

DEPARTMENT OF THE ARMY
Corps of Engineers, Omaha District
215 North 17th Street
Omaha, Nebraska 68102-4978

DM 380-1-3

CEMRO-SE

Memorandum
No. 380-1-3

15 March 1989

Security
SOP FOR SAFEGUARDING CLASSIFIED INFORMATION

1. Purpose. This memorandum implements Department of the Army publications prescribing the safeguarding of classified information.
2. Applicability. It is applicable to all offices and installations of the Omaha District.
3. References.
 - a. AR 380-5 and USACE Supplement thereto.
 - b. AR 381-12.
4. General. The protection of classified information is the responsibility of each individual who possesses or has knowledge of such information. Security regulations do not guarantee protection and cannot be written to cover all conceivable situations; therefore, basic security principles, common sense, and logical interpretation of the existing regulations must be applied.

FOR THE COMMANDER:


CHARLES W. JONES
LTC, Corps of Engineers
Deputy Commander

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This memorandum supersedes DM 380-1-3, dated 1 February 1987.

APPENDIX A
PERSONNEL SECURITY

Responsibilities.

1. No person is entitled to knowledge of, possession of, or access to classified defense information solely by virtue of his/her office, position, grade, or security clearance. Such information may be entrusted only to those individuals whose official governmental duties require such knowledge in order to perform their duties.
2. It is the responsibility of supervisors to ensure that all employees under their supervision who require access to classified defense information possess the proper level of security clearance. Upon determination of need for security clearance, a request, furnishing justification and specifying the highest degree of clearance required, will be made to the Security and Law Enforcement Office. The request will be supported by the supervisor's recommendation as to character and integrity. Access to classified material will not be allowed until clearance notification is received from the Security and Law Enforcement Office.
3. A security clearance list will be published periodically by the Security and Law Enforcement Office. Whenever additional employees are cleared, the element will update their clearance list by adding the employee's name and clearance.
4. Anyone discovering derogatory information pertaining to an employee with a security clearance is required to report that information to the Security Manager. Derogatory information is defined as any facts, circumstances, or conduct that furnishes reasons to believe that the person concerned may be subject to coercion, influence, or pressure that could cause him/her to act contrary to the national security. Examples would be criminal/dishonest behavior, excessive indebtedness, excessive use of intoxicating beverages, use of any illegal drugs, or disregard for security regulations/procedures.
5. Various personnel of the District have been formally designated to administer certain aspects of the security program and includes security monitors, custodians, reproduction authorities, witnessing officials, and personnel required to make after-hours security checks. The Security and Law Enforcement Officer is designated Security Manager, Top Secret, and Visitor Control Officer.
6. Any branch having responsibility for a Special Access Program will maintain their own Security SOP detailing the specific requirements of this project. The SOP will be reviewed and approved by the Omaha District Security Officer.

APPENDIX B
SAFEGUARDING DEFENSE INFORMATION

1. Security Indoctrination.

a. Nonsensitive Positions. Even though employees in these positions are not given access to classified information, regulations require they be indoctrinated in the basic safeguards and principles of security. They must know what action to take should they come in contact with classified information or discover an unlocked and unattended container. This orientation will be accomplished by the supervisor and recorded on Employee Record Card, Form SF 7-B, as follows: "Indoctrination under paragraph 1a, DM 380-1-3, completed _____ DATE _____."

b. Sensitive Positions. Prior to assumption of duties, all personnel hired for or reassigned to sensitive positions will be indoctrinated concerning the safeguarding of classified information. Indoctrination will be comprehensive and will include material particularly applicable to the job assignment. As a part of this indoctrination, personnel will be required to read applicable paragraphs in AR 380-5, AR 381-12, and this memorandum. Annually thereafter, supervisors will ensure that all cleared personnel under their supervision review these regulations. Acknowledgment of the annual familiarization of applicable security regulations will be noted on the front side of ENG Form 3544 (Personal Security Statement) and be initialed by the incumbent. ENG Form 3544 will be retained on file in the element during the individual's tenure of duty, after which it may be destroyed.

c. Security Regulations. AR 380-5, USACE Supplement thereto, AR 381-12, and this memorandum will be maintained in all elements of the District for ready availability,

2. Debriefing.

a. Access to Classified Material. Military and civilian employees who retire or are terminated from assignments to sensitive projects are prohibited from divulging classified defense information to unauthorized persons. They will be orally debriefed by their supervisor and execute a "Security Termination Statement and Debriefing Certificate," DA Form 2962. Supervisors will maintain the statement for 1 year and then destroy it.

b. Subversion and Espionage (SAEDA). In addition to the above, the provisions of AR 381-12 will be emphasized during the final debriefing.

3. Authority to Classify.

a. The Chief of Engineers is the only individual who may assign the original classification to Top Secret, Secret, or Confidential for the Omaha District. This authority may not be redelegated.

b. Only the District Commander; Chiefs of Emergency Management; Special Projects Branch, Engineering Division; and Security Manager have derivative authority. This authority allows them to classify Top Secret, Secret, and Confidential material created as a result of, in connection with, or in response to other material dealing with the same subject, which already bears a like classification.

4. Marking Documents. All documents, photographs, slides, computer printouts, and charts containing classified information will be marked as to their degree of classification. AR 380-5, Paragraph 4-104, gives specific details as to how each type of document shall be marked.

5. Reproduction. Making extra copies of classified documents without proper authority is prohibited. Reproduction authorities will ensure that only the minimum number of copies are prepared. Persons authorized to approve reproduction of classified documents are limited to the District Commander, Security Manager, and the Chiefs of Emergency Management and Special Projects Branch, Engineering Division.

a. TOP SECRET documents may be reproduced only with approval of the originating agency.

b. SECRET documents, which originate outside the Department of Defense, may be reproduced only with the approval of the originating agency.

c. SECRET documents, which originate within the Department of Defense, may be reproduced unless they contain instructions prohibiting reproduction.

d. CONFIDENTIAL documents may be reproduced unless they contain instructions prohibiting reproduction.

e. Use of "Quick Copy" reproduction machines will be strictly controlled to preclude classified reproductions accomplished primarily for convenience rather than essential purposes. Reproduction machines in Emergency Management and Special Projects Branch, Engineering Division, are the only machines authorized for the reproduction of classified information. In the event of an unusual problem, or if a field office requires the reproduction of a classified document, the Security Manager may be contacted for special arrangements and the use of a machine that will meet security requirements for the particular situation.

6. Preparation, Protection, and Disposal of Classified Waste. The initiator of a classified document will ensure that all preliminary material used during preparation is not unattended around or deposited in waste baskets. The person responsible for producing classified waste (preliminary drafts, working papers, notes, typewriter ribbons, stencils, and carbon paper) shall protect it in accordance with its classification. Classified waste will be destroyed in a shredder approved for destruction of classified information or incinerated at the burn site, Offutt Air Force Base, Nebraska.

7. Cover Sheets. The appropriate cover sheet (TOP SECRET, SECRET, CONFIDENTIAL) will be affixed to each classified document when removed from the safe.

8. Transmission of Classified Material,

a. Incoming.

(1) SECRET AND CONFIDENTIAL. All incoming SECRET and CONFIDENTIAL mail will be received by the Information Management Office, Information Handling Section, Mailroom. The mailroom will open the outer envelope and, upon determining the interior envelope is stamped with a security classification, hand-carry the interior envelope, unopened, to the Security Manager. The Security Manager will determine who may have access to the document. Classified documents once received within the District may be transmitted to other elements within the District Office without use of receipt. Control number and "Log-in" for documents is not required. A charge-out card system may be implemented.

(2) TOP SECRET Documents. TOP SECRET material will be received by the TOP SECRET Control Officer, who will prepare and attach DA Form 3964 (Classified Document Accountability Record). DA Form 969, TOP SECRET Document Record, will be attached to the first page or cover, showing identifying data and distribution. DA Form 969 will provide a summary of the names of all persons handling the document and date of access. It is the intent that the person's name and date be recorded on DA Form 969 only the first time that access is afforded. The forms will be destroyed 1 year after the related document is destroyed, transferred, or downgraded. The TOP SECRET Control Officer will keep a permanent register on DA Form 455 (Mail and Document Register) to reflect receipt, dispatch, downgrading, source, movement from one office to another, destruction, and current custodian of all TOP SECRET material. TOP SECRET material will arrive at one of two locations at Offutt Air Force Base, Nebraska: the Communications Center and the Defense Courier Service Station Office.

b. Outgoing.

(1) SECRET and CONFIDENTIAL. Classified documents will be dispatched from Omaha District Offices through the mailroom and from any field office by the appointed security monitor. The material will be prepared for external transmission as follows:

(2) All classified material will be enclosed in two envelopes. The inner envelope will be addressed, return addressed, sealed, and plainly marked with the proper security classification stamped on front and back. The outer envelope must be sufficiently opaque to prevent reading markings on the inner envelope, addressed, return addressed, and sealed. When SECRET material is being dispatched, a receipt, DA Form 3964, will be properly completed and enclosed with the inner envelope.

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(3) SECRET material will be transmitted by registered mail or by direct contact of the officials involved.

(4) CONFIDENTIAL material may be sent as stated in (b) or by first class mail when the destination is within the United States. Markings must be in compliance with AR 380-5, paragraph 8-103c.

(5) TOP SECRET material will be dispatched only through the TOP SECRET Control Officer and will be transmitted by Defense Courier Service, a specially designated officer or civilian courier, or by direct contact of officials concerned.

(6) Classified material will not be hand-carried aboard commercial passenger aircraft unless coordinated in advance with Security.

c. Interoffice. All classified material will be hand-carried to the individual responsible for accepting such material.

9. Receipts.

a. A DA Form 3964 is required for controlling TOP SECRET and North Atlantic Treaty Organization (NATO) documents. Receipts for SECRET and CONFIDENTIAL material are not required within the District.

b. Receipt forms are official files which must be maintained and disposed of in accordance with Modern Army Record Keeping System (MARKS), AR 25-400-2.

10. Storage of Classified Material.

a. Storage Equipment. Classified information may be stored only where there are facilities which maintain security type containers as approved by General Services Administration (GSA).

b. Possession of Classified Documents Outside Normal Working Hours or Away from Office. Classified material will not be taken home at night for any reason. Classified documents required on temporary duty trips will be forwarded by mail, in a manner appropriate for their classification.

c. Combinations. Combinations will be changed at least once every 12 months. If NATO classified material is stored, then combinations will be changed every 6 months. When a person having access to the combination no longer requires access to that combination (retirement, transfer, etc.), then the combination will immediately be changed. SF Form 700 (Security Container Information) will be used for recording combinations.

d. Checking Procedures. SF 702 (Security Container Checklist) must be completed daily and will be destroyed on the duty day following the last entry, except when required for investigations.

- e. Open Containers - Notification and Reporting. See AR 380-5, Paragraph 5-202.
 - f. Classification of Container Combinations. See AR 380-5, Paragraph 5-104.
 - g. Open/Closed Signs. When open, each classified container will have displayed in the front, on the top drawer, a red sign on which will be indicated the word "OPEN." The sign will indicate "LOCKED" when the container is closed and locked.
 - h. Location of Classified Containers. Classified containers will be located in a physically secure area under surveillance of the custodian, or Alternate Custodian, and will be locked whenever unattended.
 - i. Disposal of Surplus Security Containers. Prior to disposal, the Security Manager will be notified in order that combinations can be changed in accordance with AR 380-5.
11. Inventories of Classified Matter.
- a. TOP SECRET. See AR 380-5, Paragraph 7-300.
 - b. SECRET/CONFIDENTIAL. Annual inventory is not required.
 - c. Accountability Upon Change of Custodians. Upon change of duty assignment within any element of the District, temporary absence exceeding 30 days, transfer or separation, each custodian prior to departure will inform the new custodian concerning what classified material is on hand.
12. Destruction. Destruction of Classified material will be accomplished in the presence of a properly cleared witness.
13. Downgrading and Declassification. See AR 380-5, Chapter III.
14. Classified Meetings. The scheduling and arranging of conferences or meetings where classified information will be discussed will be coordinated with the Security Manager.