrial Security), HQ DIS.

Table 1

Action	References	Deputy Director (Industrial Security), HQ DIS	Administrative Contracting Officer	Cognizant Security Office
1. Approves retention of classified information by contractor or subcontractor.	Pars. 51, 5m, and 64, ISM.....		X	
2. Authorizes and provides instruction for transmission of classified information outside the facility.	Pars. 5 and 17, ISM.....		X	X
3. Authorizes reproduction of classified information.	Par. 18, ISM.....		X	
4. Authorizes destruction of certain classified information.	Par. 19, ISM.....		X	
5. Approves electrical alarm service.	Pars. 35 and 36, ISM.....		X <u>2/</u>	X
6. Approves controlled area.	Par. 34, ISM.....		X <u>2/</u>	X
7. Approves visits for Categories 2 and 3.	Par. 41, ISM.....		X <u>1/</u>	
8. Authorizes disclosure of TOP SECRET information to subcontractor.	Par. 59, ISM.....		X	
9. Receives notification of award of classified subcontractor <u>3/</u> .	Par. 62, ISM.....	X	X	X
10. a. Approves Security Classification Guidance for subcontracts.	Par. 60, ISM.....		X	
b. Obtains Security Classification Guidance for subcontracts.	.....	X	X	

1/ Some foreign contracts will be managed by foreign personnel directly from the country concerned, the country's Washington embassy, or other means with no U.S. contracting officer involved. U.S. UA's control Category 4 type visits as well as Category 3. Necessary coordination will be effected with the Deputy Director (Industrial Security), HQ DIS, the CSO, and the contractor concerned.

2/ If costs are involved, the administrative contracting officer authorizes and provides instruction for transmission on classified information outside the facility.

3/ This notice shall be sent to the CSO of the subcontractor.

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Appendix IV. REQUIREMENTS FOR THE CONSTRUCTION OF STORAGE VAULTS  
AND STRONGROOMS

A. Application. This appendix specifies the minimum standards required \*  
for the construction of vaults and strongrooms used as storage facilities \*  
for classified material, in accordance with paragraph 14 of this manual. \*  
These standards apply to all new construction and reconstruction, altera- \*  
tions, modifications, and repairs of existing vaults or strongrooms. They \*  
will also be used for evaluating the adequacy of existing vaults and \*  
strongrooms. \*

B. Class A Vault.

1. Floor and Walls. The thickness of the floor and walls must be \*  
determined by structural requirements, but may not be less than 8-inch-thick \*  
reinforced concrete. Walls are to extend to the underside of the roof/ceiling \*  
slab above.

2. Roof/Ceiling. The roof or ceiling must be a monolithic reinforced \*  
concrete slab of a thickness to be determined by structural requirements, but \*  
not less thick than the walls and floors.

3. Vault Door and Frame Unit. The vault door and frame unit shall be \*  
one that was originally procured from the FSS 1/.

4. Lock and Locking Parts. The lock shall conform to Underwriters' \*  
Standard No. 768 Group I-R. It shall be equipped with a "top-reading, spy- \*  
proof type dial." The UL label is considered adequate evidence of compliance \*  
with these requirements. Axial play on the level handle spindle shall not \*  
exceed 1/16 inch. The locks, lock bolt, door bolt operating cam, and bolt \*  
operating linkage connected thereto shall be protected by a tempered steel \*  
alloy hardplate located in front of the parts to be protected. Such hardplate \*  
to be at least 1/4 inch in thickness and to be in the Rockwell hardness range \*  
of C-63 to C-65. The front plate, edge plates, back plates, and cap sheet \*  
shall be of manufacturers' standard construction. The cap sheet of the door \*  
will have an inspection plate of such size that its removal will permit \*  
examination and inspection of the combination lock and operating cam area \*  
without removal of entire back cap sheet of the door.

5. Miscellaneous Opening. Omission of all miscellaneous openings is \*  
desirable, but not mandatory. However, in all instances openings for heating \*  
and ventilating ducts, pipes, and conduits shall not exceed 96 square inches \*  
in size. Pipes and conduits entering the vault shall enter through walls

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1/ Vault doors are listed in the FSS (FSC Group 71, Part III, Section E, \*  
FSC Class 7110). Vaults equipped with doors that do not meet these \*  
specifications may qualify as strongrooms, if the construction meets the \*  
minimum requirements outlined in paragraph F of this appendix. \*

that are not common to the vault and the structure housing the vault. Preferably such pipes and conduits should be installed when the vault is constructed. If this is not practical, they shall be carried through snug-fitting pipe sleeves cast in the concrete. After installation, the annular space between the sleeve and the pipe or conduit shall be caulked solid with lead, wood, waterproof (silicone) caulking, or similar material, which will give evidence of surreptitious removal. The construction standards for man-safe barriers outlined in paragraph F-5 shall be followed when securing openings.

C. Class B Vault.

1. Floor. The floor should be a monolithic concrete construction of the thickness of adjacent concrete floor construction, but not less than 4 inches thick.

2. Walls. The walls should be not less than 8-inch-thick brick, concrete block, or other masonry units. Hollow masonry units shall be the vertical cell type (load bearing) filled with concrete and steel reinforcement bars. Monolithic steel-reinforced concrete walls at least 4 inches thick may also be used, and shall be used in seismic areas. Walls are to extend to the underside of the roof or ceiling above.

3. Roof/Ceiling. The roof or ceiling must be a monolithic reinforced concrete slab of a thickness to be determined by structural requirements.

4. Vault Door and Frame Unit. See paragraph B3.

5. Lock. See paragraph B4.

6. Miscellaneous Openings. See paragraph B5.

D. Class C Vault.

1. Floor. See paragraph C1.

2. Walls. Walls must be not less than 8-inch-thick hollow clay tile (vertical cell double shells) or concrete blocks (thick shells). Monolithic steel-reinforced concrete walls at least 4 inches thick may also be used. Where hollow clay tiles are used and such masonry units are flush, or in contact with, facility exterior walls, they shall be filled with concrete and steel-reinforced bars. Walls are to extend to the underside of the roof or ceiling above.

3. Roof/Ceiling. See paragraph C3.

4. Vault Door and Frame Unit. See paragraph B3.

5. Lock. See paragraph B4.

6. Miscellaneous Openings. See paragraph B5.

E. Structural Design. In addition to the requirements given above, the wall, floor, and roof construction shall be in accordance with nationally recognized standards of structural practice. For the vaults described above, the concrete shall be poured in place, and will have a minimum 28-day compressive strength of 2,500 pounds per square inch.

F. Strongrooms. A strongroom, as referred to in paragraph 14a(3)(f), shall be considered to be an interior space of the cleared facility or complex (see paragraph 3t) enclosed by, or separated from, other facility spaces by four walls, a ceiling, and a floor, all of which are constructed of solid building materials. Under this criterion, rooms having a false ceiling, and walls constructed of fabrics, wire mesh, or similar materials, shall not qualify as a strongroom. For strongrooms not located within a complex, the floor, ceiling, or wall(s) that is an exterior part of the building and less than \* 18 feet from the ground or from an access point, or adjoining another firm's \* space, shall be constructed as outlined in paragraphs C1, C3, and D2, \* respectively. Advise regarding use of solid building materials in strongroom construction may be provided by the CSO. Specific construction standards are as follows.

1. Hardware. Heavy-duty builder's hardware shall be used in construction. All screws, nuts, bolts, hasps, clamps, bars, 2-inch square mesh of No. 11 wire, 18 gauge expanded metal, hinges, pins, and the like, shall be securely fastened to preclude surreptitious entry and ensure visual evidence of tampering. Hardware accessible from outside the area shall be peened, brazed, or spot-welded to preclude removal. The term "2-inch square mesh of No. 11 wire," which meets the requirements of Federal Specification RR-F-191d, June 17, 1965, hereinafter shall be referred to as "wire mesh."

2. Walls and Ceilings. Construction shall be of plaster, gypsum board, metal, hardboard, wood, plywood, or other materials offering similar resistance to, and evidence of, unauthorized entry into the area. Insert-type panels shall not be used.

3. Floors. Floors shall be of solid construction, utilizing materials such as concrete, ceramic tile, and wood.

4. Windows. Window openings less than 18 feet from an access point (such as, another window outside the area, roof, ledge, or door) shall be fitted with 1/2 inch bars (separated by no more than 6 inches), plus cross-bars to prevent spreading, 18 gauge expanded metal, or wire mesh securely fastened on the inside to preclude surreptitious removal. In addition to being kept closed at all times, the window shall be translucent or opaqued by any practical method, such as painting or covering the inside of the window.

5. Miscellaneous Openings. Openings for ducts, pipes, registers, sewers and tunnels of such size and shape as to permit unauthorized entry, for example, in excess of 96 square inches, shall be equipped with man-safe barriers such as wire mesh, 18 gauge expanded metal, or steel bars of at least 1/2 inch in diameter extending across their width with a maximum space of 6 inches between the bars. The steel bars shall be securely fastened at both ends to preclude removal, with crossbars to prevent spreading. Where wire mesh, expanded

metal, or steel bars are used, care shall be exercised to ensure that classified material within the room cannot be removed with the aid of any type of instrument.

6. Doors. Doors shall be substantially constructed of wood or metal. When windows, panels, or similar openings are used they shall be secured with 18 gauge expanded metal or wire mesh securely fastened on the inside. The windows shall be translucent or opaqued. When doors are used in pairs, an astragal (overlapping molding) shall be installed where the doors meet.

7. Door Louvers and Baffle Plates. When used, they shall be reinforced with wire mesh fastened inside the room.

8. Door Locking Devices. Doors shall be secured by either a built-in three-position dial-type changeable combination lock or a three-position dial-type changeable combination padlock, as specified in paragraph 14a(3)(d), which is secured to the door by a solid metal hasp.

G. Approvals. The CSO and the contractor shall agree on the need to establish, and the extent of, the vault or strongroom prior to the award of the contract, when possible, or subsequently when the need for such areas become apparent during the performance on the contract.

#### Appendix V. REQUIREMENTS FOR THE CONSTRUCTION OF CLOSED AREAS

A. Application. This appendix specifies the minimum safeguards and standards required for the construction of closed areas that are used for safeguarding classified material, in accordance with the provisions of section IV of this manual. These criteria and standards apply to all new construction and reconstruction, alterations, modifications, and repairs of existing areas. They will also be used for evaluating the adequacy of existing areas. \*

#### B. Requirements.

1. Hardware. Heavy duty builder's hardware shall be used in construction, and all screws, nuts, bolts, hasps, clamps, bars, 2-inch square mesh of No. 11 wire, 18 gauge expanded metal, hinges, pins, and so on, shall be securely fastened to preclude surreptitious removal and ensure visual evidence of tampering. Hardware accessible from outside the area shall be peened, pinned, brazed, or spot-welded to preclude removal. The term "2-inch square mesh of No. 11 wire," which meets the requirements of Federal Specification RR-F-191d, June 17, 1965, hereinafter shall be referred to as "wire mesh." \*

2. Walls. Construction shall be of plaster, gypsum wallboard, metal panels, hardboard, wood, plywood, or other opaque materials offering similar resistance to, and evidence of, unauthorized entry into the area. If insert-type panels are used, a method shall be devised to prevent the removal of such panels without leaving visual evidence of tampering. Area barriers up to a height of 8 feet shall be of opaque or translucent construction, where visual access is a factor. If visual access is not a factor, the area barrier walls may be of wire mesh, or other non-opaque material offering similar resistance to, and evidence of, unauthorized entry into the area. \*

3. Windows. Window openings less than 18 feet from an access point (for example, another window outside the area, roof, ledge, or door,) shall be fitted with 1/2-inch bars (separated by no more than 6 inches), plus cross-bars to prevent spreading, 18 gauge expanded metal, or wire mesh securely fastened on the inside. When visual access is a factor, the windows shall be kept closed and locked at all times, and shall also be made translucent or opaque by any practical method, such as painting or covering the inside of the glass. During non-duty hours, the windows shall be closed and securely fastened to preclude surreptitious removal of classified material. \*

4. Doors. Doors shall be substantially constructed of wood or metal. When windows, panels, or similar openings are used, they shall be secured with 18 gauge expanded metal or with wire mesh securely fastened on the inside. If visual access is a factor, the windows shall be translucent or opaqued. When doors are used in pairs, an astragal (overlapping molding) shall be installed where the doors meet. \*

5. Door Louvers or Baffle Plates. When used, they shall be reinforced with 18 gauge expanded metal or with wire mesh fastened inside the area. \*



6. Door Locking Devices. Entrance doors shall be secured with either a built-in three-position dial-type changeable combination lock, a three-position dial-type changeable combination padlock, as specified in paragraph 14a(3)(g), or with one of the key-operated padlocks with high security cylinders as described in paragraph 34a(3). Other doors shall be secured from the inside with a panic bolt (for example, actuated by a panic bar); a dead bolt; a rigid wood or metal bar (which shall preclude "springing"), which extends across the width of the door and is held in position by solid clamps, preferably on the door casing; or by other means approved by the CSO.

7. Ceilings. Ceilings shall be constructed of plaster, gypsum wallboard material, panels, hardboard, wood, plywood, ceiling tile, or other material offering similar resistance to and detection of unauthorized entry. Wire mesh, or other non-opaque material offering similar resistance to, and evidence of, unauthorized entry into the area may be used if visual access to classified material is not a factor. When wall barriers do not extend to the ceiling and a false ceiling is used it shall be reinforced with wire mesh, 18 gauge expanded metal, alarmed as outlined in paragraph 35, or otherwise secured with heavy-duty builder's hardware. (This feature also applies when panels are removable and entry can be gained into the area without visible detection.) When wire mesh or expanded metal are used, they must overlap the adjoining walls and be secured in a manner which precludes removal without leaving evidence of tampering. In those instances where barrier walls of an area extend to a solid ceiling, there is no necessity for reinforcing a false ceiling.

8. Ceilings (Unusual Cases). It is recognized that instances arise so that contractors may have a valid justification for not erecting a solid suspended ceiling as part of the areas, especially in high-ceilinged hangars. The contractor may state that it is impractical to use a suspended ceiling because of his or her production methods, such as the use of overhead cranes for the movement of bulky equipment within the area. There are also cases wherein the air conditioning system may be impeded by the construction of a solid suspended ceiling (for example, ADP Centers). At times, even the height of the classified material may make a suspended ceiling impractical. In such cases, special provisions shall be made to ensure that surreptitious entry to the area cannot be obtained by entering the area over the top of the barrier walls (such as, approved motion detection devices). Areas of this type should be closely scrutinized to ensure that the structural safeguards are adequate to preclude entry via adjacent pipes, catwalks, ladders, and the like, or observation, if visual access in a factor.

9. Miscellaneous Openings. Where ducts, pipes, registers, sewers, and tunnels are of such size and shape as to permit unauthorized entry, for example, in excess of 96 square inches, they shall be secured by 18 gauge expanded metal or wire mesh, or, where more practical, by steel bars at least 1/2-inch in diameter extending across their width, with a maximum space of 6 inches between the bars. The steel bars shall be securely fastened at both ends to preclude removal and shall have crossbars to prevent spreading. When wire mesh, expanded metal, or steel bars are used, care must be exercised to ensure that classified material cannot be removed through the openings with the aid of any type instrument. Care shall be taken to ensure that a barrier placed across any waterway (sewer or tunnel) will not cause clogging or offer obstruction to the free flow of water sewage.

Appendix VI. EXTRACTS OF THE ESPIONAGE AND SABOTAGE ACTS AND OTHER FEDERAL CRIMINAL STATUTES

U.S.C. 18 § 793. Gathering, transmitting, or losing defense information

(a) Whoever, for the purpose of obtaining information respecting the national defense with intent or reason to believe that the information is to be used to the injury of the United States, or to the advantage of any foreign nation, goes upon, enters, flies over, or otherwise obtains information concerning any vessel, aircraft, work of defense, navy yard, naval station, submarine base, fueling station, fort, battery, torpedo station, dockyard, canal, railroad, arsenal, camp, factory, mine, telegraph, telephone, wireless, or signal station, building, office, research laboratory or station or other place connected with the national defense owned or constructed, or in progress of construction by the United States or under the control of the United States, or of any of its officers, departments, or agencies, or within the exclusive jurisdiction of the United States, or any place in which any vessel, aircraft, arms, munitions, or other materials or instruments for use in time of war are being made, prepared, repaired, stored, or are the subject of research or development, under any contract or agreement with the United States or any department or agency thereof, or with any person on behalf of the United States, or otherwise on behalf of the United States, or any prohibited place so designated by the President by proclamation in time of war or in case of national emergency in which anything for the use of the Army, Navy, or Air Force is being prepared or constructed or stored, information as to which prohibited place the President has determined would be prejudicial to the national defense; or

(b) Whoever, for the purpose aforesaid, and with like intent or reason to believe, copies, takes, makes, or obtains, or attempts to copy, take, make, or obtain, any sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, document, writing, or note of anything connected with the national defense; or

(c) Whoever, for the purpose aforesaid, receives or obtains or agrees or attempts to receive or obtain from any person, or from any source whatever, any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note of anything connected with the national defense, knowing or having reason to believe, at the time he receives or obtains, or agrees or attempts to receive or obtain it, that it has been or will be obtained, taken, made, or disposed of by any person contrary to the provisions of this chapter; or

(d) Whoever, lawfully having possession of, access to, control over, or being entrusted with any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense, or information relating to the national defense which information the possessor has reason to believe could be used to the injury of the United States or the advantage of any foreign nation, willfully communicates, delivers, transmits or causes to be communicated, delivered, or transmitted or attempts to communicate, deliver, transmit or cause to be communicated, delivered or transmitted, the same to any person not entitled to receive it, or willfully retains the same and fails to

deliver it on demand to the officer or employee of the United States entitled to receive it; or

(e) Whoever, having unauthorized possession of, access to, or control over any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense or information relating to the national defense which information the possessor has reason to believe could be used to the injury of the United States or to the advantage of any foreign nation, willfully communicates, delivers, transmits or causes to be communicated, delivered, or transmitted, or attempts to communicate, deliver, transmit or cause to be communicated, delivered, or transmitted the same to any person not entitled to receive it, or willfully retains the same and fails to deliver it to the officer or employee of the United States entitled to receive it; or

(f) Whoever, being entrusted with or having lawful possession or control of any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, note, or information, relating to the national defense, (1) through gross negligence permits the same to be removed from its proper place of custody or delivered to anyone in violation of his trust, or to be lost, stolen, abstracted, or destroyed, or (2) having knowledge that the same has been illegally removed from its proper place of custody or delivered to anyone in violation of his trust, or lost, or stolen, abstracted, or destroyed, and fails to make prompt report of such loss, theft, abstraction, or destruction to his superior officer --

Shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

(g) If two or more persons conspire to violate any of the foregoing provisions of this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy.

U.S.C. 18 § 794. Gathering or delivering defense information to aid foreign governments

(a) Whoever, with intent or reason to believe that it is to be used to the injury of the United States or to the advantage of a foreign nation, communicates, delivers, or transmits, or attempts to communicate, deliver, or transmit, to any foreign government, or to any faction or party or military or naval force within a foreign country, whether recognized or unrecognized by the United States, or to any representative, officer, agent, employee, subject, or citizen thereof, either directly or indirectly, any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, note, instrument, appliance, or information relating to the national defense, shall be punished by death or by imprisonment for any term of years or for life.

(b) Whoever, in time of war, with intent that the same shall be communicated to the enemy, collects, records, publishes, or communicates, or attempts to elicit any information with respect to the movement, numbers, description, condition, or disposition of any of the Armed Forces, ships, aircraft, or war

material of the United States, or with respect to the plans or conduct, or supposed plans or conduct of any naval or military operations, or with respect to any works or measures undertaken for or connected with, or intended for the fortification of defense of any place, or any other information relating to the public defense, which might be useful to the enemy, shall be punished by death or by imprisonment for any term of years or for life.

(c) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy.

U.S.C. 18 § 795. Photographing and sketching defense installations

(a) Whenever, in the interests of national defense, the President defines certain vital military or naval installations or equipments as requiring protection against the general dissemination of information relative thereto, it shall be unlawful to make any photograph, sketch, picture, drawing, map, or graphical representation of such vital military and naval installations or equipment without first obtaining permission of the commanding officer of the military or naval post, camp, or station, or naval vessels, military and naval aircraft, and any separate military or naval command concerned, or higher authority, and promptly submitting the product obtained to such commanding officer or higher authority for censorship or such other action as he may deem necessary.

(b) Whoever violates this section shall be fined not more than \$1,000 or imprisoned not more than one year, or both.

U.S.C. 18 § 796. Use of aircraft for photographing defense installations

Whoever uses or permits the use of an aircraft or any contrivance used, or designed for navigation or flight in the air, for the purpose of making a photograph, sketch, picture, drawing, map, or graphical representation of vital military or naval installations or equipment, in violation of section 795 of this title, shall be fined not more than \$1,000 or imprisoned not more than one year, or both.

U.S.C. 18 § 797. Publication and sale of photographs of defense installations

On and after thirty days from the date upon which the President defines any vital military or naval installation or equipment as being within the category contemplated under section 795 of this title, whoever reproduces, publishes, sells, or gives away any photograph, sketch, picture, drawing, map, or graphical representation of the vital military or naval installations or equipment so defined, without first obtaining permission of the commanding officer of the military or naval post, camp, or station concerned, or higher authority, unless such photograph, sketch, picture, drawing, map, or graphical representation has clearly indicated thereon that it has been censored by the proper military or naval authority, shall be fined not more than \$1,000 or imprisoned not more than one year, or both.

U.S.C. 18 § 798. Disclosure of classified information

(a) Whoever knowingly and willfully communicates, furnishes, transmits, or otherwise makes available to an unauthorized person, or publishes, or uses in any manner prejudicial to the safety or interest of the United States or for the benefit of any foreign government to the detriment of the United States any classified information --

(1) concerning the nature, preparation, or use of any code, cipher, or cryptographic system of the United States or any foreign government; or

(2) concerning the design, construction, use, maintenance, or repair of any device, apparatus, or appliance used or prepared or planned for use by the United States or any foreign government for cryptographic or communication intelligence purposes; or

(3) concerning the communication intelligence activities of the United States or any foreign government; or

(4) obtained by the processes of communication intelligence from the communications of any foreign government, knowing the same to have been obtained by such processes --

Shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

(b) As used in subsection (a) of this section --

The term "classified information" means information which, at the time of a violation of this section, is, for reasons of national security, specifically designated by a United States Government Agency for limited or restricted dissemination or distribution;

The terms "code," "cipher," and "cryptographic system" include in their meanings, in addition to their usual meanings, any method of secret writing and any mechanical or electrical device or method used for the purpose of disguising or concealing the contents, significance, or meanings of communications;

The term "foreign government" includes in its meaning any person or persons acting or purporting to act for or on behalf of any faction, party, department, agency, bureau, or military force of or within a foreign country, or for or on behalf of any government or any person or persons purporting to act as a government within a foreign country, whether or not such government is recognized by the United States;

The term "communication intelligence" means all procedures and methods used in the interception of communications and the obtaining of information from such communications by other than the intended recipients;

The term "unauthorized person" means any person who, or agency which, is not authorized to receive information of the categories set forth in subsection (a) of this section, by the President, or by the head of a department or agency of the United States Government which is expressly designated by the

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President to engage in communication intelligence activities for the United States.

(c) Nothing in this section shall prohibit the furnishing, upon lawful demand, of information to any regularly constituted committee of the Senate or House of Representatives of the United States of America, or joint committee thereof.

U.S.C. 18 § 799. Violation of regulations of national aeronautics and space administration

Whoever willfully shall violate, attempt to violate, or conspire to violate any regulation or order promulgated by the Administrator of the National Aeronautics and Space Administration for the protection of security of any laboratory, station, base or other facility, or part thereof, or any aircraft, missile, spacecraft, or similar vehicle, or part thereof, or other property or equipment in the custody of the Administration, or any real or personal property or equipment in the custody of any contractor under any contract with the Administration or any subcontractor of any such contractor, shall be fined not more than \$5,000, or imprisoned not more than one year, or both.

U.S.C. 18 § 2153. Destruction of war material, war premises, or war utilities

(a) Whoever, when the United States is at war, or in times of national emergency as declared by the President or by the Congress, with intent to injure, interfere with, or obstruct the United States or any associate nation in preparing for or carrying on the war or defense activities, or, with reason to believe that his act may injure, interfere with, or obstruct the United States or any associate nation in preparing for or carrying on the war or defense activities, willfully injures, destroys, contaminates or infects or attempts to so injure, destroy, contaminate or infect so any war material, war premises, or war utilities, shall be fined not more than \$10,000 or imprisoned not more than thirty years, or both.

(b) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy, shall be punished as provided in subsection (a) of this section.

U.S.C. 18 § 2154. Production of defective war material, war premises, or war utilities

(a) Whoever, when the United States is at war, or in times of national emergency as declared by the President or by the Congress, with intent to injure, interfere with, or obstruct the United States or any associate nation in preparing for or carrying on the war or defense activities, or, with reason to believe that his act may injure, interfere with, or obstruct the United States or any associate nation in preparing for or carrying on the war or defense activities, willfully makes, constructs, or causes to be made or constructed in a defective manner, or attempts to make, construct, or cause to be made or constructed in a defective manner any war material, war premises or war utilities, or any tool, implement, machine, utensil, or receptacle used or employed in making, producing, manufacturing, or repairing any such war material, war

premises or war utilities, shall be fined not more than \$10,000 or imprisoned not more than thirty years, or both.

(b) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be punished as provided in subsection (a) of this section.

U.S.C. 18 § 2155. Destruction of national-defense materials, national-defense premises or national-defense utilities

(a) Whoever, with intent to injure, interfere with, or obstruct the national defense of the United States, willfully injures, destroys, contaminates or infects, or attempts to so injure, destroy, contaminate or infect any national-defense material, national-defense premises, or national-defense utilities, shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

(b) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be punished as provided in subsection (a) of this section.

U.S.C. 18 § 2156. Production of defective national-defense material, national-defense premises or national-defense utilities

(a) Whoever, with intent to injure, interfere with, or obstruct the national defense of the United States, willfully makes, constructs, or attempts to make or construct in a defective manner, any national-defense material, national-defense premises or national-defense utilities, or any tool, implement, machine, utensil, or receptacle used or employed in making, producing, manufacturing, or repairing any such national-defense material, national-defense premises or national-defense utilities, shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

(b) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be punished as provided in subsection (a) of this section.

U.S.C. 18 § 371. Conspiracy to commit offense or to defraud United States

If two or more persons conspire either to commit any offense against the United States, or to defraud the United States, or any agency thereof in any manner or for any purpose, and one or more of such persons do any act to effect the object of the conspiracy, each shall be fined not more than \$10,000 or imprisoned not more than five years, or both.

U.S.C. 50 § 797. Security regulations and orders; penalty for violation

(a) Whoever willfully shall violate any such regulation or order as, pursuant to lawful authority, shall be or has been promulgated or approved by the Secretary of Defense, or by any military commander designated by the Secretary of Defense, or by the Director of the National Advisory Committee

for Aeronautics, for the protection or security of military or naval aircraft, airports, airport facilities, vessels, harbors, ports, piers, waterfront facilities, bases, forts, posts, laboratories, stations, vehicles, equipment, explosives, or other property or places subject to the jurisdiction, administration, or in the custody of the Department of Defense, any Department or agency of which said Department consists, or any officer or employee of said Department or agency, or of the National Advisory Committee for Aeronautics or any officer or employee thereof, relating to fire hazards, fire protection, lighting, machinery, guard service, disrepair, disuse or other unsatisfactory conditions thereon, or the ingress thereto or egress or removal of persons therefrom, or otherwise providing for safeguarding the same against destruction, loss, or injury by accident or by enemy action, sabotage or other subversive actions, shall be guilty of a misdemeanor and upon conviction thereof shall be liable to a fine of not to exceed \$5,000 or to imprisonment for not more than one year, or both.

(b) Every such regulation or order shall be posted in conspicuous and appropriate places.

Appendix VII. GUIDANCE FOR PREPARATION OF SECURITY BRIEFINGS

A. Defensive Security Briefings.

1. General. A defensive security briefing containing elements of the following outline shall be given to those individuals or employees so identified in paragraph 5u.

2. Introduction. National policy over the past several years has encouraged the expansion of cultural, trade, and commercial ties with Communist countries. As a result, an increasing number of representatives from Communist countries are coming to the U.S. on trade visits, cultural visits, East-West exchange visits, and the like. Similarly, representatives of U.S. industry have been with increasing regularity making reciprocal visits to Communist countries. These expanding marketing opportunities carry with them a parallel responsibility for ensuring that certain categories of information are not released, and, where appropriate, proper authorization is obtained prior to release.

a. U.S. citizens who have had access to classified defense information are important targets for hostile intelligence services. It is common practice for hostile intelligence services to establish and maintain dossiers on personnel of intelligence interest, particularly of personnel whose jobs afford them access to vital defense information in any area of special interest. These services are constantly on the alert for opportunities to gain any kind of advantage that can be exploited, regardless of the country visited. \*

b. The intelligence network of the Communist countries is world-wide and ever present. These intelligence agencies have concentrated on those fields which involve scientific and military knowledge possessed by the Western powers. A key source of technical and scientific information is the numerous conventions, seminars, conferences, and symposia held throughout the world each year. Other means of obtaining information is through the tight, police-like controls over the movements of all personnel visiting Communist countries. Travelers may be "targeted" the moment they apply for a visa. Under such controlled conditions, there is little that can be done to prevent espionage efforts and harassments directed against selected individuals. \*

c. It must be remembered that Communist country intelligence and security services carry espionage activities to fantastic lengths. While the techniques that are employed may seem far-fetched or illicit, they are in fact used in day-to-day activities and operations. Travelers must recognize them as a part of the Communist system, so that they may successfully counter such practices. "A Study of Harassments and Provocations," published in DIS Security Awareness Bulletin No. 1-83, November 1982, illustrates procedures used by Communist country intelligence and security services. This bulletin is intended to support official defensive security \*

briefings for persons with authorized access to classified information who are traveling to such countries. 1/ \*

3. Export Controls. The U.S. Government, by statute, E.O., and administrative policy, has established a number of procedures designed to control the export of certain categories of information. One of its primary objectives is the control of the export of scientific and technical information to ensure that information made available to Communist countries does not work to the detriment of the U.S. national interest. Among the existing controls are:

a. a system for classifying national security information and strictly controlling its dissemination (E.O. 12356);

b. a system to control the export of arms, ammunition, and implements of war, including unclassified technical data and information relating thereto (see the ITAR issued by the Department of State); and

c. a system to control the export of U.S. commodities and unclassified technical data which would make a significant contribution to the military potential of any other nation or nations which would prove detrimental to the national security of the U.S. (see the Export Administration Regulations issued by the Department of Commerce).

4. Marketing Activities With Communist Countries. It must be recognized that marketing personnel are in a particularly difficult role. On the one hand they must be in a position to knowledgeably discuss their products and employ all of the attributes of good salesmanship to promote a free exchange of information in order to successfully conclude marketing endeavors. On the other hand, a clear understanding of, and strict adherence to, the controlling regulations are necessary for those categories of information which can not be disclosed, or which require prior U.S. Government approval in order to be disclosed. Marketing personnel, who meet with representatives from Communist countries, should be thoroughly versed and totally knowledgeable with respect to what information may be released. Meticulous preplanning is essential if U.S. security interests and responsibilities are to be properly met. The following categories of information merit special consideration before planning a meeting with representatives from Communist countries.

a. Disclosure of Classified Information. Obviously, classified information may not under any circumstances be disclosed to representatives from Communist countries. It cannot be assumed that all personnel are thoroughly familiar with respect to what is and what is not classified. A thorough re-assessment and evaluation of pertinent information should be undertaken to ensure a complete and unequivocal understanding as to what is and what is not classified.

1/ "Study of Harassments and Provocations," is marked "FOR OFFICIAL USE ONLY" and appears in DIS Security Awareness Bulletin Number 1-83, November 1982, published by the Defense Security Institute, Richmond, Virginia. Copies of the bulletin may be obtained from the CSO. \*

b. Unclassified Information Relating to Classified Contracts. Before a contractor may disclose any information that pertains to a classified contract or project, the contractor must obtain the approval of DoD as provided for in section 1, paragraph 5c. It is essential to ensure that all personnel who will participate in visits by representatives of Communist countries are thoroughly knowledgeable with respect to that information which relates to classified contracts, and which therefore may not be released without prior approval of DoD.

c. Information That Comes Within the Purview of the International Traffic in Arms Regulations. The ITAR applies not only to the export of arms, ammunition, and implements of war, but also to both classified and unclassified technical data related thereto. Disclosure to a representative of a Communist country within the U.S. or abroad constitutes an export under the provisions of these regulations. Further information concerning these requirements may be obtained from the Office of Munitions Control, Department of State, Washington, D.C. 20520.

d. Technical Data Subject to Export Control. Unclassified technical data, pertaining to items on the "Commodity Control List" may require approval by the Department of Commerce prior to release to a representative of a Communist country. Part 379, Technical Data, Export Administration Regulations, issued by the Department of Commerce pursuant to the Export Administration Act of 1969, as amended, sets forth the rules applicable to the export of technical data. Release of such information to a representative of a Communist country within this country or abroad constitutes an export under these regulations. For further information in this connection, inquiries should be addressed to the local U.S. Department of Commerce District Office, or to the Office of Export Administration, Department of Commerce, Washington, D.C. 20230.

5. Conclusion. Attention to this very difficult and complex area is essential if U.S. national interests are to be properly safeguarded, and if the contractor is to abide by this DD Form 441 with DoD and with the applicable U.S. statutes, as enumerated above. In the case of any information which may be classified or any information relating to a classified contract, the contractor should initiate appropriate consultation with his or her contracting officer. Whenever there is any doubt or question with respect to other information, consultation may be necessary with the Office of Munitions Control, Department of State and/or the Office of Export Administration, Department of Commerce. If there is any doubt, or if there are further questions, ask the CSO. In all situations, be sure that information disclosed to representatives of Communist countries is appropriate for release to these countries. If in doubt, do not provide the information.

Although the emphasis in this guide has been placed on the procedures to be followed when engaged in marketing activities with representatives of Communist countries, generally, these same procedures are applicable when dealing with representatives of any other foreign countries.

#### B. Counterintelligence Awareness Briefings.

1. General. A counterintelligence awareness briefing containing elements of the following material, or updated information, shall be given to appropriate individuals or employees.

2. Introduction. The following elements of information are intended to be neither all-inclusive nor all-exclusive, but should be used as source material in the preparation of counterintelligence awareness briefings and as a guide for the type of information to be included in this type of briefing. Routine, stereotyped briefings not only fail to meet intended objectives, but could actually weaken security by giving the recipient a false sense of security. Only the use of thoughtfully prepared briefings, based on authoritative information and related to the duties performed, and the sensitivity of the classified information to which exposed and manner of presentation, will accomplish the purpose. The following information has been extracted, with permission, from a pamphlet published by the Federal Bureau of Investigation, "Secrets, Spies and Citizens." Copies of the pamphlet may be requested from the local FBI office. Additional current topical material may be requested from these offices or from local military intelligence activities.

3. The Threat. Intelligence collection -- the world of espionage and counterespionage, spies, and spy catchers -- is a popular subject of fiction. It has been the topic of countless books, short stories, TV serials, and movies. The role of the spy, the "Secret Agent," has become so sensationalized and exaggerated that it is very easy to think that spies exist only in the minds of fiction writers -- that spying belongs in the same category as science fiction and westerns. Do not believe it. Spies do exist, and literally thousands of spies, or intelligence officers, as they are officially known, and their agents are at this moment plying their treacherous trade within the U.S. The principal source of these intelligence officers is the Soviet Union, but the USSR's allied nations in Eastern Europe, as well as Cuba, the People's Republic of China, and smaller Asian Communist nations such as North Korea and Vietnam, also dispatch spies to U.S. shores.

a. The Objectives and Techniques of Spies. Their main objective is the wholesale collection of data. The most prized type of intelligence data is the classified government document, but unclassified material -- even material which appears to be trivial -- can also be of inestimable value. In their task of gathering intelligence data, the foreign intelligence services have a large array of tools. Satellites miles above the earth's surface gather photographic data. Aircraft and vessels gather electronic intelligence. But a further source of data, and potentially the most valuable to a hostile nation, is that acquired through the use of actual spies. (Here the briefer may wish to identify the type of classified projects or work being performed by the facility which lends credence to possibility of its being an espionage target.) Intelligence services may gather their information through the use of several different techniques. Probably the greatest achievement and intelligence organization can have is the placement or recruitment of an agent directly in a sensitive position in a national defense or intelligence element of an opposing government. The penetration by live or electronic sources of private institutions involved in sensitive, national defense-related research and development work can also be of tremendous value.

(1) Hostile intelligence collectors ply Washington and other locations where strategic data can be collected. They gain their desired information wherever, whenever, and from whomever it can be had. Hostile intelligence officers employ various tactics in their campaigns to enlist target employees. They may use a honeyed, seemingly guileless approach. They befriend targets, treat them to gifts and money, wine and dine them. Many Soviet and

other Communist agents believe that Americans are hopeless materialists, and can be easily swayed by appeals to their alleged greed.

(2) In another maneuver, a hostile intelligence officer misrepresents him or herself as a citizen of a country friendly to the U.S. Thus a targeted American may be duped into handing over sensitive information by being led to believe that he or she is aiding an ally to the U.S. In variation of this tactic, an intelligence officer poses as a representative of a non-Communist country towards which a targeted American is particularly sympathetic. Also, if a hostile agent believes that an individual has Communist or similar sympathies, he or she may make an appeal for information based on ideology. A "pitch" for information may also be geared to take advantage of an American's desire for international harmony and world peace.

(3) Another favored appeal exploits the American belief in freedom of speech and the free exchange of information. A hostile intelligence officer in the role of a scientist may, for example, tell an American scientist that science has no political boundaries. Therefore, in the interest of science, the American is encouraged to share his or her knowledge with a fellow "member" of the international scientific community. Intelligence agents can also play rough in their ceaseless quest for strategic information. To such people espionage is a business. If they feel coercion and blackmail will serve their purpose, they will not hesitate to employ those methods. The honeyed approach can readily turn sour if an agent determines that a targeted employee has personal inadequacies which that employee does not wish to have exposed.

(4) Correspondingly, another tactic is the exploitation of a "hostage situation." If, for example, a foreign intelligence service learns that a target employee has relatives in Eastern Europe or the USSR, that employee is in an extremely vulnerable position. First will come gentle persuasion (an agent may produce "letters" from so-called relatives calling for the American to "cooperate"). If that does not work, the agent may suggest that harsh measures could be applied to the relatives.

b. Recognizing the Approach.

(1) One should therefore be wary of glad-handing strangers who make an intensive effort at forming a friendship, and then slowly but surely begin to use that friendship to learn where one works, the nature of one's assignment, and who one works with. A generous and inquisitive stranger could very well be the proverbial wolf in sheep's clothing.

(2) One should also be wary of strangers who ask for information not related to their professed area of interest or do not seem to be particularly knowledgeable in their field. Thus, if "scientists" request data not related to their fields, or do not seem to know much about their supposed areas of expertise, then they could very well be impostors.

(3) The operative of a foreign intelligence service need not be a foreigner, nor need the occasion of encountering him or her be in any way extraordinary. The neighbor one might meet at a PTA meeting could be a foreign diplomat who lives down the block, or he or she could be a fellow American who has been recruited as an agent by a hostile service. The spy could be a "spotter," who reports to an intelligence service on persons he or



she meets who appear to be susceptible to recruitment and, sometimes, arranges for intelligence officers to meet them. Do not expect either intelligence officers or agents to expose their roles in any dramatic and sudden fashion. Usually there is a long period of cultivation during which conversations with the individual could be completely normal and innocuous. However, at any point where someone begins to inquire into aspects of one's knowledge or activity which are classified or otherwise private, one should certainly stop to consider whether the inquiry is normal innocent curiosity, or whether it might be the beginning of an attempt to secure intelligence information for the benefit of another country.

c. Protecting the Bits & Pieces. It cannot be overemphasized that unclassified material may be just as valuable to a foreign intelligence service as classified material. In formulating their estimations of U.S. strengths and weaknesses, and in the quest for data that will enhance their own nation's strength, foreign intelligence services seek all types of material. A small bit of information could represent a very important piece in a much larger puzzle. Therefore, all data should be protected from the probing hands of foreign agents. A stolen industrial process can save thousands of dollars in research and development cost. The most trivial document could be the missing link of a hostile nation's problem.

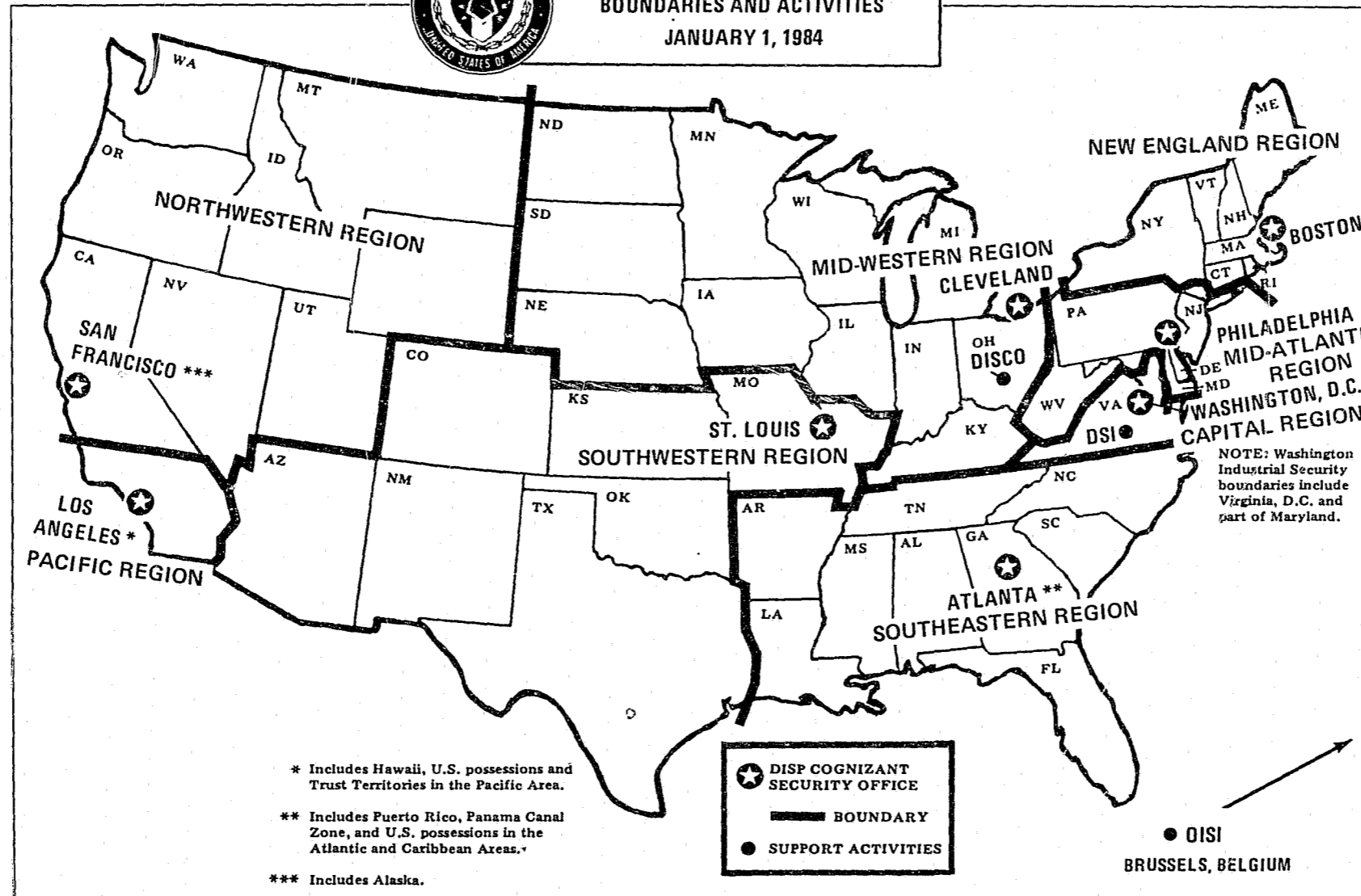
d. Reporting the Threat. In the effort to protect America's secrets, the role of the facility must be emphasized. Each U.S. Government agency and private industry which deals with classified material has a specified official in charge of security matters. This security officer should be recognized as an ally and not an adversary. If approached by a suspicious stranger in the manner described above, the security officer should be informed immediately of the encounter. Even if a friendship has been established, even if the individual has been able to pry loose some information, the security officer should be consulted. A major aspect of the security officer's job is to protect employees from getting involved in compromising situations and, if necessary, to extricate them from such situations. Such assistance cannot be rendered if the employee remains silent. Of course, it is much better for an employee to reveal a suspect relationship voluntarily, rather than have it come to light in the course of a security investigation, or through some other means. Then, it may be too late for anyone to assist the indiscreet employee. Basically, it cannot be overemphasized that, if involved in a compromising situation, the sooner the employee consults his or her facility security officer, the better. Of course, sometimes one will be in a place or situation where one cannot, or for some reason does not want to, contact the security officer. Remember that in the U.S., the FBI is as close as the nearest telephone. Directions for contacting FBI offices appear in the front of all U.S. telephone books. Abroad, the nearest U.S. diplomatic establishment can arrange to put one in touch with the FBI or other appropriate U.S. Government security officials. Once again, it must be stressed that the best course of action in any of the questionable situations mentioned herein is to immediately relate the facts to a counterintelligence professional who will be able to analyze the situation and propose a course of action. Effective counterintelligence is a demanding and professional discipline, and any attempts by untrained or uninformed amateurs to handle hostile efforts on their own could not only result in personal disaster, but also could interfere with the FBI's coordinated counterattack.

e. Summary of Threat. Finally, it must be stressed that the threat posed by foreign intelligence agencies cannot be underestimated. History is replete with situations in which a nation's security was greatly damaged by the efforts of a hostile nation's intelligence services. In American history, the breaking of the Japanese secret code helped to bring U.S. victory in the Pacific during World War II. On the other hand, the theft of some key U.S. atomic secrets greatly abetted the interests of the Soviet Union. The craft of spies is by no means a game. The very fate of nations can be damaged or enhanced by their enterprises.

4. Summary -- Counterintelligence Awareness is Critical. The Soviet \* Union and its surrogates have established a long standing, well-organized, \* deliberate, and quite successful effort to acquire and utilize Western \* state-of-the-art technology by both overt and covert means. Unquestionably, \* this acquisition of Western technology has played, and will continue to play, \* an extremely important role in the development of industrial and military \* capabilities of Communist bloc countries, particularly the Soviet Union. A philosopher once said, "Knowledge itself is power." This maxim most certainly applies to national power, for one gauge of national power is the amount and quality of scientific, technological, and military-related knowledge possessed by a nation. A nation such as the U.S. can be weakened by the theft of its vital knowledge, and its enemies can be strengthened by the acquisition of that knowledge, whether it be classified or unclassified. It is the responsibility of each individual who has been entrusted with sensitive data to do his or her share in protecting America's strategic knowledge, whether it be classified TOP SECRET or seemingly unimportant, unclassified material. For if Americans do not conduct themselves in a responsible and patriotic manner, do not recognize that this country's national security is based essentially on the loyalty and efforts of its citizens, then the tightest document classification system, the most efficient security organizations, and the mightiest Armed Forces may be utterly valueless.



DIS COGNIZANT SECURITY OFFICES,  
BOUNDARIES AND ACTIVITIES  
JANUARY 1, 1984



OPERATIONAL AREAS OF DIS COGNIZANT SECURITY OFFICES

Capital Region (S1510) -- formerly known as the Washington Region

The Capital Region includes: the state of Virginia; Washington, D.C.; and the following counties in Maryland: Anne Arundel, Baltimore, Calvert, Charles, Harford, Howard, Montgomery, Prince Georges, and St. Marys.

Mid-Atlantic Region (S1410) -- formerly known as the Philadelphia Region

The Mid-Atlantic Region includes: the states of Delaware, New Jersey, Pennsylvania, West Virginia, Maryland (less the counties of Anne Arundel, Baltimore, Calvert, Charles, Harford, Howard, Montgomery, Prince Georges, and St. Marys); and the following counties in New York:

Bronx	Putnam
Chautauqua	Queens
Kings (Brooklyn)	Richmond
Nassau	Rockland
New York (Manhattan)	Suffolk
Orange	Westchester

Mid-Western Region (S3210) -- formerly known as the Cleveland Region

The Mid-Western Region includes: the states of Indiana, Iowa, Kentucky, Michigan, Minnesota, Nebraska, North Dakota, Ohio, South Dakota, and Wisconsin; and the following counties in Illinois:

Adams	Hancock
Boone	Henderson
Brown	Henry
Bureau	Iroquois
Carroll	Jasper
Cass	Jo Daviess
Champaign	Kane
Christian	Kankakee
Clark	Kendal
Coles	Knox
Cook	Lake
Crawford	La Salle
Cumberland	Lee
DeKalb	Livingston
DeWitt	Logan
Douglas	Macon
Du Page	Marshall
Edgar	Mason
Effingham	McDonough
Ford	McHenry
Fulton	McLean
Grundy	Menard

Mercer	Scott
Moultrie	Shelby
Morgan	Stark
Ogle	Stephenson
Peoria	Tazewell
Pike	Vermilion
Piatt	Warren
Putnam	Whiteside
Rock Island	Will
Sangamon	Winnebago
Schuyler	Woodford

New England Region (S1110) -- formerly known as the Boston Region

The New England Region includes: the states of Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont; and the following counties in New York:

Albany	Niagara
Allegany	Oneida
Broome	Onondaga
Cattaraugus	Ontario
Cayuga	Orleans
Chemung	Oswego
Chenango	Otsego
Clinton	Rensselaer
Columbia	St. Lawrence
Cortland	Saratoga
Delaware	Schenectady
Dutchess	Schoharie
Erie	Schulyer
Essex	Seneca
Franklin	Steuben
Fulton	Sullivan
Genesee	Tioga
Greene	Tompkins
Hamilton	Ulster
Herkimer	Warren
Jefferson	Washington
Lewis	Wayne
Livingston	Wyoming
Monroe	Yates
Montgomery	

Northwestern Region (S5210) -- formerly known as the San Francisco Region

The Northwestern Region includes: the states of Alaska, Idaho, Montana, Nevada, Oregon, Utah, Washington, and Wyoming; and the following counties in California:

Alameda	Amador
Alpine	Butte

Calaveras	Placer
Colusa	Plumas
Contra Costa	Sacramento
Del Norte	San Benito
El Dorado	San Francisco
Fresno	San Joaquin
Glenn	San Mateo
Humbolt	Santa Clara
Inyo	Santa Cruz
Kings	Shasta
Lake	Sierra
Lassen	Siskiyou
Madera	Solano
Marin	Sonoma
Mariposa	Stanislaus
Mendocino	Sutter
Merced	Tehama
Modoc	Trinity
Mono	Tulare
Monterey	Tuolumne
Napa	Yolo
Nevada	Yuba

Pacific Region (S5310) -- formerly known as the Los Angeles Region

The Pacific Region includes: the state of Hawaii, U.S. possessions and trust territories in the Pacific area, and the following counties in California:

Imperial	San Bernadino
Kern	San Diego
Los Angeles	San Luis Obispo
Orange	Santa Barbara
Riverside	Ventura

Southeastern Region (S4110) -- formerly known as the Atlanta Region

The Southeastern Region includes: the states of Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, and Tennessee; Puerto Rico, and U.S. possessions in the Atlantic and Caribbean areas.

Southwestern Region (S4210) -- formerly known as the St. Louis Region

The Southwestern Region includes: states of Arizona, Colorado, Kansas, Missouri, New Mexico, Oklahoma, Texas; and the following counties in Illinois:

Alexander	Clinton
Bond	Edwards
Calhoun	Fayette
Clay	Franklin

Gallatin	Montgomery
Greene	Perry
Hamilton	Pope
Hardin	Pulaski
Jackson	Randolph
Jefferson	Richland
Jersey	St. Clair
Johnson	Saline
Lawrence	Union
Macoupin	Wabash
Madison	Washington
Marion	Wayne
Massac	White
Monroe	Williamson

TELEPHONE NUMBERS AND ADDRESSES

The following listing contains the addresses and telephone numbers of all Cognizant Security Offices. The following indicated numbers and addresses shall be used to obtain the required verification of facility clearance and safeguarding capability of prospective contractors and subcontractors. Correspondence should be addressed to the Defense Investigative Service, Director of Industrial Security (appropriate address as cited below).

<u>Region</u>	<u>Address</u>	<u>Area Code</u>	<u>Telephone Number</u>	<u>AUTOVON NO.</u> (For Gov't. Agencies Use)
Capital	2461 Eisenhower Avenue Alexandria, VA 22331	202	325-9616	221-9616
Mid-Atlantic	P.O. Box 13286 Philadelphia, PA 19101	215	952-4030/5	444-4030/5
Mid-Western	Federal Office Bldg. 1240 East 9th Street Cleveland, OH 44199	216	522-5338/9	580-5338/9
New England	Barnes Building 495 Summer Street Boston, MA 02210	617	451-4927/3052	955-4927/3052
Northwestern	Presidio of San Francisco San Francisco, CA 94129	415	561-3251	586-3251
Pacific	11099 S. LaCienega Blvd. Los Angeles, CA 90045	213	643-0203/0226	833-0203/0226
Southeastern	805 Walker Street Marietta, GA 30060	404	429-6340	697-6340
Southwestern	1136 Washington Avenue St. Louis, MO 63101	314	263-6581/2/3	693-6581/2/3

The following are the telephone numbers for the DIS Directors of Industrial Security. These numbers may be used for all matters other than verifications of facility clearances and safeguarding capability. The mailing address is the same as that listed above.

<u>CSO Region</u>	<u>Area Code</u>	<u>Telephone Number</u>	<u>AUTOVON NO.</u> (For Gov't. Agencies Use)
Capital	202	325-9634	221-9634
Mid-Atlantic	215	952-4031	444-4031
Mid-Western	216	522-5334/5	580-5334/5
New England	617	451-4914/6	955-4914/6
Northwestern	415	561-3235/6	586-3235/6
Pacific	213	643-1082	833-1082
Southeastern	404	429-6330	697-6330
Southwestern	314	263-6580	693-6580

The following listing contains the addresses and telephone numbers of DISCO, DSI, and OISI.

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<u>City &amp; State</u>	<u>Address</u>	<u>Area Code</u>	<u>Telephone Number</u>	<u>AUTOVON NO.</u> (For Gov't. Agencies Use)
Columbus, OH	Director, Defense Industrial Security Clearance Office, P.O. Box 2499 Columbus, OH 43216	614	238-2133 (Duty Hrs.) 614 238-2058 (After Hrs.)	850-2133
Richmond, VA	Director, Defense Security Institute c/o Defense General Supply Center Richmond, VA 23297	804	275-4891	695-4891
Brussels, Belgium	Chief, Office of Industrial Security, International Physical Address: Office of Industrial Security, International, Steenweg Op Leuven 13, 1940 St. Stevens-Woluwe, Brussels, Belgium Mailing Address: Office of Industrial Security, International, APO New York 09667		Brussels, Belgium 0-322-720-8259	

Appendix IX. USE OF ESCORTS FOR CLASSIFIED SHIPMENTS

(also applies to carrier custodians)

A. General. Escorts must be cleared to the level of the information involved. A sufficient number of escorts shall be assigned to the classified shipment to ensure continuous surveillance and control over the shipment while it is in their custody.

B. Instructions and Operating Procedures. Specific written instructions and operating procedures will be furnished escorts prior to the shipment and should include, but not necessarily be limited to, the following:

1. general unclassified outline of the mission;
2. name and address of persons, including alternates, to whom the classified matter is to be delivered;
3. receipting procedures;
4. means of transportation to be used and route to be used;
5. duties of each escort during movement, during stops en route, and during loading and unloading operations; and
6. emergency and communication procedures.

C. Functions of An Escort. Escorts assigned for the protection of security shipments shall do the following.

1. Escorts shall conduct themselves throughout each security shipment operation in such manner that the security of matter entrusted to them will not be prejudiced through carelessness, inadvertence, or lack of vigilance. Intoxicants or drugs, which may impair their judgment, may not be used by escorts while assigned to a security shipment.
2. Escorts shall possess identification cards as prescribed in paragraph 8 and carry them at all times, while having custody of security shipments. These cards will be safeguarded, and the loss of a card will be reported immediately to their company security supervisors.
3. Escorts shall accept custody for the shipment by signing a receipt and release custody of the shipment to the consignee, after obtaining a receipt from one of the consignee's employees who has been positively identified and who is cleared to at least the same level as the classified shipment.
4. Escorts shall carry packages on their person, or in hand-carried containers, until they are delivered to the consignee, whenever practical. Such packages shall be kept under the constant surveillance of the escort who shall be in a physical position to exercise direct security controls over the material.

5. When accompanying classified material in an express or freight car, escorts shall provide continuous observation of the containers and observe adjacent areas during stops or layovers.

6. When traveling in an escort car accompanying a security shipment via rail, escorts shall keep the shipment cars under observation and detrain at stops, when practical and time permits, in order to guard the shipment cars and check the cars or containers locks and seals. The escort car (after appropriate arrangements with the railroad) should be prepositioned immediately behind the car used for the classified shipment, in order to enable the escort to keep the shipment car under observation.

7. Escorts shall maintain liaison, as required, with train crews, other railroad personnel, special police, and law enforcement agencies.

8. When escorting security shipments via motor vehicles, escorts shall maintain continuous vigilance for the presence of conditions or situations which might threaten the security of the cargo, take such action as circumstances might require to avoid interference with continuous safe passage of the vehicle, check seals and locks at each stop where time permits, and observe vehicles and adjacent areas during stops or layovers.

9. When escorting shipments via aircraft, escorts shall provide continuous observation of plane and cargo during ground stops and of cargo during loading and unloading operations. The escort shall not enplane until after the cargo area is secured. Furthermore, the escort should preferably be the first person to deplane in order to observe the opening of the cargo area. Advance arrangements with the airline are required.

10. Escorts shall notify the consignor by the fastest means available if there is an unforeseen delay en route, an alternate route is used, or an emergency occurs. If appropriate and the security of the shipment is involved, also notify the nearest office of the FBI.

Appendix X. REQUIREMENTS APPLICABLE TO THE HAND-CARRYING OF CLASSIFIED DOCUMENTS ABOARD COMMERCIAL PASSENGER AIRCRAFT

A. General. Classified documents shall not be hand-carried aboard commercial passenger aircraft, unless authorized in writing by a cleared OODEP of the contractor, or, when extenuating circumstances dictate, by another responsible official of the contractor, as approved by the CSO. Hand-carrying of classified hardware or other bulky packages aboard commercial aircraft is prohibited, unless specifically approved by the CSO. In either case, contractors are not authorized to carry classified material across international boundaries. (This does not preclude use of regularly scheduled nonstop flights on U.S. carries between the U.S. mainland and Alaska, Hawaii, Puerto Rico, or U.S. possessions or trust territories.) Current government security measures pertaining to the control of hand-carried items aboard commercial passenger aircraft include the inspection of all hand-carried luggage, briefcases, and packages. The following requirements, established for the hand-carrying of classified documents aboard commercial passenger aircraft, are in addition to those in paragraph 17. These procedures apply to classified documents only. Instructions regarding classified hardware and other bulky packages shall be requested from the CSO on a case-by-case basis. These procedures are not applicable to classified COMSEC or SENSITIVE COMPARTMENTED INFORMATION.

B. Approval. A cleared OODEP or other responsible official, as approved by the CSO, shall issue written authorization for an employee to hand-carry classified documents aboard a commercial passenger aircraft, after a determination that: (i) as the result of a rare and unusual situation an emergency exists, (ii) the necessary classified documents are not available at the destination point of the traveler, and (iii) the material cannot be transmitted by other authorized means in a timely manner. Where there is only one employee assigned at a facility, that individual may approve his or her own courier authorization letter, provided the CSO is preadvised and identified as the point of contact in the authorization letter for authenticity purposes.

C. Authorization Letter and Identification Card. The traveler designated as a courier shall possess written authorization (see paragraph B above) to carry classified material, and possess a picture identification card or badge meeting the requirements of paragraph 8.

1. The traveler shall have the original of the written authorization. A reproduced copy is not acceptable; however, the traveler shall have sufficient authenticated copies to provide a copy to each airline involved. The written authorization may contain a printed (or typed) endorsement for signature by the host official at destination if a round trip is foreseen. In addition, the written authorization shall:

(a) be on letterhead stationery of the contractor authorizing the carrying of the classified material;

(b) give the full name of the traveler, and, if not included on the identification medium specified in paragraph 2 below, the date of birth, height, weight, and signature of the traveler;



(c) describe the type of identification the traveler will present on request (for example, ABC Corporation picture badge, No. 1234);

(d) describe the material being carried which is to be exempt from opening (for example, three sealed packages, 9½" x 12½" x 2");

(e) identify the points of departure and destination;

(f) be dated and have an expiration date, which may not exceed 7 days from date of issue; and

(g) carry the name, telephone number, title, and signature of the authorizing official. The telephone number will enable confirmation of the authenticity of the traveler's authorization. When there is only one employee assigned to a facility, identification and telephone number of the CSO will be provided for authenticity purposes.

2. (a) Personal identification medium shall be an identification card, badge, or credential showing as a minimum the name and photograph of the holder. If descriptive data of the holder is not shown on the card, badge, or credential, the date of birth, height, and weight of the holder shall be included in the written authorization, in accordance with paragraph 1(b) above.

(b) Personal identification medium shall carry the name of the employing contractor or otherwise be marked to denote "contractor."

3. If the facility does not have and cannot develop the necessary identification medium, the contractor may request the CSO to issue such a medium.

4. When a traveler visiting a UA or another cleared facility is given classified material, which must be hand-carried via commercial passenger aircraft, and the traveler has no endorsable traveler authorization from the employing contractor, it will be necessary for an authorized official at the activity being visited to determine whether the hand-carrying mission is required. Depending on this determination, the host official will provide and sign a traveler authorization on the host's letterhead stationery, and make other arrangements necessary for the hand-carrying mission.

#### D. Preparation for Transmission -- Packaging.

The classified documents to be hand-carried by the traveler are to be packaged as follows.

1. Double-sealed envelopes, together with the classified documents contained therein, shall be of a thickness which facilitates physical inspection at the airport screening station by flexing, feeling, weighing, and so on, without the envelopes being opened. If the material to be hand-carried involves a number of copies or pages, the material shall be sealed in separate double envelopes in order to facilitate physical inspection by airport security personnel without opening the envelopes.

2. The envelopes shall contain no binders, paperclips, or other metal which would inhibit processing through detection devices at the airport.

3. Caution should be used with respect to the carrying of photographic film because detection devices may include X-ray equipment, which could damage certain films.

E. Records. In accordance with paragraph 171, the contractor shall maintain at the facility a list of classified material hand-carried by the traveler. All accountable classified material shall be accounted for on return of the traveler.

F. Briefings. The traveler hand-carrying the classified documents shall be briefed not only on his or her overall responsibilities to safeguard classified material, but also the contents of this appendix. The traveler should be reminded that the classified documents shall be in his or her personal possession at all times, when proper storage at a U.S. Government activity or appropriately cleared contractor facility is not available. Overnight stop-overs are not permissible, unless arrangements are made in advance for overnight storage of the classified material in a U.S. Government installation or a cleared contractor facility.

G. Instructions to Traveler. The traveler carrying classified documents shall be processed through the airline ticketing and boarding procedure in the same manner as all other passengers, except for the following.

1. The traveler shall present him or herself at the screening station for routine processing. Should the envelope containing the classified documents be in a briefcase or other carry-on luggage, the briefcase or luggage shall be routinely offered for opening for inspection for weapons. The screening official should be able to inspect the envelopes by flexing, feeling, weighing, and so on, without any requirement for opening the envelope.

2. In the event that the screening official is not satisfied, the traveler at that time shall inform the official that the envelopes contain classified documents and shall present the authorization letter and identification card.

3. At that point, the screening official will process the envelopes with a detection device.

(a) If no alarm results, the envelopes require no further examination.

(b) If an alarm results, the traveler shall not be permitted to board, and therefore is not subject to further screening for boarding purposes.

(c) The traveler and all other items he or she may be carrying will be subject to routine screening.

4. When not in the personal possession of the traveler, classified material shall be stored, in accordance with paragraph 14. Opening or reading the classified documents by a screening official is not permitted. If these measures do not permit boarding without opening the envelopes, the traveler

shall not proceed further, but shall arrange with his or her facility for alternate means of transmitting the material. The traveler may not open or authorize the opening of envelopes under any circumstances. Any instances in which the envelopes have been opened shall be reported promptly to the FSO who shall report the matter to the CSO.

5. In the event the traveler is aboard a commercial passenger aircraft that is hijacked and lands in a foreign country, the traveler shall conduct him or herself as follows.

(a) If identification is required, he or she shall show appropriate civilian identification.

(b) The traveler shall not, under any conditions, volunteer that he or she possesses classified material.

(c) If questioned or interrogated in a foreign country, common-sense judgment shall be used in making any response, but travelers shall not under any circumstances reveal classified information. He or she shall attempt to maintain physical possession of the classified material at all times.

(d) On return to the U.S., the traveler should report the incident to the FSO, who shall report the matter to the CSO.

#### Appendix XI. GUIDELINES FOR THE CONTROLLED ADP SYSTEM SECURITY MODE

##### A. Application.

1. An ADP system is operating in the controlled security mode when at least some personnel (users) with access to the system have neither a security clearance nor a need-to-know for all classified information then contained in the ADP system. However, the separation and control of users and classified information on the basis, respectively, of PCL and security classification is not exclusively under operating system control.

2. This mode presents an alternative to encourage ingenuity in meeting the security requirements of this manual in a manner less restrictive than the dedicated and system high security modes. This is accomplished by the implementation of explicit augmenting measures that reduce or remove a substantial measure of system software vulnerabilities, together with specific limitation of the PCL levels of users permitted concurrent access to the system.

3. A request for approval to operate an ADP system in the controlled security mode must be submitted to the CSO for case-by-case considerations at least 90 days prior to the proposed start of operation. The request shall clearly identify the system's operating mode and why this mode is required for operation at the contractor facility. The guidelines in paragraph 112 and in this appendix should be used in developing the system's description (that is, SPP). This document should be as complete and accurate as possible and must accompany the request for approval. Additional specific information pertinent to the system may be requested as required by the CSO. Requests for the controlled security mode shall also specifically enumerate those methods and techniques that serve to augment the system software in ensuring the isolation of concurrent users with different levels of PCL.

##### B. Guidelines.

1. Examples of measures augmenting or enhancing the system by reducing or removing system software vulnerabilities and associated risk include: the employment of hardware and/or firmware <sup>1/</sup> alterable only at the central computer facility, for critical system security functions; employment of hardware/operating systems or system architectures that manifest reduced system software vulnerabilities and risk; interconnection of remote terminals via one-way hardware and/or firmware information communication, wherein substantive information can only be transmitted in one direction (circuits that require two-way communication for certain control information in order to properly receive substantive information may be considered one-way circuits when it is determined

<sup>1/</sup> The firmware or microprogramming, handling security, and related control functions shall be alterable only within the central computer facility and only under controlled conditions by specifically designated personnel. It shall not be alterable by users or by software. Particular care and evaluation is accordingly required where writable control storage is employed in addition to, or in lieu of, read-only storage in the microprogram control storage.

that only control information can be transmitted in both directions); assignment of terminal security officers in remote terminal areas not protected as required for the highest classification category and the most restrictive type(s) of information then being handled by the system, wherein the terminal security officer has a PCL for that highest level; system splitting via hardware and/or firmware alterable only at the central computer facility; and limitation on user capabilities, such as restriction to fixed query access only, or the prohibition of user assembler and machine language programming 1/.

2. Consideration shall also be given to the specific limitation of the number of separate PCL levels of users permitted concurrent access to the system to no more than three adjacent categories. For example, permitting access by users with TOP SECRET, SECRET, and CONFIDENTIAL security clearances, or by users with SECRET and TOP SECRET security clearances, and formal access authorizations for additionally restrictive types of classified information. However, certain such additionally restrictive types of classified information may place other limitations or requirements on the foregoing (see paragraph 101c).

3. This mode, by definition, provides the capability for the concurrent processing of multiple classification categories. Accordingly, the requirements of paragraph 108 must also be met for this mode.

Appendix XII. DOCUMENTS ACCEPTABLE FOR PROOF OF U.S. CITIZENSHIP

- A. A BIRTH CERTIFICATE indicating the individual was BORN IN THE UNITED STATES
- B. A U.S. PASSPORT
- C. A CERTIFICATE OF NATURALIZATION if the individual claims CITIZENSHIP BY NATURALIZATION
- D. "A Report of Birth Aboard of a Citizen of the United States of America" (Form FS-240), a CERTIFICATION OF BIRTH (Form FS-545 or DS-1350), or a CERTIFICATE OF CITIZENSHIP if CITIZENSHIP WAS ACQUIRED BY BIRTH ABROAD TO U.S. CITIZEN PARENT OR PARENTS
- E. If primary evidence of U.S. citizenship is not obtainable, then the best available secondary evidence, showing that the individual was born in the U.S., is required. Such evidence may include a combination of at least two of the following: a baptismal certificate; a hospital birth record; evidence of persons having personal knowledge of the facts of birth; or other documentary evidence, such as U.S. military records, early census, school or family Bible records, insurance papers, or newspaper files. The secondary evidence must be adequate to support a "good faith" determination that the individual is in fact a U.S. citizen. Secondary evidence submitted as proof of birth in the U.S. shall be original or certified documents. Noncertified copies are not acceptable.

The contractor will maintain a record as to which of the above documents were sighted as proof of citizenship.

Appendix XIII. GUIDANCE FOR CONTRACTOR SELF-INSPECTIONS

Each contractor is required to conduct a self-inspection program for evaluating all security procedures applicable to the facility's operation, in accordance with paragraph 5ac. As a minimum, a contractor self-inspection should include all elements normally inspected by the CSO. In order to assist the contractor in assessing the security posture of his or her facility, the following guideline questions used in part by CSO industrial security representatives are provided.

A. Facility Clearance.

1. Are the appropriate DD Forms 441, 441-1, and 441s on file (see paragraphs 21 and 73)?
2. Is the HOF/parent of the facility cleared or properly excluded (see paragraphs 72 and 73)?
3. Are all necessary OODEPs and a legal quorum of the board of directors or all members of an executive committee cleared (see paragraph 22)?
4. If all OODEPs are not cleared, have appropriate resolutions been furnished to the CSO (see paragraph 22e)?
5. Have changes in the information previously reported on DD Forms 441s been reported? (List changes which have occurred since the last inspection; see paragraph 6a(4)f.)
6. Have all changes affecting the FCL been reported to the CSO, for example, stock control, exclusion resolutions and changes of OODEPs (see paragraph 6a(4)f)?
7. Has a statement been submitted by each RFI (see paragraphs 6a(4), 6b(5), and 20k)?

B. Access Authorizations.

1. Are records maintained of clearances issued by the DoD and the facility, for example, records of DISCO Forms 560 and DD Forms 48-2 (see DISCO Form 560, DD Form 48-2, and paragraph 28)?
2. Are the number of clearances held to the minimum consistent with facility requirements (see paragraph 20)?
3. Are clearance applications made only after employment (see paragraph 25)?
4. Are interim clearance requests properly authorized and held to a minimum (see paragraph 26d)?
5. Are all required information and forms furnished to DISCO (such as, adverse information, DISCO Form 562, DD Form 48-2, as applicable)?

(Explain system and procedures for ensuring that adverse information is reported as required; see paragraphs 6b and 24b.)

6. Are personnel transfers in a MFO reported to DISCO (see paragraph 26f)?

7. Are contractor CONFIDENTIAL clearances granted by a contractor's employee who is cleared by DoD (see paragraph 24a(1)(e))?

8. Have adequate procedures been established for the granting of CONFIDENTIAL clearances by the contractor (see paragraph 24b)?

9. Are review procedures in effect to preclude errors/omissions on clearance applications to DISCO (see paragraph 26a)?

10. Has the contractor elected to have LOC's issued to the HOF or to a PMF (see paragraph 26k)?

11. Has the election to have LOC's issued to the HOF or PMF been included in the SPP and approved by the CSO (see paragraph 26k(1)(b))?

12. Are cleared immigrant alien employees assigned overseas for more than 90 consecutive days during any 12-month period? Is a report of such assignment submitted to DISCO (see paragraph 6b(6))?

C. Security Education.

1. Are procedures established for administering security briefings to cleared employees prior to granting access to classified information (see paragraph 5g)?

2. Are parts I and II of DISCO Form 482 executed as required (see paragraph 5g)?

3. Are refusals of employees to sign part II of DISCO Form 482 reported to the CSO (see paragraph 6a(9))?

4. Does the facility have an industrial security education program which includes recurring security indoctrination of its cleared employees? (Briefly explain how this program works; see paragraph 5f).

5. Does the contractor have a procedure for the conduct of a self-inspection of its complete security program (see paragraph 5ac)?

6. Has a procedure been established for evaluating the effectiveness of the self-inspection program? (Describe in the narrative the procedures used by the facility; see paragraph 5ac).

7. Is there an adequate procedure for ensuring personnel security administration and education for cleared personnel assigned to uncleared locations? (Describe in narrative the procedure used; see paragraphs 26k and 73).

8. Are special security briefings and debriefings given, and are records kept as required, for example, records pertaining to NATO and CNWDI (see paragraphs 85 and 119)?

9. Does management support the facility's security program (see paragraph 5s)?

D. Standard Practice Procedure.

1. Is the SPP current and does it adequately implement ISM requirements as they apply to the facility operations? Has a copy been given to the CSO? (Provide date of SPP or of latest revision; see paragraph 5s).

2. Is the MFO or PMF SPP adapted to apply at operating locations (see paragraph 73)?

E. Subcontracting.

1. Is the clearance status and safeguarding capability of the subcontractor determined as required (see paragraphs 58a and 59b)?

2. Is notification of selection of the subcontractor furnished to the contracting officer (see paragraph 62)?

3. Is written authority to disclose TOP SECRET information obtained from the contracting officer (see paragraph 59a)?

4. Is adequate classification guidance applicable to subcontracts extracted from the prime contract DD Form 254 and properly distributed to prospective or actual subcontractors (see paragraph 60a)?

5. Are DD Forms 254 pertaining to subcontractors approved by the contracting officer or, in the case of service contracts, by the prime contractor (see paragraph 60b)?

6. Is retention of classified information by subcontractors approved by the contracting officer (see paragraph 64)?

7. Are foreign classified subcontracts approved as required (see paragraph 65)?

F. Visit Control.

1. Is positive identification of visitors required and number of classified visitors held to a minimum (see paragraph 38a)?

2. Has action been taken to determine that the visiting contractor has been granted the appropriate FCL (see paragraph 38a)?

3. Are visitor records maintained, and do they contain required information (see paragraph 39)?

4. Are visitors escorted as required (see paragraph 38b)?

5. Are classified recordings, photos, and removal of classified material authorized as required (see paragraph 38c)?

6. Are classified visits by Category 4 visitors specifically approved by the UA (see paragraph 41d(1))?

7. Does the facility have proper procedures regarding Category 5 visitors; that is, briefings, debriefings, and reporting requirements (see paragraph 41e)?

8. Does the facility have long-term visitors? (If so, list by company those abiding by the host SPP and those using the SPP of their HOF's; see paragraph 40)

9. Are requests submitted in advance of visits and promptly canceled when required (see paragraph 37f)?

10. Is immediate notification regarding any change of individual or facility clearance status furnished to those activities which have received current visit requests (see paragraph 37f)?

11. Are requests to visit U.S. Government activities routed via the contracting officer when required (see paragraph 44c)?

12. Are visit requests submitted to DISCO or OISI in connection with foreign visits as appropriate, and is sufficient lead time allowed (see paragraphs 48 and 49)?

13. Are NATO security clearance certificates furnished as requested (see paragraphs 52 and 55)?

G. Classification.

1. Is the facility furnished adequate classification guidance and notification of biannual review (see paragraphs 10a and b)?

2. Are security classifications, including downgrading and declassification instructions, applied to information in accordance with the applicable classification guidance (see paragraph 10f)?

3. Does the contractor challenge classification and marking guidance believed by him or her to be inadequate or erroneous (see paragraph 10e)?

4. Is security classification marking by the contractor supported by adequate records (see paragraph 10f)?

5. Is the number of employees authorized to be responsible for the currency, necessity, and accuracy of applied security classifications held to a minimum (see paragraph 10f(4))?

6. Are security classification guidance and marking instructions adequately disseminated within the facility (see paragraphs 10f and h)?

7. Are downgrading and declassification actions taken in accordance with established schedules (see appendix II)?

8. Are adequate classification guidance and marking instructions furnished in connection with foreign classified contracts (see paragraph 11e)?

H. Employee Identification.

1. Are badges and identification cards properly controlled; do they contain the required data (see paragraph 8a)?

2. Are badges and/or cards designed to minimize tampering; are they properly constructed (see paragraph 8a(4))?

3. Are new or revised badge or card systems reported to the CSO (see paragraph 8c)?

4. Are visitor badges properly controlled (see paragraph 8b)?

5. How many badges and identification cards are lost or out of control? What percent of the total issued? How long has current system been in effect (no reference)?

6. Are badges and/or cards recovered as required (see paragraph 8a(5))?

I. Foreign Travel.

1. Are reports of foreign travel or attendance at international meetings submitted to DISCO and/or the CSO (see paragraph 6b(9))?

2. How many reports were submitted since the last inspection (see paragraph 5u)?

3. Are briefings given as required, and briefing forms retained for required period of time (see paragraph 5u(2))?

4. Is classified information accounted for prior to each employee's departure (see paragraph 5u)?

5. Have representatives of Communist countries visited the facility since the last inspection, and what special security measures and briefings were utilized in preparation? Were any problems encountered? (Explain fully in narrative; see paragraphs 5o, 5u, and 6a(19)).

J. Public Release.

1. Is public release of information pertaining to classified contracts approved by the appropriate U.S. Government activity? (Indicate the number of approved releases since last inspection, including contract number, nature of release, and identification of approving authority; see paragraph 5o).

2. Is classified sales literature approved by contracting officer prior to publication and distribution (see paragraph 5p)?

3. Is authorization for publication and distribution indicated on the cover or the first page of document (see paragraph 5p)?

K. Classified Storage.

1. Are containers kept locked, when not under direct and continuous surveillance by an authorized person (see paragraph 14c)?

2. Are the number of persons possessing knowledge of the combinations or having access to contents of containers held to a minimum (see paragraph 14c)?

3. When combinations to classified containers are placed in written form, are they properly marked, stored, and accounted for (see paragraph 5i)?

4. Are combinations changed by an authorized person (see paragraph 5i)?

5. Are combination padlocks properly protected when the container is open (see paragraph 5i)?

6. Are steel bars affixed to file cabinets in such a manner to preclude surreptitious removal of classified information (see paragraph 14a(3)(d), footnote 10)?

7. Are adequate supplemental controls established where required? (Completely describe supplemental controls in effect at the time of inspection. Fully identify those controls that are established for security containers and those established for controlled areas. See question 9 below; see paragraphs 14a(2) and (4)).

8. Are vaults and strongrooms properly constructed (see appendix IV)?

9. Is classified waste properly protected (see paragraph 19f)?

10. Does the facility use alternate storage locations? (If so, give full details, to include contracting officer's approval and location; see paragraph 15).

11. Are security checks performed to ensure that classified material is protected at all times (see paragraph 5j)?

12. Does the CSO have inspection responsibility for all classified material and areas? (If not, give particulars as to how the CSO was relieved of inspection responsibility and for what specific areas.)

L. Markings.

1. Are classified hardware and documents properly marked (see paragraph 11)?

2. Is the date of origin, name, and address of facility placed on documents (see paragraph 11b(1))?

3. Are portions of classified documents properly marked (see paragraph 11a(4))?

4. Are all additional markings applied as required (see paragraph 11b(8))?

5. Is foreign classified information marked with U.S. equivalent classification marking (see paragraph 11e)?

6. Are rolled and/or folded documents marked as required (see paragraph 11c(2))?

7. Are downgrading/declassification notations properly assigned and completed (see paragraph 11b(7) and appendix II)?

M. Transmissions.

1. Is classified information properly prepared and transmitted outside and within the facility (see paragraph 17)?

2. Is the FCL and safeguarding capability determined prior to dispatch of classified information to other contractors (see paragraphs 58 and 59)?

3. Are messengers that handle classified material properly cleared (see paragraph 17c(3))?

4. If vehicles are used for the delivery of classified material, is the material kept under the constant surveillance of an appropriately cleared employee (see paragraph 17h)?

5. Are procedures established and implemented for the proper receipt of classified material by the facility (see paragraph 12e)?

6. Is written authorization for the transmittal of TOP SECRET information obtained from the contracting officer (see paragraph 17b)?

7. Is export of U.S. classified material approved and accomplished on a government-to-government basis (see paragraph 17e)?

8. Is the transmittal of classified information outside the U.S., Puerto Rico, or a U.S. possession or trust territory properly accomplished (see paragraph 17e)?

9. Are classified shipments made only in accordance with the ISM or instructions from the contracting officer (see paragraph 17c(5))?

10. Is consignee given advance notice of classified shipment (see paragraphs 17d(3)(d) and 17c(5)(d))?

11. Is the CSO notified of overdue classified shipments (see paragraphs 17d(3)(d) and 17c(5)(d))?

12. Are classified shipments properly inspected on receipt (see paragraph 17g)?

13. Is classified information, which is hand-carried in connection with visits, properly approved in advance, accounted for, and stored (see paragraph 17i)?

14. Are procedures established to preclude transmission of classified information via unapproved communication circuits (see paragraph 17c(4))?

15. Is a suspense system maintained of receipts for classified transmittals, and is adequate follow-up action taken, if receipts are not returned (see paragraph 12g(3))?

16. Are procedures established for the hand-carrying of classified material, for example, by commercial aircraft, (see paragraph 17h and appendix X)?

N. Classified Material Controls.

1. Have control stations been established? Indicate the number of master stations and substations (see paragraph 12a).

2. Are complete records kept for classified material received and dispatched outside of the facility (see paragraphs 12a and c)?

3. Is accountability maintained for all TOP SECRET, SECRET, and CRYPTO materials, including documents, hardware, and mock-ups, to permit their prompt location (see paragraphs 12a and 12f(3))?

4. Are accountability and receipt and dispatch records retained for the required time (see paragraphs 12a, 12c, and 19e)?

5. Are procedures established for accountability of TOP SECRET and SECRET working material that is not promptly destroyed as classified waste (see paragraph 12f)?

6. Are control station personnel cleared to the appropriate level and knowledgeable of their responsibilities (see paragraph 5f and 12d)?

7. Are procedures established to ensure prompt reporting to the FSO and investigation of each loss, compromise, or suspected compromise of classified material and other security violations. (Indicate number of occurrences since last inspection; see paragraph 7.)

8. Is annual inventory and accounting made of TOP SECRET material? (Indicate date of last inventory; see paragraphs 12b and 13g).

9. Are TOP SECRET documents controlled by access records, continuous receipt system, number series, and copy numbers (see paragraph 13)?

10. Is access to classified material controlled on a need-to-know basis (see paragraph 3bg and 5c)?

11. Are adequate procedures implemented to fully ensure the safeguarding of classified material during its use (see paragraphs 5c, 5d, and 16)?

O. Controlled Areas.

1. Are closed areas properly constructed (see paragraph 34a)?

2. Are areas properly posted and approved by the CSO (see paragraphs 34a(4), 34b(3), and 34c)?

3. Are area entrances properly controlled, and is admittance granted on a need-to-know basis (see paragraph 34)?

4. Are employees assigned to areas instructed to challenge unknown persons in areas (see paragraph 34a(5))?

5. Is movement of classified material to and from areas properly supervised (see paragraph 34a(2))?

6. Are employee badges, cards, or access lists properly controlled and kept current (see paragraphs 8a(5) and 34)?

7. Are visitors to areas properly controlled (see paragraphs 8b, 32, and 34a)?

8. Are supplanting electromechanical access control devices properly regulated (see paragraph 36a)?

9. Are guard patrols or supplanting alarm systems adequate for closed areas during nonworking hours (see K-7 above and paragraphs 33b, 34a(3), 35, and 36)?

10. Do subcontractors and their employees who operate and maintain alarm systems have required personnel clearances? (List such subcontractors; see paragraph 35a(1)(b).)

11. Are alarm dispatch records properly executed and maintained (see paragraph 35a(1)(c)5)?

12. Is the response time to an activated alarm 15 minutes or less (see paragraph 35a(1)(c)4 and 35a(2))?

13. Does material, equipment, and installation meet federal and/or Underwriter Lab's specifications (see paragraph 35b(1))?

14. If key-operated padlocks are used, have adequate procedures been established for control of keys and locks (see paragraph 34a(3))?



P. Disposition.

1. Is a program established for the reduction of classified holdings (see paragraph 19a)?
2. Is classified material (including waste) destroyed as soon as practical (see paragraph 19a and 19c)?
3. Is classified material properly destroyed (that is, does destruction process preclude reconstruction; see paragraphs 19c and 19f)?
4. Is burning the only approved method of destruction used by the facility? (List methods of destruction, other than burning, which have been approved by CSO; see paragraph 19c).
5. Are destruction records and certificates maintained as required (see paragraph 19e)?
6. Is destruction authority obtained when required (see paragraph 19b)?
7. Is destruction performed and witnessed by appropriately cleared personnel who are knowledgeable of their responsibilities (see paragraph 19d)?
8. Is destruction equipment leased or rented (see paragraph 19c)?
9. If the answer to 8 is "yes," who operates the equipment, and how is control of the material maintained (see paragraph 19c)?
10. Are procedures in effect to prevent access by uncleared employees who operate equipment (see paragraph 19c)?
11. Is retention authority requested on final delivery of goods or services or on complete termination of contract? (Explain how procedures are verified and how facility accomplishes this; see paragraph 5m.)

Q. Reproduction.

1. Is reproduction held to the minimum required? Are reproduction facilities properly designated, identified, and controlled (see paragraph 18)?
2. Are procedures in effect to restrict use of office reproduction equipment for classified productions? (If so, explain; see paragraph 18.)
3. Has the facility developed a procedure for the use of office copy machines in the reproduction of classified material (see paragraph 18)?
4. Are personnel thoroughly familiar with and following established procedures when using office copy machines for reproduction of classified material (see paragraphs 5f and 18)?
5. Is reproduction authorization obtained when required (see paragraph 18a)?

6. Are reproduction records properly maintained (see paragraph 18c)?
7. Are production control records properly maintained (see paragraph 78)?
8. Are copies or extracts of classified material marked the same as originals (see paragraphs 18 and 18d)?
9. Do reproduction area controls prevent unauthorized access (see paragraph 79)?
10. Are overruns held to a minimum and properly accounted for (see paragraph 80a)?
11. Are proofs and samples returned to the customer with finished products (see paragraphs 80b and 80d)?
12. Are classified waste containers identified and emptied at completion of working hours (see paragraph 80c)?
13. Are plates and rubber blankets reused only on classified production and safeguarded when not in use (see paragraph 80f)?
14. Are press rollers, and similar devices, properly cleaned after classified run (see paragraph 80f)?
15. Are mailing lists properly protected (see paragraph 82)?

R. Classified Meetings.

1. Are meetings sponsored when required? Indicate the number of meetings since last inspection (see paragraphs 5q(2), 5q(3), and 9).
2. Is attendance of foreign nationals or RFI's approved by sponsoring activity (see paragraph 9b)?
3. Are classified meetings held at approved locations (see paragraph 9c)?
4. Has the contractor developed complete security procedures for the safeguarding of classified material at the meeting (see paragraph 9d)?
5. Have the security procedures been submitted to the sponsoring activity for approval (see paragraph 9d)?
6. Is attendance limited to persons properly cleared and having a need-to-know (see paragraph 9d(1)(a))?
7. Is disclosure authority obtained from the contracting officer when required, and is disclosure authority furnished to sponsoring activity (see paragraph 9e)?
8. Is a copy of the classified presentation furnished to sponsoring and contracting activity (see paragraph 9e)?

9. Are unsponsored contractor-conducted meetings properly controlled (see paragraph 5q(1))?

10. Are requests to attend meetings properly certified and submitted to contracting officer UA activity for certification of the employee's need-to-know (see paragraph 9f)?

S. Consultants.

1. Are Type A Consultants properly briefed and certificates furnished to CSO? Are all necessary reports including adverse information reports, made as necessary, and on a timely basis (see paragraph 68)?

2. Are Type C Consultants properly briefed, and are controls stated in letter agreements observed (see paragraph 70)?

T. ADP.

1. Does the facility process classified information on an ADP system? (If so, what level?)

2. Has an ADP system security supervisor been appointed? (If so, identify by name; see paragraph 103c.)

3. Has written approval been given by the CSO to operate the system? (If "yes," list date of approval; see paragraph 103a.)

4. Have ADP hardware configurations, system software, or operating procedures/mode changed or been modified since the last inspection? (If "yes," give detailed explanation; see paragraphs 103a and 106a.)

5. Is the ADP SPP current? (If "yes," give date of issue; see paragraph 112c.)

6. Have the following provisions of section XIII, ISM, been satisfactorily implemented in the operation of the ADP system?

a. Personnel controls (see paragraph 105)?

b. Physical controls (see paragraph 106)?

c. Clearance/declassification/destruction of all storage media (see paragraphs 114, 115, and 116)?

d. Transmission line protection (see paragraph 109)?

e. Subcontracting provisions (see paragraph 110)?

f. Audit trails, logs, and activity and maintenance records (see paragraph 111)?

U. COMSEC/CRYPTO.

1. Has a COMSEC custodian been appointed? (If so, list name and telephone number; see paragraph 10a(1), CSISM.)

2. Has an alternate COMSEC custodian been appointed? (If so, list name and telephone number; see paragraph 10a(1), CSISM.)

3. If appointed, are the COMSEC custodian and the alternate thoroughly familiar with and performing the duties outlined for them in the CSISM (see paragraph 12a, CSISM)?

4. Has a COMSEC account number been assigned? (If so, list the account number.)

5. What is the highest level of COMSEC access required? (Check one:  
TS S C)

6. Is COMSEC access required at the facility? (Briefly describe the type of access, for example, install, maintain, or operate COMSEC or CRYPTO equipments for the U.S. Government; operate communications link with the U.S. Government; have access to the operational keying variables; and manufacture or installation of keying material for COMSEC equipments.)

7. Does the facility have access to classified COMSEC information at another location (see paragraph 16, CSISM)? \*

8. List the number of employees who are briefed for access to COMSEC information (see paragraphs 16a and 16c, CSISM). \*

9. Have employees authorized access to classified COMSEC information been properly briefed by U.S. Government representatives and/or contractor personnel (see paragraph 16, CSISM)? \*

10. Does the facility have copies of the CSISM, UA accounting instruction, and equipment operation manuals (see paragraph 2, CSISM)?

11. Does the facility SPP contain adequate procedures relative to COMSEC requirements (see paragraph 3, CSISM)?

12. Are all COMSEC related reports submitted (see paragraph 24, CSISM)?

13. Has a COMSEC emergency plan been developed, which has the approval of the CSO (see paragraph 23, CSISM)?

14. Has adequate classification guidance been furnished regarding COMSEC information via a DD Form 254 (see paragraph 1e, CSISM)?

15. Have all disclosures of COMSEC information, whether to a subcontractor or other persons, been made only with the specific written approval of the contracting officer (see paragraph 5, CSISM)?

16. Is all COMSEC information in the custody of the facility properly marked and accounted for (see paragraph 2, ISM, and paragraph 17, CSISM)?

17. Are COMSEC and keying materials marked CRYPTO properly stored? \*  
(Describe the type of storage facilities used whether GSA container, vault, \*  
or other; see paragraph 18, CSISM.) \*

18. Are COMSEC and keying materials marked CRYPTO properly handled in \*  
the work processing area(s)? (If areas are utilized, briefly describe the \*  
characteristics of the area(s); see paragraph 19, CSISM.)

19. Are access lists properly posted (see paragraph 19, CSISM)?

20. Are adequate supplemental controls utilized, if necessary? \*  
(Describe them; see paragraphs 18 and 20, CSISM.) \*

21. Is COMSEC and CRYPTO material properly disposed of? (Describe what  
methods of destruction and disposition are used; see paragraph 19, ISM, and  
22, CSISM.)

22. Does the facility operate a communications center for the U.S.  
Government? Does it secure a communications circuit with the U.S. Government,  
or between itself and another contractor (see paragraph 1, CSISM)?

23. Are COMSEC and keying materials marked "CRYPTO" properly trans- \*  
mitted outside the facility (see paragraph 21, CSISM)? \*

V. International Operations.

1. Does the contractor have any cleared personnel assigned overseas?  
If so, are they doing any of the following?

a. Are they performing on a UA contract involving access to classi-  
fied information overseas? (If "yes," include the number of personnel, the  
location of their work, and a list of contract number(s).)

b. Are they performing on a FMS contract involving access to U.S.  
classified information? (If "yes," indicate whether the access is provided  
directly to contractor personnel overseas by a U.S. Government activity, or if  
it is provided directly to contractor personnel by the foreign government for  
whom the FMS contract was awarded.)

c. Are they performing on a purely commercial contract awarded directly  
by the foreign government or one of its contractors, and access to either  
foreign classified or U.S. classified information is involved? (If "yes" and  
access is to U.S. classified information, determine how the U.S. classified  
information was released to the foreign government, such as, released directly  
by result of an export license, released by a third country with U.S. Govern-  
ment approval, and the like.)

d. Are they engaged exclusively in sales and marketing activities?  
(If "yes," identify what programs involve access to U.S. classified information

and what the authority is for discussing such classified sales and marketing  
efforts with foreign nationals, such as U.S. Government approval, export  
licenses, and trade agreements.)

2. Has the contractor developed an SPP sufficient to cover its overseas  
operations when engaged in: (a) sales and marketing efforts involving U.S.  
classified information, and/or (b) performance on a UA awarded classified  
contract, including those contracts awarded under FMS? Does the SPP state the  
prohibition against contractors transporting classified material across  
international borders (see paragraph 5s)?

3. How many cleared employees are assigned overseas, and have they re-  
ceived the required security briefing prior to overseas assignment? Are there  
provisions for ensuring that employees receive an annual refresher briefing?  
(Explain the procedures established for ensuring that an annual refresher  
briefing is given; see paragraph 97.)

4. Has the contractor established a program for self-inspection of its  
overseas locations when the overseas location is engaged in work requiring  
access to either U.S. classified information or foreign classified information  
released to the contractor through U.S. Government channels? (Explain fully  
in the narrative the procedures established; see paragraph 97.)

SAMPLE

FOR OFFICIAL USE ONLY (When filled in)

INDUSTRIAL SECURITY INSPECTION REPORT					DATE PREPARED (Year, Month, Day)	FORM APPROVED OMB NO. 0704-0014 EXP. DATE: OCT 1986
1. NAME OF FACILITY		2. NAME OF HOME OFFICE (Multiple Facility Organization)		3. NAME OF PARENT HOLDING COMPANY (Parent-Subsidiary Organization)		
ADDRESS OF FACILITY (Street, City, State, Zip Code)		ADDRESS OF HOME OFFICE (Street, City, State, Zip Code)		ADDRESS OF PARENT HOLDING COMPANY (Street, City, State, Zip Code)		
4. NAME OF FACILITY SECURITY SUPERVISOR (Last, First, MI)		4a. TEL. NO. (Include area code)	5. FACILITY CLEARANCE LEVEL	5a. CLEARANCE DATE (Yr, Mo., Day)		
5b. CATEGORY OF FACILITY	6. DATES OF INSPECTION (Yr., Mo., Day)	a. PREVIOUS	b. CURRENT	c. NEXT	7. TYPE OF BUSINESS	
9. TIME EXPENDED (In Hours)				9. ACCESS TO CLASSIFIED MATERIAL SINCE LAST INSPECTION		LEVEL (T, S, or C)
TRAVEL	RESEARCH AND PREPARATION	INSPECTION	POST INSPECTION (Report, letter, etc.)	YES	NO	DATE (Year Month, Day)
				POSSESSING		
				ACCESS ELSEWHERE		
				GRAPHIC ARTS		
10. TOTAL NUMBER OF EMPLOYEES	11. NUMBER OF U. S. EMPLOYEES CLEARED		NO ACCESS (Dormant)			
	a. TOP SECRET	b. SECRET	c. CONFIDENTIAL	NO ACCESS (Home Office)		
			GOV'T	COMPANY	NO ACCESS (Parent)	
12. NUMBER OF ALIENS	13. NUMBER OF IMMIGRANT ALIENS CLEARED		14. SPECIFY NUMBER AND COUNTRY REPRESENTED BY EMPLOYEES GRANTED RECIPROCAL CLEARANCES.			
	SECRET	CONFIDENTIAL				
15. SCOPE OF INSPECTION		15a. INSPECTION RATING ASSIGNED		15b. RESULTS OF INSPECTION		
<input type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL		<input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY		<input type="checkbox"/> NO DEF <input type="checkbox"/> COS <input type="checkbox"/> LOR <input type="checkbox"/> MAJOR		
16. ELEMENTS OF INSPECTION AND RATINGS ASSIGNED (S - Satisfactory, U - Unsatisfactory, NA - Not Applicable)				17. SAFEGUARDING ABILITY (Top Secret, Secret, Confidential or None)		
ALPHA CODE	AREAS INSPECTED	RATINGS	PREVIOUS RATING	a. FOR DOCUMENTS	b. FOR HARDWARE	
A	FACILITY CLEARANCE			18. APPROVED STORAGE FACILITIES	NUMBER	
B	ACCESS AUTHORIZATIONS					
C	SECURITY EDUCATION			a. FSS CABINETS		
D	STANDARD PRACTICE PROCEDURES			b. VAULTS		
E	SUBCONTRACTING			(1) CLASS A		
F	VISIT CONTROL			(2) CLASS B		
G	CLASSIFICATION			(3) CLASS C		
H	EMPLOYEE IDENTIFICATION			c. OTHER VAULTS		
I	FOREIGN TRAVEL			d. STRONGROOMS		
J	PUBLIC RELEASES			e. CABINET WITH BUILT-IN COMBINATION LOCK		
K	CLASSIFIED STORAGE			f. CABINET WITH BAR AND PADLOCK		
L	MARKINGS			g. DESK PEDESTAL INSERT		
M	TRANSMISSION			h. RESTRICTED AREAS		
N	CLASSIFIED MATERIAL CONTROLS			i. CLOSED AREAS		
O	CONTROLLED AREAS			19. OTHER DOD PROGRAMS		
P	DISPOSITION			<input type="checkbox"/> AA&E <input type="checkbox"/> DI&PP <input type="checkbox"/> OTHER (List)		
Q	REPRODUCTION					
R	CLASSIFIED MEETINGS					
S	CONSULTANTS					
T	ADP					
U	COMSEC/CRYPTO					
V	INTERNATIONAL OPERATIONS					

SAMPLE

20. REMARKS (Include deficiencies noted during inspection. Show specific deficiency, applicable ISM requirement and action taken, if any, to correct deficiencies before termination of inspection. Also indicate corrective action taken on previous deficiencies. In addition, a statement giving an evaluation of the contractor's security posture in relation to facilities of similar nature and size. Outstanding features should be noted, i.e. training program, document control etc. If none, so state. Include names and titles of key personnel interviewed during inspection. Indicate specific locations (covered by a single facility clearance) that were inspected. Continue on a separate sheet of paper when necessary.)		
21. NAME(S) OF SECURITY SPECIALIST(S) (TYPED OR PRINT) (Last, First, MI)	SIGNATURE(S) OF SECURITY SPECIALIST(S)	TEAM INSPECTION <input type="checkbox"/> YES <input type="checkbox"/> NO
22. NAME OF REVIEWING OFFICIAL (TYPED OR PRINT) (Last, First, MI)	SIGNATURE OF REVIEWING OFFICIAL	DATE OF REVIEW (Yr. Mo., Day)

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APPENDIX XIV  
Equivalent Foreign and International Pact Organization Security Classifications

Country	TOP SECRET	SECRET	CONFIDENTIAL	Non-U.S. Protective Classification Markings
Argentina	ESTRICTAMENTE SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Australia	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Austria	STRENG GEHEIM	GEHEIM	VERSCHLUSS	
Belgium (French)	TRES SECRET	SECRET	CONFIDENTIEL	DIFFUSION RESTREINTS
(Flemish)	ZEER GEHEIM	GEHEIM	VERTROUWELIJK	BEPERKTE VERSPREIDING
Bolivia	SUPERSECRETO or MUY SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Brazil	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Cambodia	TRES SECRET	SECRET	SECRET/CONFIDENTIEL	
Canada	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Chile	SECRETO	SECRETO	RESERVADO	RESERVADO
Columbia	ULTRASECRETO	SECRETO	RESERVADO	CONFIDENCIAL RESTRINGIDO
Costa Rica	ALTO SECRETO	SECRETO	CONFIDENCIAL	
Denmark	HØJST HIMMILIGT	HIMMILIGT	FORTROLIGT	TIL TJENESTEBRUG
Ecuador	SECRETISIMO	SECRETO	CONFIDENCIAL	RESERVADO

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Country	TOP SECRET	SECRET	CONFIDENTIAL	Non-U.S. Protective Classification markings
El Salvador	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Ethiopia	YEMIAZ BIRTOU MISTIR	MISTIR	KILKIL	
Finland	ERITTAIN SALAINEN	SALAINEN		
France	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
Germany	STRENG GEHEIM	GEHEIM	VS-VERTRAULICH	
Greece	AKPGE APOPHTON	APOPHTON	EMHILTEYTIKON	ΠΕΡΙΟΡΙΣΜΕΝΗ ΧΡΗΣΗ
Guatemala	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Haiti		SECRET	CONFIDENTIAL	
Honduras	SUPER SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Hong Kong	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Hungary	SZIGORJAN TITKOS	TITKOS	BIZALMAS	
India	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Indonesia	SANGAT RAHASIA	RAHASIA	TERBATAS	
Iran	BKOLI SERRI بکلی سری	SERRI سری	KHEILI MAHRAMANEH خیلی محرمانه	MAHRAMANEH محرمانه
Iraq	سری بالغة (Absolutely secret)	سری (Secret)	مکتوم	محدود (Limited)
Iceland	ALGJORTI	TRUNADARMAL		

Country	TOP SECRET	SECRET	CONFIDENTIAL	Non-U.S. Protective Classification Markings
Ireland Gaelic	TOP SECRET AN-SICREIDEACH	SECRET SICREIDEACH	CONFIDENTIAL RUNDA	RESTRICTED SRIANTA
Israel	SODI BEYOTER סודי בייטור	SODI סודי	SHAMUR שמור	MUGBAL מגבל
Italy	SEGRETISSIMO	SEGRETO	RISERVATISSIMO	RISERVATO
Japan	KIMITSU 機密	GOKUHI 極密	HI 秘	TORIATSUKAICHUI 取極注意 BUGAIHI 部外秘
JORDAN	مكتوم جدا MAKTUM JIDDAN	مكتوم MAKTUM	مكتوم SIRRI	مكتوم MAHDUD
Korea	I급 비밀 I KUP PI MIL	II급 비밀 II KUP PI MIL	III급 비밀 III KUP PI MIL	
Laos	TRES SECRET	SECRET	SECRET/CONFIDENTIEL	DIFFUSION RESTREINTE
Lebanon	TRES SECRET	SECRET	CONFIDENTIEL	
Mexico	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESTRINGIDO
Netherlands	ZEER GEHEIM	GEHEIM	CONFIDENTIEEL or VERTROUWELIJK	DIENSTGEHEIM
New Zealand	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Nicaragua	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Norway	STRENGT HEMMELIG	HEMMELIG	KONFIDENEIELT	BEGRENSET
Pakistan	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Paraguay	SECRETO	SECRETO	CONFIDENCIAL	RESERVADO

Country	TOP SECRET	SECRET	CONFIDENTIAL	Non-U.S. Protective Classification Markings
Peru	ESTRICTAMENTE SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Philippines	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Portugal	MUITO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Spain	MAXIMO SECRETO	SECRETO	CONFIDENCIAL	DIFFUSION LIMITADA
Sweden (Red Borders)	<b>HEMLIG</b>	<b>HEMLIG</b>		
Switzerland	(Three languages. TOP SECRET has a registration number to distinguish from SECRET and CONFIDENTIAL.)			
French	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
German	STRENG GEHEIM	GEHEIM	VERTRAULICH	
Italian	SEGRETISSIMO	SECRETO	RISERVATISSIMO	RISERVATO
Taiwan	絕對機密	極機密	機密	密
Thailand	LUP TISUD อับหุค	LUP MAAG อับนาก	LUP อับ	POK PID ปอกพิค
Turkey	ÇOK GIZLİ	gizli	ÜZEL	HIZMETE ÜZEL
Union of South Africa				
English	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Afrikaans	UITERS GEHEIM	GEHEIM	VERTROULIK	BEPERK
United Arab Republic (Egypt)	سري بالغة TOP SECRET	سري جدا VERY SECRET	سري SECRET	مصور OFFICIAL



Country	TOP SECRET	SECRET	CONFIDENTIAL	Non-U.S. Protective Classification Markings
United Kingdom	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Uruguay	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
USSR	СОБЕРШЕННО СЕКРЕТНО	СЕКРЕТНО	НЕ ПОДЛЕЖАЩИЙ ОГЛАШЕНИЮ	ДЛЯ СЛУЖЕБНОГО ПОЛЬЗОВАНИЯ
Viet Nam French	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
Vietnamese	TÔI-MẬT	MẬT	KIN	TU MẬT
INTERNATIONAL ORGANIZATION	TOP SECRET	SECRET	CONFIDENTIAL	
NATO	COSMIC TOP SECRET	NATO SECRET	NATO CONFIDENTIAL	NATO RESTRICTED

NOTES:

In all instances foreign security classification systems are not exactly parallel to the U.S. system and exact equivalent classifications cannot be stated. The classifications given above represent the nearest comparable designations that are used to signify degrees of protection and control similar to those prescribed for the equivalent U.S. classifications.

"ATOMAL" information is an exclusive designation used by NATO to identify "Restricted Data" or "Formerly Restricted Data" information released by the U.S. Government to NATO.

There is no Swedish security classification equivalent to US CONFIDENTIAL. Accordingly, all Swedish information or material received by the U.S. Government and classified HEMLIG will be safeguarded as U.S. SECRET; U.S. information or material received by the Swedish Government and CLASSIFIED CONFIDENTIAL will be safeguarded as HEMLIG.

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