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SECRETARY OF THE AIR FORCE**



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**Security**

**INFORMATION SECURITY PROGRAM  
MANAGEMENT**

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This publication implements Air Force Policy Directive (AFPD) 31-4, Information Security. It prescribes and explains how to manage and protect unclassified controlled information and classified information. Use this instruction with Executive Order (EO) 12958, as amended, Classified National Security Information, 25 March 2003; Office of Management and Budget (OMB), Information Security Oversight Office (ISOO) Directive Number 1, Classified National Security Information, Executive Order 12829, National Industrial Security Program (NISP), DOD Manual 5220.22, National Industrial Security Program Operating Manual, January 1995; and, Department of Defense (DOD) 5200.1-R, Information Security Program, 14 Jan 97, for the management of the Air Force Information Security Program. Additional references include DOD Instruction (DODI) 5240.11, Damage Assessments, 23 Dec 91; DOD Directive (DODD) 5210.83, Unclassified Controlled Nuclear Information (UCNI), 15 Nov 91; Air Force Policy Directive (AFPD) 31-4, Information Security. This instruction is applicable to contractors as

prescribed in AFI 31-601, Industrial Security Program. All these references are listed at the end of each paragraph where applicable. This instruction is not to be used as a stand-alone document. HQ USAF/XOS-F is delegated approval authority for revisions to this AFI.

**(SCOTTAFB) Air Force Instruction (AFI) 31-401, 1 November 2005 is supplement as follows:** This supplement implements and extends the guidance of AFI 31-401, *Information Security Program Management* and provides a baseline requirement for managing the Information Security Program. Applies to all serviced Scott Air Force Base (AFB) host and tenant units. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Disposition Schedule (RDS) located at <https://www.my.af.mil/gcss-af61a/afirms/afirms/>. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate functional’s chain of command.

**SUMMARY OF CHANGES**

This interim change reflects new requirements for management of the Information Security Program at all echelons; transfers responsibility for Unclassified Controlled Nuclear Information; reflects the transfer of Information Security Program Manager (ISPM) duties and responsibilities from the Chief, Security Forces or installation security official to the Chief of Information Protection at MAJCOM and installation levels and codifies staff office changes from that action; updates locations possible for overnight delivery of Secret information in urgent cases; updates references and deletes terms not used in the text; updates glossary of references and supporting information (**Attachment 1**); updates transmission procedures for unclassified controlled nuclear information (**Attachment 2**); deletes use of United States Postal System registered mail or Express Mail to transfer Secret or Confidential material (**Attachment 4**). An asterisk (\*) indicates newly revised material.

**(SCOTTAFB)** This interim change updates the office of primary responsibility (OPR) and the following references: 375 SFS/S5 to 375 AMW/IP; 375 SFS/S5I to 375 AMW/IPI; 375 SFS/CC to 375 AMW/IP; 375th Security Forces Squadron (375 SFS/CC) to Chief, Information Protection (375 AMW/IP); the Plans and Programs Flight (375 SFS/S5) to the Wing Information Security Manager (375 AMW/IPI); 375 AW to 375 AMW; HQ AMC/A7 to AMC/IP; Chief, Admin and Reports Branch to Chief, Information Protection; 375 MSS to 375 FSS; updates contact numbers; other organizational titles and office symbols; and changes the approval authority signature block. Margin bar indicates newly revised material.

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## Chapter 1

### POLICY AND PROGRAM MANAGEMENT

**1.1. Policy .** It is Air Force policy to identify, classify, downgrade, declassify, mark, protect, and destroy its classified and unclassified information and material consistent with national policy. This general policy statement also applies to unclassified controlled information (**Attachment 2**) under the purview of relevant statutes, regulations and directives [Reference DOD 5200.1-R, C1.1.]

**1.2. Philosophy.** Protecting information is critical to mission accomplishment. The goal of the Information Security Program is to efficiently and effectively protect Air Force information by delegating authority to the lowest levels possible; encouraging and advocating use of risk management principles; focusing on identifying and protecting only that information that requires protection; integrating security procedures into our business processes so that they become transparent; and, ensuring everyone understands their security roles and responsibilities.

**1.3. Program Management.** The strength of the Air Force Information Security Program is in its infrastructure. The infrastructure is important because it facilitates effective communication of our security policies and procedures to those performing the Air Force mission. With the support of commanders at all levels, this is accomplished predominantly through our Information Security Program Manager (ISPM) and security manager system. Both play an integral role in ensuring unit personnel know and understand their role in protecting classified information against unauthorized disclosure [Reference DOD 5200.1-R, C1.2.]

1.3.1. Senior Security Official. The Administrative Assistant to the Secretary of the Air Force (SAF/ AA) is designated the Air Force Senior Security Official responsible for ensuring implementation of the Information Security Program.

1.3.2. Air Force Program Manager. The Director, Information Protection (SAF/AAP) is responsible for policy, resource advocacy, and oversight of this program.

1.3.3. Commanders of Major Commands (MAJCOM), Field Operating Agencies (FOAs), Direct Reporting Units (DRUs), and Installations. These commanders are responsible for:

1.3.3.1. Establishing information security programs.

1.3.3.2. Identifying requirements.

1.3.3.3. Executing their programs to comply with this policy.

1.3.4. The installation Chief of the Information Protection (IP) Office (IPO) or MAJCOM Director, Information Protection is designated the ISPM at each Air Force installation or site. Air Force Chiefs of Information Protection:

1.3.4. (**SCOTTAFB**) Information Security Program Managers (ISPM). The Chief, Information Protection (375 AMW/IP), is the ISPM for Scott AFB. The Installation Security Manager (375 AMW/IPI) manages the installation information security program on behalf of the 375 AMW/IP. **Note:** The term “commander” also includes “director.”

1.3.4.1. Implement the Information Security Program, for the Information, Personnel, and Industrial Security Programs on behalf of the installation commander. Assist in the

program/technology protection planning process as it relates to information, personnel and industrial security, to include direction on physical security requirements for the protection of assets during the various states, i.e., production, deployment, maintenance, test, or undergoing modifications.

1.3.4.2. Integrate on-base contractor operations into the installation's Information Security Program in accordance with (IAW) AFI 31-601.

1.3.4.2.1. Review pre-award and/or draft solicitations and contract documents associated with classified contract efforts; security classification guides and Department of Defense (DD) Form 254 to ensure appropriate security clauses and/or language is contained therein which address the protection of sensitive government information and resources.

1.3.4.2.2. Serve as technical OPR for the development and preparation of the Visitor Group Security Agreement (VGSA) or other security agreements as determined necessary by the installation commander.

1.3.4.2.3. Conduct security oversight of on-base designated "cleared facilities" as determined by the installation commander.

1.3.4.3. Provide oversight within their jurisdiction.

1.3.4.4. Provide and monitor training as required by **Chapter 8** of this AFI.

1.3.4.5. For organizations at the Wing level and below, conduct security manager meetings no less than semi-annually.

1.3.4.5. (**SCOTTAFB**) The security manager's meeting will be conducted by the 375 AMW/IP office. Meeting minutes will be published and distributed to the 375th Air Mobility Wing Commander (375 AMW/CC) and all security managers.

1.3.4.6. (**Added-SCOTTAFB**) Maintain a six-part folder for each unit participating in the installation program. The six-part folder will, as appropriate, contain the last two annual and semi-annual program reviews, designation letters, security manager training letters, follow-up/correction letters, designated secure area information, and safe location letters.

1.3.5. Unit Commanders or Equivalent, and Staff Agency Chiefs. NOTE: For the purpose of this instruction, staff agency chiefs are those individuals serving in 2-digit positions reporting to the commander or vice commander above the Wing level and 2 and 3 digit positions at Headquarters Air Force. These commanders or equivalents, and staff agency chiefs will:

1.3.5.1. Appoint a security manager to administer the unit's information security program. Alternate security managers may be appointed as necessary. Commanders or equivalents, and staff agency chiefs should consider Air Expeditionary Force rotation cycles, TDY, training requirements, and other assigned duties. Continuity should receive serious consideration in selection of security managers. Military security managers must have a favorable National Agency Check, local agency check, and credit check (NACLIC); civilians a National Agency Check with written inquiries and credit check (ANACI), investigation or higher and eligibility for JPAS access before appointment.

NOTE: Smaller organizations and staff agencies are encouraged to appoint primary and alternate security managers to serve multiple activities.

1.3.5.1. **(SCOTTAFB)** Unit commanders or staff agency chiefs will appoint, in writing, a primary and at least one alternate security manager to manage the Information/Personnel Security Programs. Recommend individuals appointed be in the grade of GS-07 or E-5 or above. Provide the original appointment memorandum to the Wing Information Protection Office (375 AMW/IPI) and a copy to the unit security manager to be maintained in the Security Manager's Handbook. Security Manager Point of Contact (POC) posters visual aids that will be posted conspicuously or distributed throughout the unit to ensure assigned personnel are aware of security manager appointments.

1.3.5.1.1. Contractors will not be appointed as primary or alternate security managers. However, they can be required to provide other security program support, under Air Force direction, such as, assisting the security manager, conducting end-of-day security checks, security training/briefings, etc.

1.3.5.2. Ensure security managers receive training required by **Chapter 8**.

1.3.5.2. **(SCOTTAFB)** All newly assigned security managers and alternates will notify the ISPM within 15 days of assignment and are required to attend initial security manager's training. Security managers and alternates must be trained within 90 days of appointment.

1.3.5.3. Notify the ISPM in writing when either primary or alternate security managers are changed.

#### 1.3.6. Security Managers:

1.3.6.1. Establish and manage the Information Security Program within their unit or staff agency.

1.3.6.2. Develop and update a unit security operating instruction.

1.3.6.2. **(SCOTTAFB)** Unit security managers will develop and update a unit security Operating Instruction (OI). Example found in **Attachment 14**. **Note:** Unit security managers must contact the base publishing office (375 CS/SCOKP) for guidance on creating, processing, and maintaining official publications. At a minimum and as applicable, the OI will include:

1.3.6.2.1. **(Added-SCOTTAFB)** Responsibilities.

1.3.6.2.1.1. **(Added-SCOTTAFB)** Joint Personnel Adjudication System (JPAS).

1.3.6.2.1.2. **(Added-SCOTTAFB)** Personnel Security Investigations (PSI).

1.3.6.2.1.3. **(Added-SCOTTAFB)** Security Investigation File (SIF) Establishment.

1.3.6.2.2. **(Added-SCOTTAFB)** Initial and Recurrent Training.

1.3.6.2.3. **(Added-SCOTTAFB)** Semi-Annual Security Self-Inspections.

- 1.3.6.2.4. **(Added-SCOTTAFB)** Access, Dissemination and Accountability of Classified.
  - 1.3.6.2.5. **(Added-SCOTTAFB)** Classification Challenges.
  - 1.3.6.2.6. **(Added-SCOTTAFB)** Proper Handling, Transfer and Transmission of Classified.
  - 1.3.6.2.7. **(Added-SCOTTAFB)** Reproducing Classified.
  - 1.3.6.2.8. **(Added-SCOTTAFB)** Derivative Classification Authority.
  - 1.3.6.2.9. **(Added-SCOTTAFB)** Marking Classified.
  - 1.3.6.2.10. **(Added-SCOTTAFB)** Maintenance of Security Containers.
  - 1.3.6.2.11. **(Added-SCOTTAFB)** Safekeeping and Storage of Classified.
  - 1.3.6.2.12. **(Added-SCOTTAFB)** End-of-Day Security Checks.
  - 1.3.6.2.13. **(Added-SCOTTAFB)** Disposal and Destruction of Classified.
  - 1.3.6.2.14. **(Added-SCOTTAFB)** Security Incidents and Violations.
  - 1.3.6.2.15. **(Added-SCOTTAFB)** Emergency Protection Plan.
  - 1.3.6.2.16. **(Added-SCOTTAFB)** Any additional unit specific item/program that requires protection.
- 1.3.6.3. Advise the unit commander or equivalents, and staff agency chief on security issues pertaining to the unit or staff agency.
- 1.3.6.4. Attend ISPM hosted security manager meetings.
- 1.3.6.4. **(SCOTTAFB)** The security manager's meeting will be held quarterly, at minimum. All security managers from units or staff agencies within the 375 AMW must attend at least two meetings per year. If the primary or alternate security manager cannot attend, a suitable substitute must attend. Staff agencies, as well as contractors and long-time visitors, are encouraged to attend.
- 1.3.6.5. Update and remind personnel of security policies and procedures.
- 1.3.6.6. Oversee the unit or staff agency information security self-inspection program.
- 1.3.6.7. Report security incidents immediately, but no later than by the end of the first duty day.
- 1.3.6.7. **(SCOTTAFB)** Report all actual or suspected security incidents to 375 AMW/IPI no later than the end of the first duty day to receive a case number.
- 1.3.6.8. Assist the unit commander or equivalent, staff agency chief and ISPM in monitoring security incident investigations. Normally security managers will not conduct security incident inquiries.
- 1.3.6.9. Participate in security education training as defined in **Chapter 8**.
- 1.3.6.9. **(SCOTTAFB)** Conduct and document security education and motivation training quarterly. Recommend computerized log indicating type and date of training

conducted and individuals trained. Example log found at [Attachment 26](#). Sign-in rosters or e-mail read receipts must be used as documented proof of training given.

1.3.6.10. Manage the JPAS within their organization.

1.3.6.10.1. In-process and out-process all unit personnel.

1.3.6.10.2. Monitor and act on system notifications.

1.3.6.10.3. **(Added-SCOTTAFB)** Process visit requests.

1.3.6.10.4. **(Added-SCOTTAFB)** Print personnel assigned rosters at least monthly via the Joint Clearance Access Verification System (JCAVS) of JPAS. Identify personnel who require a PSI and ensure measures are taken to submit the PSI within the allowed time frame.

1.3.6.10.5. **(Added-SCOTTAFB)** Establish and validate the organization's Personnel Security Management Network (PSM Net).

1.3.6.10.6. **(Added-SCOTTAFB)** Indoctrinate and debrief personnel with access to classified. Security managers must ensure assigned personnel receive security education and awareness training in accordance with the initial training briefing and annual training plan.

1.3.6.11. **(Added-SCOTTAFB)** Maintain a Security Manager's Handbook as required. See [Attachment 9](#) for handbook Table of Contents. Keep the handbook updated and free of obsolete and unrelated information. The handbook must contain the following items:

1.3.6.11.1. **(Added-SCOTTAFB)** Section 1. Appointment Letters/Memorandums. Maintain in this section commander's appointment memorandum(s) including (where applicable): Security Manager Appointment, Safe Custodian Appointment, Personnel Authorized to Reproduce Classified, etc. Also maintain corresponding Security Manager's and Safe Custodian's training certificates and memorandums; and a memorandum on classified safes and locations, if applicable. Keep the most current memorandums. See [Attachments 10 thru 13](#) for examples.

1.3.6.11.2. **(Added-SCOTTAFB)** Section 2. Internal Security OI. Review annually and update as needed. These OIs do not have to be changed annually, as long as the information is current. Maintain a copy of the unit/staff agency Information Security OIs and Open Storage Instructions, if applicable. See [Attachment 14](#) for example.

1.3.6.11.3. **(Added-SCOTTAFB)** Section 3. Semiannual Security Self-Inspection Reports. The commander must appoint, in writing, an individual other than the security manager to conduct semiannual security self-inspections. Keep the appointment memorandum, indicating the inspecting official, along with the last two semiannual security self-inspection reports. Maintain any security self-inspection checklists and replies/corrective action taken. Forward a copy of the final semi-annual self-inspection report to 375 AMW/IPI. See [Attachment 15](#) for more information.

1.3.6.11.4. **(Added-SCOTTAFB)** Section 4. Information Security Program Review Reports. Keep the last two program review reports from the ISPM and any replies/corrective action taken. See [Attachment 16](#) for more information.

1.3.6.11.5. **(Added-SCOTTAFB)** Section 5. Security Manager's Meeting Minutes. Maintain the last four security manager's meeting minutes. See [Attachment 17](#) for more information.

1.3.6.11.6. **(Added-SCOTTAFB)** Section 6. Information Memorandums. Keep information memorandums, instructions, and newsletters for at least 1 year. Review them periodically for obsolete material. See [Attachment 18](#) for more information.

1.3.6.11.7. **(Added-SCOTTAFB)** Section 7. JCAVS Rosters/Correspondence. Monthly JCAVS Personnel Rosters (both military and civilian) and/or Person Summary Sheets for each member must be printed via the JPAS. Maintain only the most current roster along with any additional correspondence relating to the JCAVS Rosters, suspense copies of AF Form 2583, *Request for Personnel Security Action*, for Personnel Security Investigations, special access programs, and interim clearances (as well as interim clearance memorandums). Keep suspense copies of the AF IMT 2583 until the clearance eligibility is final and the PSI case is closed, or until no longer required. Maintain AF Form 2587, *Security Termination Statement*, for 2 years. See [Attachment 19](#) for more information.

1.3.6.11.8. **(Added-SCOTTAFB)** Section 8. Miscellaneous Items. Keep log sheets indicating the accomplishment of attestations of the SF 312, *Classified Information Nondisclosure Agreement*, physical surveys (if applicable) and any posters, bulletins, and miscellaneous security information. See [Attachment 20](#) for more information.

1.3.6.11.9. **(Added-SCOTTAFB)** Section 9. Annual training plan, documentation and resources. Keep your annual training plan and all documentation of training, training materials used for in-processing (initial training), and any recurring training, including NATO and refresher training. See [Attachment 22](#) and [Attachment 27](#) for examples. Ensure the unit security manager is on the in and out processing checklists to assist in the accomplishment of initial training. Automated training resources (i.e. PowerPoint presentations) should be saved to a disk and maintained in the Security Manager's Handbook for continuity purposes.

### 1.3.7. Supervisors:

1.3.7.1. Establish criteria, evaluate, and rate all Air Force employees on their performance of security responsibilities [*Reference DOD 5200.1-R, C1.1.2.1.*]

1.3.7.1.1. Military. See [AFI 36-2406](#), *Officer and Enlisted Evaluation Systems*, paragraph 1.3.7.

1.3.7.1.2. Civilian. See [AFI 36-1001](#), *Managing the Civilian Performance Program*, paragraph A3.2.8.

1.3.7.2. Provide and ensure training as directed in [Chapter 8](#) of this AFI.

1.3.8. Foreign Disclosure. The Deputy Under Secretary of the Air Force, International Affairs, (SAF/ IA), 1080 Air Force Pentagon, Washington DC 20330-1080, oversees the release of all Air Force information to foreign governments, persons, and international organizations.

1.3.9. Historian. The Air Force Historian (HQ USAF/HO), 3 Brookley Avenue, Box 94, Bolling AFB DC 20032-5000, approves or disapproves historical researchers' access to classified information. [Reference DOD 5200.1-R, C6.2.2.4.]

**1.4. Oversight.** In addition to the reporting requirements of the Information Security Program (see [paragraph 1.7](#)), the following will be implemented [Reference DOD 5200.1-R, C1.7.]

1.4.1. MAJCOMs will incorporate information protection issues into Inspector General (IG) inspections/reviews. In addition, MAJCOM Information Protection Offices (IPO) will conduct oversight and assistance visits in the form of either an Information Security Program Review (ISPR) or Staff Assistance Visit (SAV) to subordinate IPOs at least every 36 months. MAJCOM IPO staffs are encouraged to explore oversight options to minimize resource impact.

1.4.1. (SCOTTAFB) The ISPM has delegated authority to the 375 AMW/IPI to conduct program reviews. 375 AMW/IPI will retain the last two annual program reviews in the unit security management folders. Program review reports are provided to each commander/staff agency chief and are broken down into observations, recommendations, and summary/comments. Replies/corrections are required within 30 days after commanders/staff agency chiefs receive the reports. Units/staff agencies with unsatisfactory programs will be revisited within 90 days to ensure observations have been corrected. The 375 AMW/IP may conduct no-notice program reviews.

1.4.1.1. ISPR.

1.4.1.1.1. An ISPR is an assistance-oriented oversight visit for the information security programs performed by an ISPM, or designated representative(s) on a subordinate ISPM or security manager. It is a non-rated review for policy and program effectiveness to benchmark processes/products, identify problem areas and corrective actions. A key component of the ISPR is an assessment of the effectiveness of the information security training program.

1.4.1.1.2. Air Force on-base contractor visitor groups will be integrated into the host installation's Information Security Program unless the mission, operational requirements, autonomous nature or other factors require them to establish and maintain their own security program as a cleared facility under the National Industrial Security Program Operating Manual (NIS- POM).

1.4.1.1.3. The ISPM will provide the commander or equivalent, and staff agency chief the ISPR results in writing.

1.4.2. Base level ISPMs will conduct ISPRs on an annual basis. **EXCEPTION:** An extension to 18 months may be granted by the ISPM for units that have demonstrated highly effective, discrepancy free programs during the previous ISPR. ISPRs/SAVs may be conducted every two years for activities or units that do not store classified information.

1.4.2. (SCOTTAFB) Unit semi-annual self-inspections will be conducted in January and July. The security manager will monitor the self-inspection program and follow-up on all findings/deficiencies to ensure they are corrected. The ISPM may count the annual program review as one of the unit semi-annual self-inspections if the program review was conducted in January or July.

1.4.2.1. (Added-SCOTTAFB) The semiannual self-inspection appointment memorandum will be provided to 375 AMW/IPI and maintained in the Security Manager's Handbook.

1.4.3. Security Self-Inspections: Unit commanders or equivalents, and staff agency chiefs involved with processing or holding classified information ensure personnel conduct semiannual security self-inspections to evaluate information security program effectiveness. **EXCEPTION:** Activities with a small volume of classified material may work with the ISPM to develop an oversight schedule consistent with risk management principles.

1.4.3.1. Unit commanders or equivalents, and staff agency chiefs will appoint an individual, in writing, other than the unit security manager to conduct a semiannual security inspection.

1.4.3.2. A program review may satisfy the requirement for one of the semiannual self-inspections.

1.4.4. SAF/AAP, Chief of Information Protection will visit MAJCOMs to review their information protection and associated security programs every 36 months.

## 1.5. Special Types of Information. [Reference DOD 5200.1-R, C1.3.]

1.5.1. Restricted Data (RD)/Formerly Restricted Data (FRD). [Reference DODD 5210.2 and DOD 5200.1-R, C1.3.1.]

1.5.1.1. General. RD is governed by DODD 5210.2, Access to and Dissemination of Restricted Data, 12 Jan 78. Air Force personnel will mark and safeguard RD according to DODD 5210.2. A list of Air Force Officials Authorized to Certify Access to RD is located on the AFSFC web site. These officials are responsible for certifying access to RD using DoE Form 5631.20, Request for Visit or Access Approval (see [paragraph 5.5.1.2](#)). They may delegate this authority to the level they deem necessary for operational efficiency. Officials delegated the authority will sign in the "For" block on behalf of the access granting official. Air Force personnel may obtain DoE Form 5631.20 from the DoE activity they are visiting or at the DoE Forms web site.

1.5.1.1.1. Activities must notify SAF/AAP through command IP channels of changes to the list of certifying officials as they occur. When doing so, they must also provide the position title, activity and office symbol of the affected authority. **NOTE:** When the change involves an activity name change, access-granting officials will sign forms authorizing access using the current activity name and a note that identifies the activity it superseded until the list of officials is updated.

1.5.1.1.2. SAF/AAP will periodically update a master list available at the Information Protection Directorate Community of Practice (CoP)

1.5.1.2. Critical Nuclear Weapon Design Information (CNWDI). RD that is particularly sensitive. Access is limited to the minimum number of people who need it to do their job.

1.5.1.2.1. CNWDI Approving Officials. These officials are responsible for granting CNWDI access. This authority is assigned to division chiefs and above at all levels of command.

1.5.1.2.2. Granting Access. Approving officials will ensure access and briefings are documented on AF Form 2583, *Request for Personnel Security Action*.

1.5.1.2.3. Protection. Air Force personnel will protect CNWDI in the same manner prescribed for collateral classified information. This includes limiting access to containers storing CNWDI to only those personnel who have been granted CNWDI access. [Reference DODD5210.2, Paragraph 6]

1.5.2. North Atlantic Treaty Organization (NATO). [Reference DOD 5200.1-R, C1.3.4.]

1.5.2.1. SAF/AAP is responsible for overall development, approval, and implementation of NATO security policy within the Air Force.

1.5.2.2. The HQ USAFE IP Office is responsible for developing and recommending NATO security policy for implementation within the Air Force.

1.5.3. For Official Use Only (FOUO). Unclassified information that is exempt from release under the Freedom of Information Act (FOIA) exemptions 2-9, may be designated "For Official Use Only." No other material shall be considered FOUO. FOUO is not authorized as an anemic form of classification to protect national security interests. [Reference DOD Regulation 5400.7/AF Supplement, DOD Freedom of Information Act Program, C4.1.1] The FOIA exemptions are detailed in *DOD Regulation 5400.7/AF Supplement*, Chapter 3.

1.5.4. Sensitive Compartmented Information (SCI). The Deputy Chief of Staff, Intelligence, Surveillance and Reconnaissance (AF/A2), 1480 Air Force Pentagon, Washington DC 20330-1480, is responsible for SCI policy. The provisions of this publication may not supersede the policies and guidance prescribed in the appropriate Director of Central Intelligence Directives governing the control, safeguarding, and dissemination of SCI as promulgated by the Cognizant Security Authority (CSA) for intelligence security management. The CSA will, on behalf of the Senior Official of the Intelligence Community (SOIC), AF/A2, ensure appropriate resolution of actual or perceived conflicts regarding SCI and the provisions of this publication.

1.5.5. Special Access Program (SAP) Information. The Director of Security, Counterintelligence and Special Program Oversight (SAF/AAZ), 1480 Air Force Pentagon, Washington DC 20330-1480, is responsible for SAP policy and oversight of all Air Force SAPs. Should the policies and guidance in this instruction and those issued by DoD and/or the Air Force SAP Central Office (AFSAPCO) conflict, DoD and AFSAPCO policies and guidance will take precedence.

## 1.6. Waivers.

1.6.1. Commanders or equivalents, and staff agency chiefs send requests to waive provisions of DOD 5200.1-R, AFD 31-4, or this AFI through command IP channels to SAF/AAP. FOAs also coordinate their requests with their respective functional head at Headquarters Air Force (HAF) before submitting to SAF/AAP [Reference DOD 5200.1-R, C1.4.2.]

1.6.2. Requests for waivers shall contain sufficient information to permit a complete and thorough analysis to be made of the impact on national security should the waiver be approved.

1.6.3. Waivers or exceptions to Special Access Program (SAP) requirements are forwarded through appropriate program channels to SAF/AAZ, 1480 Air Force Pentagon, Washington DC 20330-1480.

**1.7. Reporting Requirements.** *[Reference DOD 5200.1-R, C1.6.1.]*

1.7.1. MAJCOM and DRU IPs will submit the SF Form 311, Agency Security Classification Program Data, report to SAF/AAP by 1 October of each year.

1.7.1. (SCOTTAFB) Security managers, upon MAJCOM request, will report all derivatively classified documents to the 375 AMW/IPI utilizing an SF 311. Derivative classification is defined as the act of incorporating, paraphrasing, restating or generating in new form information that is already classified and making the newly developed material consistent with the markings of the source information. The source information normally consists of a classified document or a classification guide issued by an OCA. Within DOD, all cleared personnel can perform derivative classification. Information from the specified 2-week period will be compiled by 375 AMW/IPI and reported to AMC/IP (Directorate of Installations and Mission Support). Status of Resources and Training System (SORTS) reports are not considered derivatively classified information and should not be included in the report.

1.7.1.1. Organizations sample data for Part C, Original Classification Decisions, and Part D, Derivative Classification Decisions during a consecutive 2-week period each fiscal year quarter (Oct-Dec, Jan-Mar, Apr-Jun, and Jul-Sep). In the last quarter the 2-week period must be set early since the reports are required by 15 October. Interagency Report Control Number 0230-GSA-AN applies to this information collection requirement.

1.7.1.1.1. Count the number of classification decisions in finished products for dissemination or retention, regardless of the media.

1.7.1.1.2. Do not count reproductions or copies.

**1.8. Administrative Sanctions.**

1.8.1. Send reports through command IP channels to SAF/AAP when someone knowingly, willfully, or negligently discloses classified information to unauthorized individuals as specified in EO 12958, as amended *[Reference DOD 5200.1-R, C1.5.]*

1.8.2. Air Force commanders or equivalents and staff agency chiefs report unauthorized disclosures of classified information that violate criminal statutes to their servicing ISPM and Air Force Office of Special Investigations (AFOSI) offices *[Reference DOD 5200.1-R, C1.5.]*

1.8.3. Commanders or equivalents, and staff agency chiefs take and process administrative sanctions/ actions for civilian appropriated fund employees IAW AFI 36-704, *Discipline and Adverse Actions*, AFMAN 34-310, *Nonappropriated Fund Personnel Program Management and Administration Procedures*, for nonappropriated fund employees, and IAW AFI 36-2907, Unfavorable Information File (UIF) Program, for military personnel. Contact the servicing civilian or military personnel flight office if assistance is needed. Commanders should consult their servicing legal office before taking action for serious violations.

**1.9. Self-Inspection.** See [paragraph 1.4](#) of this AFI *[Reference DOD 5200.1-R, C1.7.]*

## Chapter 2

### ORIGINAL AND DERIVATIVE CLASSIFICATION

#### 2.1. Original Classification Authority (OCA) [Reference DOD 5200.1-R, C2.2.]

2.1.1. The Secretary of the Air Force serves as the OCA and may further delegate this authority.

2.1.1. (SCOTTAFB) There is no original classification authority within the 375 AMW.

2.1.2. The process for delegating OCA authority is as follows:

2.1.2.1. Secretary of the Air Force delegates Top Secret, Secret, and Confidential authority.

2.1.2.2. SAF/AA delegates Secret and Confidential authority.

2.1.2.3. All requests for the delegation of OCA will be forwarded through command IP channels to SAF/AAP, Director of Information Protection, 1720 Air Force Pentagon, Washington, DC 20330-1340, for processing.

2.1.2.3.1. Address requests for original Top Secret authority to the Secretary of the Air Force.

2.1.2.3.2. Address requests for original Secret and Confidential authority to SAF/AA.

2.1.2.3.3. Only individuals in senior military or civilian positions (usually General Officer or Senior Executive Service level) at the first or second echelon of command carrying out a unique mission with responsibility for one of the eight subject areas prescribed by EO 12958, as amended, may be designated as an OCA.

2.1.2.3.4. OCA is assigned to a position, not a person. OCA will not be delegated other than identified in **paragraphs 2.1.2.1** and **2.1.2.2** above. However, deputies, vice commanders, chiefs of staff and similar other subordinates of an OCA are empowered to act as an OCA when they assume the duty position of an OCA in an “acting” capacity and have certified in writing that they have been trained in OCA responsibilities and classification principles in addition to the basic security training on the proper safeguarding of classified information and the criminal, civil, and administrative sanctions that may be brought against an individual who fails to protect classified information from unauthorized disclosure before exercising this authority.

2.1.2.4. All requests will contain the full position title, functional office symbol, a detailed explanation of why the position requires OCA and an estimate of the annual use of the delegated authority.

2.1.3. SAF/AAP will maintain the master list of Air Force OCAs and post on the Information Protection Directorate Community of Practice (CoP). Periodically, SAF/AAP will request OCA validation from the MAJCOM/FOA/DRU IPMs.

2.1.3.1. Personnel will submit requests for changes or new requests through IP command channels as they occur.

2.1.3.2. See the Information Protection Directorate Community of Practice (CoP) web site for OCA training requirements

**2.2. Original Classification.** *[Reference DOD 5200.1-R, Chapter 2 and Interim Information Security Guidance, April 16, 2004.]*

2.2.1. Original classification is the initial decision that an item of information could be expected to cause damage to the national security if subjected to unauthorized disclosure, and that the interests of the national security are best served by applying the safeguards of the Information Security Program to protect it. This decision may be made only by persons who have been specifically delegated the authority to do so, have received training in the exercise of this authority, and have program responsibility or cognizance over the information *[Reference: DOD 5200.1-R, C2.1.]*

2.2.1.1. Before an original classification decision is made, it must be determined that classification guidance is not already available in the form of classification guides, plans or other memoranda.

2.2.1.2. OCAs are accountable to the Secretary of Defense for their classification decisions.

2.2.1.3. In those rare situations where the OCAs' decision must be rendered verbally due to the priorities of an on-going operation, written confirmation will be issued within seven days.

2.2.1.4. OCAs must notify users when there are changes to an original decision.

2.2.1.5. OCAs shall be prepared to present, as required, deposition and expert testimony in courts of law concerning classification of national security information and be prepared to defend and justify their original decisions.

2.2.2. Classification may be applied only to information that is owned by, produced by or for, or is under the control of the United States Government. Information may be considered for classification only if it concerns one of the categories specified in Section 1.4 of EO 12958, as amended.

**2.3. Derivative Classification.** The act of incorporating, paraphrasing, restating, or generating in a new form information that is already classified, and marking the newly developed material consistent with the markings of the source information. The source information ordinarily consists of a classified document or a classification guide issued by an OCA. Within DOD, all cleared personnel can perform derivative classification.

2.3.1. Originating Agency's Determination Required (OADR). OADR is no longer an approved marking and should not be contained in any originally classified documents that have been created after October 14, 1995.

2.3.2. X1 through X8 are no longer approved markings and should not be contained in any originally classified documents that have been created on or after September 22, 2003.

2.3.3. When creating a derivatively classified document and using a source document that contains OADR or X1 through X8, the derivative classifier will place the following information in the Declassify On line:

**DECLASSIFY ON: Source marked OADR (or X1 thru X8, whatever is**

applicable)

**Date of source: 5 October 1993 (date of source document)**

2.3.4. These documents will be subject to review for declassification 25 years after the date of the source document.

#### **2.4. Classification Prohibitions and Limitations.**

2.4.1. Under no circumstances shall information be classified in order to (1) conceal violation of law, inefficiency, or administrative error; (2) prevent embarrassment to a person, organization, or agency; (3) restrain competition; or (4) prevent or delay the release of information that does not require protection in the interest of the national security [*Reference EO 12958, as amended, Section 1.7, DOD 5200.1-R, and Interim Information Security Guidance 16 April 2004*].

2.4.2. The OCA having jurisdiction over the subject matter determines if information requested under the FOIA or the mandatory declassification review (MDR) provisions of EO 12958, as amended, should be declassified [*Reference DOD 5200.1-R, C2.4.3.5.*]

#### **2.5. Classification Challenges** [*Reference DOD 5200.1-R, C4.9.*]

2.5.1. If holders of information have reason to believe that the information is improperly or unnecessarily classified, they shall communicate that belief to their commander or equivalent, staff agency chief, security manager, or supervisor.

2.5.2. Send formal challenges to classification, in writing, to the OCA with jurisdiction over the information in question.

2.5.3. Challenges to reclassification decisions are sent through command IP channels to SAF/AAP

2.5.4. All classified information undergoing a challenge or a subsequent appeal will remain classified until a final resolution is reached.

#### **2.6. Security Classification/Declassification Guides.**

2.6.1. Required Elements. A security classification/declassification guide (see [Attachment 7](#) for sample format) is the written record of an original classification decision and appropriate declassification instructions and should be issued as early as practical in the life cycle of the classified system, plan, program or project. It shall, at a minimum:

2.6.1.1. Identify the subject matter of the classification guide.

2.6.1.2. Identify the OCA by name or personal identifier, and position.

2.6.1.3. Identify an agency Point of Contact (POC) (name, office symbol, mailing address, organizational e-mail address, DSN/commercial phone numbers) for questions regarding the classification guide.

2.6.1.4. Provide the date of issuance or last review.

2.6.1.5. State precisely the categories or elements of information to be declassified, to be downgraded, or not to be declassified.

2.6.1.6. State which classification level applies to each element of information, and, when useful, specify the elements of information that are unclassified (NOTE: only one level of classification will be annotated for each element of information.)

2.6.1.7. State a concise reason for classification which, at a minimum, cites the applicable classification category or categories in Section 1.4 of EO 12958, as amended.

2.6.1.8. State, when applicable, special handling caveats.

2.6.1.9. Prescribe declassification instructions for each element of classified information.

2.6.1.10. Identify any related files series that have been exempted from automatic declassification pursuant to Section 3.3(c) of EO 12958, as amended.

2.6.1.11. To the extent a guide is used in conjunction with the automatic declassification provisions in Section 3.3 of EO 12958, as amended, state precisely the elements of information to be exempted from declassification to include:

2.6.1.11.1. The appropriate exemption category listed in section 3.3(b), and, when citing the exemption category listed in section 3.3(b)(9), specify the applicable statute, treaty or international agreement; and

2.6.1.11.2. A date or event for declassification IAW **section 1.5**

## 2.6.2. OCA Responsibilities.

2.6.2.1. It is the responsibility of the OCA to publish classification/declassification guides to facilitate the proper and uniform derivative classification and declassification of their information. **NOTE:** In some cases, OCAs may determine that publishing classification guidance in other forms is more effective, e.g., program protection plans, system protection guides, AFIs. In these cases, the applicable publication will be considered the guide and the publishing requirements in **paragraph 3.3** still apply.

2.6.2.2. Each OCA will revise (IAW **paragraph 2.6.2.4** below) their security classification guides to include an advisory statement in the Release of Information section:

2.6.2.2.1. Release of program data on the World Wide Web. Extreme care must be taken when considering information for release onto publicly accessible or unprotected World Wide Web sites. In addition to satisfying all of the aforementioned approval provisions, owners and/or releasers of information proposed for such release must ensure that it is not susceptible to compilation with other information to render sensitive or even classified data in the aggregate. The search and data mining capabilities of Web technology must be assessed from a risk management perspective. Information intended for publication on publicly accessible or unprotected web sites must be cleared for public release prior to publication according to AFI 35-101, Public Affairs Policy and Procedures. If there are any doubts, do not release the information.

2.6.2.3. All guides will be reviewed by the servicing Foreign Disclosure Office before final approval.

2.6.2.4. Classification/declassification security guides shall be reviewed and updated, as circumstances require, but at least once every five years. **NOTE:** Due to the major

changes implemented by EO 12958, as amended, all current Air Force classification/declassification guides will be reviewed no later than 31 December 2005, and every five years thereafter.

### 2.6.3. Publishing Requirements.

2.6.3.1. All guides which extend classification beyond 25 years must be approved by the Interagency Security Classification Appeals Panel (ISCAP). Once the OCA has signed the guide, the document will be sent to SAF/AAP who will forward it to the ISCAP for approval.

2.6.3.2. The OCA will report publication of or changes to security classification/declassification guides to the Administrator, Defense Technical Information Center (DTIC) using DD Form 2024. DTIC will require an electronic copy of the guide.

2.6.3.3. OCAs must also forward a hard copy of the applicable publication or change to:

2.6.3.3.1. HQ AFHRA/RSA, 600 Chennault Circle, Maxwell AFB AL 36112-6424.

2.6.3.3.2. SAF/PA, 1690 Air Force Pentagon, Washington, DC 20330-1690.

2.6.3.4. All guides (to include any changes) will also be forwarded electronically to SAF/AAP at **SAF.AAP.workflow@pentagon.af.mil** and AFDO at **AFDO.Workflow@pentagon.af.mil** in PDF and Microsoft Word format.

2.6.4. Electronic Location of Guides. SAF/AAP will maintain the master list of all Air Force classification/declassification guides and will provide guides made available on the MOSIAC SIPRNET Community of Practice (CoP). Guides are also located on the DTIC web site. To access the DTIC web site you must have a DTIC account. The URL for this is <http://www.dtic.mil/dtic/registration>.

2.6.5. Nuclear Weapons Classification Policy. The DOD and the Department of Energy (DoE) issue joint security classification guidance for information relating to nuclear weapons. The Air Force issues security classification policy for information relating to nuclear weapons. Most of these products are classified and users will require the appropriate security clearance before accessing them. Users may obtain copies of Joint DOD/DoE classification guides through DTIC at a cost. Users forward requests for copies of these guides to SAF/AAP (1720 Air Force Pentagon, Washington DC 20330-1340) through command IP channels. Requests must include the name, address, and phone number of the activity POC, and the POC's level of access. IPs will validate this information before submitting the requests to SAF/AAP. For all other Air Force or other agency guides, go direct to the originator. Users refer to DOD 5200.1-I, DOD Index of Security Classification Guides, to determine what other guides relating to nuclear weapons classification guidance are needed. DOD 5200.1-I can be obtained from DTIC.

## 2.7. (Added-SCOTTAFB) Classification Coordination.

2.7.1. (SCOTTAFB) Coordinate all classified wing plans through 375 AMW/IP for proper classification markings.

### Chapter 3

#### DECLASSIFYING AND DOWNGRADING INFORMATION

**3.1. Declassification and Downgrading Officials.** Within the Air Force, only OCAs have the authority to declassify or downgrade classified information.

**3.2. Declassification.** Note: Exemptions identified in this chapter are found in *ISSO Directive Number 1, Section 2001.21(3)(i)*.

3.2.1. Originally Classified Documents. The declassification decision determines the duration of protection [*Reference EO 12958, as amended, Section 1.6.(a)(4) and ISOO Directive Number 1, Section 2001.12.*]. *At the time an item of information is classified, original classifiers will determine which of the following four declassification instructions will be used, selecting whenever possible, the declassification instruction that will result in the shortest duration of classification.*

3.2.1.1. A date or event less than 10 years from the date of the document; or, if unable to identify such a date or event;

3.2.1.2. A date 10 years from the date of the document; or

3.2.1.3. A date greater than 10 and less than 25 years from the date of the document; or

3.2.1.4. A date 25 years from the date of the document.

3.2.2. Derivatively Classified Documents. The “Declassify on” line must include one of the following:

3.2.2.1. The date or event up to 25 years, as noted on the source document; or

3.2.2.2. Source marked OADR, date of source (cannot be a date after October 1995); or

3.2.2.3. Source marked X1-X8, date of source (cannot be a date after September 2003); or

3.2.2.4. 25X1 through 25X9, and a specific date or event for declassification; or

3.2.2.5. 25X1-human (the only category that does not require a date or event follow it).

**3.3. Exceptions.** RD/FRD [*Reference 10 CFR 1045.1 Subpart A*]. Documents containing RD or FRD are excluded from automatic declassification and do not require a declassification date. RD must be reviewed by the DoE prior to release. DoE and DOD must jointly review documents containing FRD prior to release.

**3.4. Automatic Declassification.** IAW EO 12958, as amended, Section 3.3, all Air Force activities that possess classified information that is of permanent historical value and is 25 years old or older should have completed a declassification review of these documents by 31 Dec 2006.

3.4.1. The Air Force Declassification Office (AFDO) has published the Air Force Declassification Plan that provides the framework for Air Force compliance with Section 3.3 of EO 12958, as amended. It pertains to all classified Air Force records that are 25 years old or older as of 31 December 2006, and have been determined under Federal law to have permanent historical value. The Air Force Declassification Plan is posted at the AFDO web

site (<http://www.afdo.hq.af.mil/Plan.htm>). It is critical that records management and information security personnel work together to ensure that requirements of both are met on classified records that are going to be sent to the National Archives or Federal Records Center.

3.4.2. All classified records shall be automatically declassified on 31 December of the year that is 25 years from the date of its original classification, unless it falls in one of the exemption categories (25X) listed in Section 3.3(b) of EO 12958, as amended.

3.4.3. The 25X categories *cannot* be used unless the specific information has been approved through the ISCAP process. This is usually done in the form of a security classification/declassification guide. (See **paragraph 2.6** and **Attachment 7**.) The Air Force has an approved list of exemption categories (listed in the Air Force Declassification Plan); however, the specific item must still be annotated in the security classification/declassification guide before it is used on derivatively marked documents. For original classification decisions, no 25X marking, other than “25X1-human,” is permitted on the “declassify on” line. All originally classified documents *will* contain either a date or event less than 10 years or a date from 10 to 25 years. The only exception is the marking “25X1-human.” This marking may be used when the disclosure of the information could be expected to reveal the identity of a confidential human source or human intelligence source. This is the *only* 25X marking that does not require a date or event for declassification to be cited with the 25X marking.

### **3.5. Mandatory Review.**

3.5.1. Mandatory review requests must identify the information requested with enough specificity to allow for location of the records with a reasonable amount of effort.

3.5.2. Send all requests for MDR to 11 CS/SCSL (MDR), 1000 Air Force Pentagon, Washington DC 20330-1000.

3.5.3. Send appeals to MDR decisions through 11 CS/SCSL (MDR) to SAF/AA, the Air Force Appellate Authority for MDRs.

**3.6. Systematic Review for Declassification.** Activities will set up an annual schedule for conducting systematic declassification reviews for the following records:

3.6.1. Records of permanent historical value prior to their twenty-fifth birthday. These records will be reviewed and appropriate action taken by 31 Dec of the same year that is 25 years from the date of its original classification.

3.6.2. Other records. Activities will set up a reasonable schedule for conducting declassification reviews for all other classified records.

**3.7. Referrals.** A referral is information that is subject to the provisions of EO 12958, as amended, Section 3.3, Automatic Declassification, and ISOO Directive No. 1, Section 2001.34, and has been referred to, within, or outside the Air Force for review. AFDO is the focal point for processing Air Force referrals. Detailed information regarding the referral process can be found in the Air Force Declassification Plan.

**3.8. Public Release.** When information is declassified, it is not releasable to the public until it has been approved for release through the security review process IAW AFI 35-101, Chapter 15.

The same holds true for declassified or unclassified information that will be placed on an Internet site that can be accessed by the public.

**3.9. Downgrading.** Downgrading of information to a lower level of classification is appropriate when the information no longer requires protection at the originally assigned level, and can be properly protected at a lower level. Any official who is authorized to classify or declassify the information and has authority over the information may downgrade information.

## Chapter 4

### MARKINGS

**4.1. General.** Air Force personnel who originally and derivatively classify information will mark those products according to DOD 5200.1-R and the ISOO Marking Booklet. Material other than ordinary paper documents, e.g., e-mail transmitted over a secure network, must have the same information either marked on it or made immediately available to holders by other means. [Reference DOD 5200.1-R, C5.1.]

**4.1. (SCOTTAFB)General.** Warning notices shall also be placed on file folders, binders and storage media.

**4.2. Required Markings.** Classified documents are required to have the following markings:

4.2.1. The overall classification of the document.

4.2.2. The agency, office of origin, and date of the document.

4.2.3. The office or source document that classified the information.

4.2.3.1. If it is originally classified, the document will reference the office. **Example: CLASSIFIED BY: SAF/AAP.**

4.2.3.2. If a document is derivatively classified, it will reference the source document or the security classification/declassification guide. **Example: DERIVED FROM: HQ USAF/A3/5 Memo dated 12 Jan 2008. Subj: Funding Problems.**

4.2.4. The reason for classification. Each originally classified document shall bear a concise statement of the reason for classification, determined by the original classifier. [Reference DOD 5200.1-R, C5.2.4.] The classification categories are listed in EO 12958, as amended, Section 1.4; DOD5200.1-R Interim Information Security Guidance, Chapter 2, Para 1. Example: REASON: 1.4(e)

4.2.4.1. If a document is derivatively classified, the “REASON” is not required to be carried over to the derivative document.

4.2.5. Declassification instructions, and any downgrading instructions that apply. Example: DECLASSIFY ON: 15 MARCH 2010

4.2.5.1. If marking material that falls within one of the 25-year exemption categories, the correct marking will be as follows (NOTE: only derivatively classified documents will carry a 25X marking, with the exception of 25X1-human, which is allowed on originally classified documents):

**DECLASSIFY ON: 25X5, 15  
February 2010**

4.2.6. Page and portion markings to identify the specific classified information in the document and its level of classification. When marking a document that is derivatively classified, ensure all markings and caveats are carried over from the source document to the derivative document.

4.2.7. Control notices and other markings that apply to the document.

4.2.8. When a document has been declassified or downgraded, the following markings shall be applied:

4.2.8.1. The word “Declassified” or the new classification if being downgraded.

4.2.8.2. The authority for the action (the OCA’s office symbol and the identification of the correspondence or classification instruction that required it).

4.2.8.3. The date of declassification or downgrading action.

4.2.8.4. The overall classification markings that appear on the cover page or first page shall be marked through with a straight line. If downgraded, the new classification will be written in.

4.2.8.5. Page and portion markings will be remarked as required.

4.2.9. Notebooks, binders, folders, etc. containing classified documents will be conspicuously marked with the highest classification of the material contained. Affix the appropriate overall classification marking or classified cover sheet to the front and back of the notebook, binder, folder, etc.

4.2.9. **(SCOTTAFB)** The spine of binders and notebooks must be marked with the overall classification.

4.2.10. **(Added-SCOTTAFB)** Envelopes and File Folders in Classified Safes. Mark envelopes in classified storage containers on the front and back with the highest classification of the material. Mark the top and bottom of the file folders and label with the highest level of classification maintained in that folder.

### **4.3. Special Control and Similar Notices.** *[Reference DOD 5200.1-R, C5.2.9.]*

4.3.1. Working Papers. Working papers are documents and material accumulated or created in the preparation of finished documents and material. Working papers containing classified information will be:

4.3.1. **(SCOTTAFB)** Working Papers. Working papers include drafts, notes, illustrations, and other items that are made when someone is developing a document.

4.3.1.1. Dated when created.

4.3.1.2. Marked with the highest classification of any information contained in the document and annotated “WORKING PAPER”.

4.3.1.3. Destroyed when no longer needed.

4.3.1.4. Protected IAW the assigned classification.

4.3.1.5. Marked in the same manner as a finished document at the same classification level when transmitted outside the facility or if retained for more than 180 days from the original creation date.

4.3.1.5.1. **(Added-SCOTTAFB)** Working papers will reflect all markings as prescribed in DOD 5200.1-R.

4.3.2. Communications Security (COMSEC). See AFI 33-211, *Communications Security (COMSEC) User Requirements*, for guidance on marking COMSEC documents and media.

4.3.3. Technical Documents. See AFI 61-204, *Disseminating Scientific and Technical Information*, for guidance on marking and disseminating technical documents. [Reference *DOD 5200.1-R*, paragraph C5.2.9.8. and *DODD 5230.24*, *Distribution Statements on Technical Documents*.]

4.3.4. SAPs. Documentation and information may be identified with the Phrase “Special Access Required” and the assigned nickname, codeword, trigraph, or digraph. See AFI 16-701, *Special Access Programs*, for additional guidance on SAP documents.

4.3.5. Restricted Data/Formerly Restricted Data (RD/FRD). [Reference *10 CFR 1045.1*, Subpart A.)

4.3.5.1. Documents containing RD shall be marked:

**RESTRICT  
ED DATA**

**“This material contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to administrative and criminal sanctions.”**

4.3.5.2. Documents containing FRD shall be marked:

**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”**

4.3.6. For Official Use Only (FOUO). See chapter 4 of DOD 5400.7/AF Supplement.

**4.4. NATO.** NATO documents should be marked in compliance with AFI 31-406, *Applying North Atlantic Treaty Organization (NATO) Protection Standards*, USSAN Instruction 1-69, *United States Implementation of NATO Security Procedures*, and C-M(2002)49, *Security Within the North Atlantic Treaty Organization (NATO)*. Any new policies, principles, standards, and procedures contained in C-M(2002)49 and its supporting directives take precedence, where they conflict, over the guidelines expressed in USSAN 1-69, dated 21 April 1982.

#### **4.5. Other Foreign Government Information (FGI).**

4.5.1. Classification designations for FGI often do not parallel U.S. classification designations. Moreover, many foreign governments and international organizations have a fourth level of classification that generally translates as "Restricted," and a category of unclassified information that is protected by law in the originating country and is provided on the condition that it will be treated "in confidence." A table of U.S. and foreign government classification markings can be found in DOD 5200.1-R, Appendix 6.

4.5.2. Other foreign government classified documents shall be marked in English to identify the originating country and the applicable U.S. classification designation. If a classification designation has been applied to a foreign document by the originator, and it is the applicable U.S. English language designation, only the identity of the originating country need be applied to the document. *Examples:*

A German document marked "Geheim" would be marked: **DEU  
SECRET.**

A UK document marked "SECRET" would be marked: **GBR  
SECRET.**

4.5.3. Foreign government documents that are marked with a classification designation that equates to Restricted, and unclassified foreign government documents that are provided to a DOD Component on the condition that they will be treated "in confidence," shall be marked to identify the originating government and whether they are Restricted or provided "in confidence." Additionally, they shall be marked "CONFIDENTIAL - Modified Handling".

*Example:*

A French document marked "Diffusion Restreinte" would be marked:

**FRENCH RESTRICTED INFORMATION Protect as:**

**CONFIDENTIAL - Modified Handling**

4.5.3.1. (Ref: DOD 5200.1-R, para C6.6.3.) In order to ensure the protection of FGI provided in confidence (e.g., foreign government "Restricted," or foreign government unclassified information provided in confidence), such information must be classified under EO 12958, as amended. Provide a degree of protection to the FGI at least equivalent to that required by the foreign government or international organization that provided the information. If the foreign protection requirement is lower than the protection required for U.S. CONFIDENTIAL information, the following requirements shall be met:

4.5.3.1.1. The information shall be provided only to those individuals who have a need-to-know and access is required by official duties.

4.5.3.1.2. Individuals given access shall be notified of applicable handling instructions.

4.5.3.1.3. Documents shall be stored so as to prevent unauthorized access.

#### **4.6. Marking of Foreign Government and NATO Information In DOD Documents.**

4.6.1. When used in DOD documents, FGI must be marked to prevent premature declassification or unauthorized disclosure. To satisfy this requirement, U.S. documents that contain FGI shall be marked on the cover or first page, "**THIS DOCUMENT CONTAINS (indicate country of origin) INFORMATION.**" In addition, the portions shall be marked to identify the classification level and the country of origin, e.g., (GBR-C); (DEU-C). If the identity of the foreign government must be concealed, the cover or first page of the document

shall be marked, "**THIS DOCUMENT CONTAINS FOREIGN GOVERNMENT INFORMATION**," and applicable paragraphs shall be marked FGI together with the appropriate classification (**FGI-S**). The identity of the foreign government shall be maintained with the record copy, which must be appropriately protected.

4.6.2. The "Derived From" line shall identify the U.S. as well as foreign classification sources. If the identity of the foreign government must be concealed, the "Derived From" line shall contain the marking "Foreign Government information." In that case, the identity of the foreign government will be maintained with the record copy and protected appropriately. A U.S. document shall not be downgraded below the highest level of FGI contained in the document or be declassified without the written approval of the foreign government that originated the information. Recommendations concerning downgrading or declassification shall be submitted through the DOD entity that created the document to the originating foreign government.

4.6.3. DOD classified documents that contain extracts of NATO classified information shall be marked as follows on the cover or first page: "**THIS DOCUMENT CONTAINS NATO CLASSIFIED INFORMATION**." Portions shall be marked to identify the NATO information (e.g., **NS**). When NATO or other foreign government **RESTRICTED** information is included in otherwise unclassified DOD documents, the following statement shall be affixed to the top and bottom of the page containing the information: "**This page contains (indicate NATO or country of origin) RESTRICTED information**". The restricted portions shall be marked (e.g., **(NR) (GBR-R)**). The cover, (or first page, if no cover) of the document shall contain the following statement: "**This document contains NATO RESTRICTED information not marked for declassification (date of source) and shall be safeguarded in accordance with USSAN 1-69**".

4.6.4. Other foreign government classified documents should be marked in English to identify the originating country and the applicable U.S. classification designation.

4.6.5. Foreign government documents that are marked with a classification designation that equates to **RESTRICTED**, and unclassified foreign government documents that are provided to a DOD component, should be marked to identify the originating government and whether they are restricted or provided in confidence.

**4.7. Audio and Video Tapes.** Personnel responsible for marking and maintaining original classified audio and video tapes that document raw test data do not need to include footers/headers showing the applicable classification markings. However, the required classification markings must be placed on the outside of the container and reel. All copies made from the original tapes must include headers/footers that show the applicable classification markings. This will help ensure that valuable historical test data is not inadvertently erased during the classification marking process. [*Reference DOD 5200.1-R, C5.4.*]

**4.8. Removable Information Systems Storage Media.** Use SF Form 706, Top Secret ADP Media Classification Label; SF 707, Secret ADP Media Classification Label; SF Form 708, Confidential ADP Media Classification Label; SF 710, Unclassified Label, SF Form 711, ADP Data Descriptor Label, on removable information systems storage media. These are available through the Air Force Publications Distribution System. [*Reference DOD 5200.1-R, Paragraphs 5-407 and 5-409a-b.*]

4.8.1. Many new removable information systems storage media are of size and shape that precludes application of the standard forms. Such media storing classified information must be permanently marked to display the highest classification of stored information.

4.8.2. Designated Approving Authorities (DAA) have the authority to impose restrictions upon, and prohibit the use of, government owned removable information systems storage media for classified systems or networks. DAA approved restrictions will outline clearing, or destruction, procedures for unauthorized devices found in areas where classified processing takes place. Personally owned information systems storage media are prohibited in areas where classified is processed.

4.8.3. The inherent risk of loss of small storage devices should be considered before using them for storing or transporting classified information. Procedures to reduce the potential for accidental loss must be included in local operating instructions. Include a review of these procedures in the semi-annual self-inspection and ISPRs.

#### **4.9. Sensitive Compartmented Information (SCI).** *[Reference DOD 5200.1-R, C5.4.11.]*

4.9.1. See AFI 14-302, *Control, Protection, and Dissemination of Sensitive Compartmented Information*, for Air Force policy on intelligence information.

4.9.2. The Special Security Office (SSO) is the focal point for release and dissemination of SCI. The Director of Central Intelligence Directive (DCID) 6/6, *Security Controls on the Dissemination of Intelligence Information* and DCID 6/7, *Intelligence Disclosure Policy* provide criteria for release of intelligence to foreign officials.

#### **4.10. Authorized for Release To (REL TO) Markings.** *[Reference DUSD(/)I Memo 27 Sep 2004, subject: Security Classification Marking Instructions.]*

4.10.1. "REL TO" identifies classified information that an originator has predetermined to be releasable based on guidance provided by an Air Force specifically designated foreign disclosure official or has been released, through established foreign disclosure procedures and channels, to the foreign country(ies)/international organizations indicated.

4.10.2. "REL TO" cannot be used with "Not Releasable to Foreign Nationals" (NOFORN) on page markings. When a document contains both NOFORN and REL TO portions, NOFORN takes precedence for the markings at the top and bottom of the page.

4.10.3. The full marking "REL TO USA//applicable country trigraph(s), international organization or coalition force tetragraph" shall be used after the classification and will appear at the top and bottom of the front cover, if there is one, the title page, if there is one, the first page and the outside of the back cover, if there is one. "REL TO" must include country code "USA" as the first country code listed. After the USA, country trigraphic code shall be listed in alphabetical order followed by international organization/coalition tetragraphic codes listed in alphabetical order.

4.10.4. Country codes shall be separated by a comma and a space with the last country code separated by a space, a lower case "and" and a space. EXAMPLE: TOP SECRET//REL TO USA, EGY and ISR.

4.10.5. When portion marking, countries do not need to be listed unless they are different from the countries listed in the "REL TO" at the top and bottom of the page. Text that is

releasable to all the countries listed at the top and bottom of the page shall be portion marked "REL". EXAMPLE: (TS//REL)

4.10.6. If the information is releasable to countries that are different than those listed in the overall "REL TO" marking, the portion marking has the same format, but with the specific countries/organizations listed alphabetically. EXAMPLE: The overall document marking is "SECRET//REL TO USA, NZL and NATO." However, the portion marking may be: (S//REL TO USA, AUS, NZL and NATO) to indicate that information contained in this portion is also releasable to Australia.

4.10.7. "NOFORN" is an authorized control marking for intelligence information IAW DCID 6/6, Security Controls on the Dissemination of Intelligence Information. Do not use the "NOFORN" dissemination control marking on any document, including derivatively classified documents, without first verifying that the requirements of DCID 6/6 are met and that the marking is actually warranted.

4.10.8. Countries represented with the International Organization for Standardization (ISO) 3166 trigraphic codes can be obtained from the ISPM or from INTELINK on the SIPRNET.

#### **4.11. Classified Electronic Mail (E-Mail)**

4.11.1. All e-mails and documents accomplished on the SIPRNET, whether classified or unclassified, will contain the correct classification markings. Classified information may not be transmitted on the NIPRNET.

4.11.2. The first marking in the **Subject** line of the e-mail will be the overall classification of the e-mail using these symbols: (S) for Secret, (C) for Confidential, and (U) for Unclassified. Following this will be the subject title, followed by the classification of the subject title. Example: Subject: (S) Unclassified E-Mail Sample (U)

**4.11.3. Do not send classified messages or mark messages as classified on an unclassified network.**

4.11.4. Place the appropriate classification of the e-mail in all uppercase letters as the first line of the e-mail message text.

4.11.5. Begin the text of the message on the third line, leaving a blank line between the classification marking and the text.

4.11.6. All paragraphs and subparagraphs will be marked with the appropriate portion marking. Use the abbreviated classification symbol at the beginning of all paragraphs and subparagraphs.

4.11.7. Place the appropriate classification of the e-mail in all uppercase letters as the last line of the e-mail message text.

4.11.8. All attachments (if any) will be marked appropriately with overall and portion markings. Indicate the classification of the attachment by placing the abbreviated classification symbol in parentheses before the attachment icon.

4.11.9. Place classification, declassification, and downgrading instructions after the signature block on the left margin.

## Chapter 5

### SAFEGUARDING

#### *Section 5A—Control Measures*

**5.1. General.** Air Force personnel are responsible, both personally and officially, for safeguarding classified information for which they have access. Collecting, obtaining, recording, or removing, for any unauthorized use whatsoever, of any sensitive or classified information, is prohibited.

5.1.1. Everyone should be aware that advancing technology provides constantly changing means to quickly collect and transport information. The introduction of electronic storage or transmission devices into areas that store, process, and/or generate classified information increases the risk to that information.

5.1.2. Consult the servicing DAA for specific guidance concerning introduction into areas containing Information Systems (IS). [*Reference DODD 8100.2, Use of Commercial Wireless Devices, Services, and Technologies in the Department of Defense (DOD) Global Information Grid (GIG).*]

#### *Section 5B—Access*

**5.2. Granting Access to Classified Information.** Personnel who have authorized possession, knowledge, or control of classified information grant individuals access to classified information when required for mission essential needs and when the individual has the appropriate clearance eligibility according to AFI 31-501, Personnel Security Program Management; has signed an SF 312, Classified Information Nondisclosure Agreement (NDA), and has a need to know the information. Those granting access to classified information must gain the originator's approval before releasing the information outside the Executive Branch or as specified by the originator of the material. Also see [paragraph 5.4.1.1](#) of this AFI. [*References DOD 5200.1-R, C6.2., and EO 12958, as amended, Section 4.1(c.)*]

5.2.1. The Secretary of Defense directed all military members and civilian employees with Top Secret eligibility or access to a specially controlled access category or compartmented information to make a one time verbal attestation to the first paragraph of the SF 312. The verbal attestation must be witnessed by at least one individual in addition to the official who presides over the attestation and manages the process [*Reference DOD 5200.1-PH-1.*] The procedures for personal attestation include:

5.2.1.1. The statement, "Attestation completed on (date)," is placed in the bottom of the Organization block in Item 11 of the SF 312.

5.2.1.2. The individual making the verbal attestation will complete Item 11 of the SF 312. The witness will sign in the Witness block. The presiding official will sign in the Acceptance block.

5.2.1.3. Record the date of attestation in JPAS.

5.2.2. Confirm an individual's access level. The holder of the information must confirm valid need-to-know and must verify the level of access authorization. Those granting access to classified information will confirm a person's access level by:

5.2.2.1. Checking the person's access level, clearance eligibility, and date the person signed the SF 312 and completed Non-SCI Indoctrination, in JPAS; or

5.2.2.2. Confirming it through the employee's security manager, supervisor, or commander or equivalent, or staff agency chief; or

5.2.2.3. Receiving a visit request from a non-DOD visitor's security manager or supervisor. See [paragraph 5.5](#) for further guidance.

5.2.3. **(Added-SCOTTAFB)** Security Access Requirement (SAR) Coded Positions. Commanders must review manning positions annually in January to determine the need for upgrading or downgrading of position coding. The position will be coded to reflect the appropriate access level (Secret, Top Secret or SCI) on the unit manning document.

5.2.3.1. **(Added-SCOTTAFB)** Requests to upgrade a position code to a "5" (Top Secret) must be approved by a 3-star general before a position change can be made. Coordinate all upgrade requests through 375 AMW/IPI for review before being sent to the Manpower Office (375 FSS/FSM) if military, or if civilian to the Civilian Personnel Office (375 FSS/FSMC).

5.2.3.2. **(Added-SCOTTAFB)** Requests to downgrade a position code will be sent directly to 375 FSS/FSM for military employees or the 375 FSS/FSMC for civilian employees.

**5.3. Nondisclosure Agreement (NdA).** Signing the NdA is a prerequisite for obtaining access (see [paragraph 5.2](#)). Unit commanders or equivalents and staff agency chiefs are responsible for ensuring their employees have signed one by checking JPAS or the employee's personnel records. If they have not signed one, those responsible use DOD 5200.1-PH-1, Classified Information Nondisclosure Agreement (Standard Form 312) Briefing Pamphlet, to brief people on the purpose. Record the NdA on-line through JPAS prior to sending the signed form for retention. **NOTE:** When the employee's access level is passed to another office or activity, that office or activity can assume the employee has signed one.

**5.3. (SCOTTAFB)Nondisclosure Agreement (NdA).** Before having access to classified information, all personnel will sign an SF 312, **Classified Information Nondisclosure Agreement**. Individuals completing the SF 312 for the first time and assigned to a Top Secret or special access position will complete the security attestation when they read and sign the SF 312. The original SF 312 will be sent to the appropriate retention address and a copy given to the member. It is not necessary for the security manager to maintain a copy of the SF 312 once the original has been forwarded to the retention address and the date of indoctrination and access level have been entered into JPAS.

5.3.1. Retention. Security managers mail the NdA to the following organizations who will retain the NdAs for 50 years.

5.3.1. **(SCOTTAFB)** After annotating the attestation in JPAS, the attestation document should be given to the member to present as proof for future assignments or accesses. Copies

of the attestations or a log indicating attestations may be maintained in Section 8 of the Security Manager's Handbook, if desired.

5.3.1.1. For active military members, to HQ AFPC/DPFFCMI, 550 C St., W, Suite 21, Randolph AFB, TX 78150-4723.

5.3.1.2. For AFRC and ANG members, to HQ ARPC/DPSFR, 6760 E. Irvington Place, #4450, Denver, CO 80280-4450.

5.3.1.3. For retired flag or general officers or civilian equivalents receiving access under the provisions of AFI 31-501 and who do not already have a signed NdA in their retired file, ISPMs send NdAs to HQ AFPC/DPFFCMR, 550 C St., W, Suite 21, Randolph AFB TX 78150-4723.

5.3.1.4. For Air Force civilians, to the servicing civilian personnel office:

5.3.1.4.1. HQ AFPC/DPCMP, 550 C St, W, Suite 57, Randolph AFB, TX, 78150-4759.

5.3.1.4.2. Hill: OO-ALC/DPC (AFMC), 6053 Elm Lane, Hill AFB UT 84056-5819

5.3.1.4.3. Tinker: 72 MSG/DPC (AFMC), 3001 Staff Drive Ste 1AH190B, Tinker AFB OK 73145-3014

5.3.1.4.4. Robins: 78 MSG/DPC (AFMC), 215 Page Road Ste 325, Robins AFB GA 31098-1662

5.3.1.4.5. 11 WG and the Pentagon: HQ 11 WG/DPC, 1460 Air Force Pentagon, Washington DC 20330-1460

5.3.1.4.6. Wright-Patterson: 88 MSG/DPC (AFMC), 4040 Ogden Ave, Wright-Patterson AFB OH 45433-5763

5.3.1.5. For persons outside the Executive Branch who receive access according to **paragraph 5.4**, the servicing ISPM to the activity granting access will file the NdA.

5.3.2. Refusal To Sign. When a person refuses to sign an NdA, the commander or equivalent, or staff agency chief:

5.3.2.1. Initiates security incident report, in JPAS, that the person refused to sign the NdA.

5.3.2.2. Denies the individual access to classified information.

5.3.2.3. Initiate actions to establish a Security Information File (SIF) according to AFI 31-501.

#### **5.4. Access by Persons Outside the Executive Branch.**

5.4.1. Policy. MAJCOM/FOA/DRU commanders and HAF 2-digits or their designees authorize individuals outside the executive branch to access Air Force classified material as follows unless otherwise provided in DOD 5200.1-R, paragraph C6.2.2.

5.4.1.1. Authorizing Officials (those cited in **paragraph 5.4.1** above) may grant access once they have:

5.4.1.1.1. Gained release approval from the originator or owner of the information. Normally, this is the same official identified in [paragraph 5.4.1.1.2.2](#) below.

5.4.1.1.2. Determined the individual has a current favorable personnel security investigation as defined by [AFI 31-501](#) and a check of JPAS and a local files check (LFC) shows there is no unfavorable information since the previous clearance. A LFC must be processed according to [AFI 31-501](#). **EXCEPTION:** In cases where there is no current personnel security investigation as defined in [AFI 31-501](#), MAJCOM/FOA/DRU commanders and HAF 2-digits may request a National Agency Check (NAC) and grant access up to the Secret level before the NAC is complete when there is a favorable LFC and the Air Force Central Adjudication Facility (AFCAF) confirms there is no unfavorable information on the individual in JPAS. When applying this exception, follow the procedures outlined in AFI 31-501, paragraph 3.11. for interim security clearance eligibility.

5.4.1.1.2.1. Authority to grant access to persons outside the Executive Branch without a previous clearance may not be delegated below the listed positions in [paragraph 5.4.1.1.2](#)

5.4.1.1.2.2. Before material is released to persons outside the Executive Branch without a previous clearance, the OCA must be contacted and approve the access.

5.4.1.1.3. Determined granting access will benefit the government.

5.4.1.2. Requests for access must include:

5.4.1.2.1. The person's name, SSAN, date and place of birth, and citizenship.

5.4.1.2.2. Place of employment.

5.4.1.2.3. Name and location of installation or activity where the person needs access.

5.4.1.2.4. Level of access required.

5.4.1.2.5. Subject of information the person will access.

5.4.1.2.6. Full justification for disclosing classified information to the person.

5.4.1.2.7. Comments regarding benefit(s) the U.S. Government may expect by approving the request.

5.4.1.3. The authorizing official will coordinate the processing of the NAC request with the nearest Air Force authorized requester of investigations.

5.4.1.4. Individuals with approval must sign an [NdA](#) before accessing information. Upon completion of access, individuals must sign an [AF Form 2587](#), Security Termination Statement.

5.4.2. Congress. See [AFI 90-401](#), *Air Force Relations with Congress*, for guidance when granting classified access to members of Congress, its committees, members, and staff representatives. [Reference DOD 5200.1-R, C6.2.2.1]

5.4.3. Government Printing Office (GPO). The GPO processes and confirms their personnel's access. [Reference DOD 5200.1-R, C6.2.2.2]

5.4.4. Representatives of the Government Accountability Office (GAO). See AFI 65-401, Relations with the General Accounting Office, for access requirements. [Reference DOD 5200.1-R, C6.2.2.3.]

5.4.5. Historical Researchers. AFHRA OL-A/HOR is the authority for granting access to historical researchers on behalf of the Air Force Historian (HQ USAF/HO). [Reference DOD 5200.1-R, C6.2.2.4.]

5.4.5.1. General. Requests for classified access by historical researchers will be processed only in exceptional cases wherein extraordinary justification exists. Access will be granted to the researcher only if the records cannot be obtained through available declassification processes (i.e., the FOIA and MDR processes) and when the access clearly supports the interests of national security.

5.4.5.2. Providing Access.

5.4.5.2.1. The researcher must apply to AFHRA OL-A/HOR in writing for the access. The application will fully describe the project including the sources of documentation that the researcher wants to access.

5.4.5.2.2. If AFHRA OL-A/HOR accepts the request for access, they will provide the researcher with written authorization to go to the nearest Air Force installation security forces office to complete a personnel security questionnaire for a NAC according to AFI 31-501.

5.4.5.2.3. If the results of the NAC are favorable and AFHRA OL-A/HOR approves access, the researcher must sign a SF 312 and an agreement to submit any notes and manuscript(s) for security and policy review (AFI 35-101). This process is to ensure the documents do not contain any classified information and, if so, determine if they can be declassified. Send the SF 312 to AFHRA OL-A/HOR for retention. Classified information will not be removed from government facilities.

5.4.5.2.4. Other Terms.

5.4.5.2.4.1. The access agreement is valid for two years. One two-year renewal is possible. A renewal will not be considered if the project appears to be inactive in the months before the end of the original agreement.

5.4.5.2.4.2. Access will be limited to those records 25 or more years of age.

5.4.5.2.4.3. Access based on a NAC is valid for Secret and Confidential information but does not meet the requirement for access to RD or SAP information. Access to Top Secret or SCI information is not authorized.

5.4.5.2.4.4. Access will be allowed only to Air Force records at AFHSO, AFHRA, and the National Archives and Records Administration (NARA).

5.4.5.2.4.5. Access to Air Force records still in the custody of the originating offices in the Washington National Capital Region must be approved in writing by the originating offices or their successors. It is the responsibility of the researcher to secure this approval.

5.4.6. Former Presidential Appointees. Persons who previously occupied policy-making positions to which the President appointed them may not remove classified information upon

departure from office. All such material must remain under the security control of the U.S. Government. Such persons may be authorized access to classified information they originated, received, reviewed, signed, or that was addressed to them while serving in their official capacity, provided the applicable Air Force OCA: [Reference DOD 5200.1-R, C6.2.2.5.]

5.4.6.1. Makes a written determination that such access is clearly consistent with the interests of national security;

5.4.6.2. Uses the same access determination procedures outlined in [paragraph 5.4](#) of this AFI;

5.4.6.3. Limits the access to specific categories of information over which the Air Force OCA has classification jurisdiction;

5.4.6.4. Maintains custody of the information or authorizes access to documents in the custody of the NARA; and,

5.4.6.5. Obtains the individual's agreement to safeguard the information and to submit any notes and manuscript for a security review ([AFI 35-101](#), Chapter 15) to ensure that the documents do not contain classified information or to determine if any classified information should be declassified.

5.4.7. Judicial Proceedings. See [AFI 51-301](#), *Civil Litigation*, for more information regarding the release of classified information in litigation.

5.4.8. Other Situations. Follow the guidance in [paragraph 5.4.1.1](#) above. [Reference DOD 5200.1-R, C6.2.2.7.]

5.4.9. Foreign Nationals, Foreign Governments, and International Organizations. Owners of classified information disclose it to foreign nationals, foreign governments, and international organizations only when they receive authorization from SAF/IAPD, 1080 Air Force Pentagon, Washington DC 20330-1080. (See [AFI 16-201](#), *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*, for more specific guidance.) See [Attachment 4](#) for guidance on transmitting classified information to foreign governments.

5.4.10. Retired Flag or General Officers or Civilian Equivalent. See [AFI 31-501](#). These individuals need not sign a NDA if the original one is already filed in their retired file or JPAS. (see [paragraph 5.3.1.3](#)).

**5.5. Access by Visitors.** JPAS is the primary source for confirming access eligibility for DOD and DOD contractor personnel. Visit authorization letters will not be used to pass security clearance information unless JPAS is not available. [Reference DOD 5200.1-R, C6.2.3.]

5.5.1. Outgoing Visit Requests for Air Force Employees. When an Air Force employee requires access to classified information at:

5.5.1.1. A non-DOD contractor activity, the supervisor or security manager contacts the office to be visited to determine the desired clearance verification.

5.5.1.2. A DoE activity, the supervisor or security manager prepares and processes [DoE Form 5631.20](#), according to [DODD 5210.2](#), *Access to and Dissemination of Restricted Data*. Also see [paragraph 1.5.1](#) of this AFI.

5.5.2. Incoming Visit Requests. Air Force activity visit hosts serve as the approval authority for visits to their activities. Use JPAS to confirm security clearances of DOD personnel, including DOD contractors. Installation or activity commanders or equivalents, and staff agency chiefs receiving a visit request:

5.5.2.1. From non-DOD contractors, see DOD 5220.22-M, Chapter 6.

5.5.2.2. From foreign nationals or U.S. citizens representing a foreign government, process the visit request according to AFI 16-201.

**5.6. Preventing Public Release of Classified Information.** See AFI 35-101, Chapter 15, for guidance on security reviews to prevent people from publishing classified information in personal or commercial articles, presentations, theses, books or other products written for general publication or distribution.

**5.7. Access to Information Originating in a Non-DOD Department or Agency.** Holders allow access under the rules of the originating agency.

### **5.8. Administrative Controls.**

5.8.1. Top Secret. The security of Top Secret material is paramount. Strict compliance with Top Secret control procedures take precedence over administrative convenience. These procedures ensure stringent need to know rules and security safeguards are applied to our most critical and sensitive information. The Air Force accounts for Top Secret material and disposes of such administrative records according to *WebRims Records Disposition Schedule*.

5.8.1.1. Establishing a Top Secret Control Account (TSCA). Unit commanders or equivalents, and staff agency chiefs who routinely originate, store, receive, or dispatch Top Secret material establish a Top Secret account and designate a Top Secret Control Officer (TSCO), with one or more alternates, to maintain it. The unit commander or staff agency chief will notify the installation ISPM of the establishment of TSCAs and the names of the TSCO. The TSCO uses AF Form 143, Top Secret Register Page, to account for each document (to include page changes and inserts that have not yet been incorporated into the basic document) and each piece of material or equipment to include IS media. NOTE: For IS information systems or microfiche media, TSCOs must either describe each Top Secret document stored on the media on the AF Form 143 or attach a list of the documents to it. This will facilitate a damage assessment if the media are lost or stolen. EXCEPTIONS:

5.8.1.1.1. (SCOTTAFB) Establishing a TSCA. The 375 AMW/IPI will be notified of all TSCA within the 375 AMW and applicable tenants. Unit commanders will designate, in writing, a primary TSCO with at least one alternate. Appointment memorandums will be sent to the 375 AMW/IPI, along with notifications of any designation changes.

5.8.1.1.1.1. Top Secret Messages. TSCOs do not use AF Form 143 for Top Secret messages kept in telecommunications facilities on a transitory basis for less than 30 days. Instead, use message delivery registers or other similar records of accountability.

5.8.1.1.1.2. Defense Courier Service (DCS) Receipts. TSCOs don't use AF Forms 143 as a receipt for information received from or delivered to the DCS. DCS receipts suffice for accountability purposes in these cases. Retain as prescribed by *WebRims*

*Records Disposition Schedule.* NOTE: TSCOs may automate their accounts as long as all of the required information is included in the information system.

5.8.1.2. Top Secret Disclosure Records.

5.8.1.2.1. The TSCO uses AF Form 144, **Top Secret Access Record and Cover Sheet**, as the disclosure record and keeps it attached to the applicable Top Secret material. Each person that accesses the attached Top Secret information signs the form prior to initial access.

5.8.1.2.2. People assigned to an office that processes large volumes (i.e., several hundred documents) of Top Secret material need not record who accesses the material. **NOTE:** This applies only when these offices limit entry to assigned and appropriately cleared personnel identified on an access roster.

5.8.1.3. Top Secret Inventories. Unit commanders or equivalents, and staff agency chiefs:

5.8.1.3.1. Designate officials to conduct annual inventories for all Top Secret material in the account and to conduct inventories whenever there is a change in TSCOs. These officials must be someone other than the TSCO or alternate TSCOs of the TSCA being inventoried. The purpose of the inventory is to ensure all of the Top Secret material is accounted for, discrepancies resolved, and its status is correctly reflected on the corresponding AF Form 143.

5.8.1.3.2. Ensure necessary actions are taken to correct deficiencies identified in the inventory report.

5.8.1.3.3. Ensure the inventory report and a record of corrective actions taken are maintained with the account.

5.8.1.3.4. May authorize the annual inventory of Top Secret documents and material in repositories, libraries, or activities storing large volumes of Top Secret documents and material be limited to a random sampling using the percentage scale indicated below. If account discrepancies are discovered the commander or equivalent, or staff agency chief must determine if the random sample percentage method will suffice or if a higher percentage inventory will be accomplished. If the higher percentage inventory is chosen, the inventory percentage will increase by no less than 20 percent.

5.8.1.3.4.1. One hundred percent, if there are fewer than 300 Top Secret documents.

5.8.1.3.4.2. No less than 90 percent if the holdings range from 301 to 400 Top Secret documents.

5.8.1.3.4.3. No less than 80 percent if the holdings range from 401 to 500 Top Secret documents.

5.8.1.3.4.4. No less than 70 percent if the holdings range from 501 to 600 Top Secret documents.

5.8.1.3.4.5. No less than 60 percent if the holdings range from 601 to 800 Top Secret documents.

5.8.1.3.4.6. No less than 50 percent if the holdings range from 801 to 1,000 Top Secret documents.

5.8.1.3.4.7. No less than 40 percent if the holdings range from 1,001 to 1,300 Top Secret documents.

5.8.1.3.4.8. No less than 30 percent if the holdings range from 1,301 to 1,800 Top Secret documents.

5.8.1.3.4.9. No less than 20 percent if the holdings range from 1,801 to 2,800 Top Secret documents.

5.8.1.3.4.10. No less than 10 percent if the holdings exceed 2,800 Top Secret documents.

5.8.1.4. Special Access Programs will follow the inventory and accountability requirements prescribed by the AFSAPCO.

5.8.1.5. Top Secret Receipts. TSCOs use AF Form 143 as a receipt when transferring Top Secret material from one TSCO to another on the same installation.

5.8.1.6. Top Secret Facsimiles. Top Secret facsimiles will be processed as another copy of the main Top Secret document in the TSCA. All the same rules apply except the register page and disclosure record will be faxed along with the document to the addressee. The addressee will sign and return them immediately to the sender for inclusion in the TSCA.

5.8.2. Secret. Unit commanders or equivalents, and staff agency chiefs set up procedures for internal control of Secret material. When entering Secret material into a mail distribution system, a receipt is required. Personnel may use AF Form 310, as a receipt.

5.8.3. Confidential. Individuals need not use a receipt for Confidential material unless asked to do so by the originating activity.

5.8.4. Foreign Government and NATO Information. See DOD 5200.1-R, C6.6., for receipting requirements.

5.8.5. Retention of Receipts. Retain receipt and other accountability records IAW *WebRims Records Disposition Schedule*.

### ***Section 5C—Safeguarding***

#### **5.9. Care During Working Hours.**

5.9.1. Personnel removing classified material from storage must:

5.9.1.1. For Top Secret material use AF Form 144, instead of SF Form 703, **Top Secret Cover Sheet** (see **paragraph 5.8.1.2.1**) except as specified in **paragraph 5.8.1.2.2** above. [*Reference DOD 5200.1-R, C6.3.2.1.*]

5.9.1.2. For Secret or Confidential material use SF Form 704, **Secret Cover Sheet**, or SF Form 705, **Confidential Cover Sheet**, as appropriate. These forms are available through the Air Force Publications Distribution system.

5.9.1.3. Use the SF Form 702, to record openings and closings for all General Services Administration (GSA)-approved security containers, vaults, and approved secure storage rooms.

5.9.1.4. **(Added-SCOTTAFB)** Ensure the door to the room where classified information will be processed remains closed. When working with classified information a sign indicating, "Classified Work In Progress" will be conspicuously posted outside the door.

5.9.2. The nature of the classified material typically stored within a secure room or vault may preclude the use of cover sheets. Use cover sheets when feasible.

**5.10. End-of-Day Security Checks.** Each unit and staff agency that processes, stores, or generates classified information will conduct an end-of-day security check to ensure classified material is stored appropriately. Personnel conducting these checks will do so at the close of each working day and record them on the SF Form 701, when security containers are present, even if the container was not opened that day. The "Checked By" column of the SF 702 does not require end-of-day documentation. Activities that are continuously staffed will establish local procedures to provide for daily security checks. Document those daily security checks on the SF 701. Note: Additional security and safety checks may be added in the blanks on the SF 701. All security containers will be listed on the SF 701 for end-of-day checks.

**5.10. (SCOTTAFB)End-of-Day Security Checks.** It is recommended each unit/staff agency chief implement a clean desk policy to aid in the accomplishment of the end-of-day check. The SF 701 will be conspicuously posted in the area of responsibility. The SF 702 will be located on top of the classified storage container. The SF 702 will be checked and annotated each duty day the container is opened.

5.10.1. **(Added-SCOTTAFB)** The SF 701 and the SF 702 shall be maintained for 3 months.

5.10.2. **(Added-SCOTTAFB)** Personnel authorized/assigned to conduct end-of-day check for each unit/staff agency will receive training/briefing by the security manager on the proper procedures.

5.10.2.1. **(Added-SCOTTAFB)** End-of-day checks should include desktops, file baskets, cabinet tops, trash containers, fax machines, etc., for the presence of classified materials. Check all reproduction machines and shredders. Check all stand-alone Emission Security (EMSEC) approved information systems, secure telephone units (STU-III/STE) and any secure data fax machines for proper storage of the crypto ignition keys.

5.10.3. **(Added-SCOTTAFB)** Before leaving the area, all employees should ensure all classified notes, carbon paper, typewriter ribbons, disks, rough drafts, and similar papers are placed in storage containers to assist in the end-of-day checks.

5.10.4. **(Added-SCOTTAFB)** If personnel discover unattended classified in an area not authorized for open storage, they should report it immediately to the unit/staff agency security manager. Secure the classified in a unit/staff agency safe or at Command Post until the next duty day. The security manager must contact the ISPM the next duty day to report the incident.

5.10.5. **(Added-SCOTTAFB)** For incidents involving COMSEC materials, immediately contact the COMSEC manager (375th Communications Squadron) for further guidance.

#### **5.11. Residential Storage Arrangements.**

5.11.1. SECAF and SAF/AA authorize the removal of Top Secret information from designated working areas. Requesters send requests through command IP channels to SAF/AAP [Reference DOD 5200.1-R, C6.3.7.1.]

5.11.2. MAJCOM/FOA/DRU commanders, or their ISPMs approve requests for removing Secret and Confidential material from designated work areas during non-duty hours [Reference DOD 5200.1-R, C6.3.7.2.]

5.11.3. Contingency Plans. The written procedures will be developed as required by DOD 5200.1-R, C6.3.7.3. to include arrangements for notifying the responsible activity to pick up the classified container and material in the event something happens to the user [Reference DOD 5200.1-R, C6.3.4.]

#### **5.12. In-Transit Storage.** Installation commanders:

5.12.1. Provide an overnight repository for classified material. A locally developed awareness program ensures operations dispatch, passenger services, base entry controllers, and billeting staff are aware of the availability.

5.12.1. **(SCOTTAFB)** The Senior Controller, Scott AFB Command Post, (375 AMW/CP), Bldg 470, is designated as the agency responsible for the temporary storage of classified material for transient personnel. This facility is available on a 24-hour basis and is approved to store up to and including Top Secret material. Material will be securely fastened so evidence of tampering can be easily detected. Packages will be double-sealed in opaque containers and marked with the courier's name, location of stay, and phone number. AF Form 310, Document Receipt and Destruction Certificate, must be accomplished when using the 375 AMW/CP for transient storage of classified.

5.12.2. Authorize the storage of Secret and Confidential material on the flightline during in-processing for deployment when the material is stored in a standard GSA-approved security container and the in-transit area is controlled and located on an Air Force installation.

#### **5.13. Classified Meetings and Conferences** [Reference DOD 5200.1-R, C6.3.8.]

5.13.1. Classified information at meetings, conferences, symposia, portions or sessions of meetings, conferences, etc., during which classified information is to be disseminated shall be limited to appropriately cleared U.S. Government or U.S. Government contractor locations. Auditoriums, assembly halls, or gymnasiums that are primarily for public gatherings at cleared contractor facilities will not be used for a classified meeting at which Top Secret or Secret information would be disclosed, even though it is located on a portion of the contractor's cleared facility [DOD 5220.22-R, Para C1.4.5.1].

5.13.1. **(SCOTTAFB)** The facility must afford adequate security against unauthorized access physically and against sound emissions. All attendees must have the appropriate security clearance and need to know of the information being discussed, as well as having signed an SF 312. Establish entry control and perimeter surveillance by posting personnel from the sponsoring activity in and around the room or facility as necessary. Personnel posted will have the appropriate security clearance and the need to know of the information

being discussed. Personnel posted will ensure the exterior of the facility or hallways surrounding the room are kept clear for the duration of the meeting. Security Forces is not responsible for this function, but may assist in the review of the unit security plans.

5.13.2. Facility Approval Authority. Installation commanders or their designees assess the need to establish and approve secure conference and classified training facilities. Normally, secure conference or classified training facilities are only established at locations where frequent classified meetings or forums occur. If such a facility does not openly store classified information, secure construction requirements are not mandated. However, if installation commanders or their designees determine the local threat and security environment dictates more stringent construction requirements, they can use DOD 5200.1-R, Appendix 7 as a guide for constructing the facility.

5.13.2. (SCOTTAFB) The ISPM has been designated to assess the need to set up and approve secure conference facilities within the 375 AMW, 932 AW, Air Force Network Integration Center (AFNIC), and Air Force Audit Agency.

5.13.3. Foreign Participation. Hosting officials refer to AFI 16-201, *Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations*, for specific guidance.

5.13.4. Technical Surveillance Countermeasures (TSCM) Surveys. Commanders or equivalents, and staff agency chiefs or their designees determine to do TSCM surveys based on mission sensitivity and threat. See AFI 71-101, Volume 3, *The Air Force Technical Surveillance Countermeasures Program* for additional guidance.

**5.14. Protecting Classified Material on Aircraft.** Classified material and components are routinely carried on USAF aircraft. The purpose of this paragraph is to provide minimum standards for the protection of classified material and components while minimizing the impact on aircrew operations. The following minimum standards are established to provide cost effective security of classified material and components and to ensure detection of unauthorized access.

5.14.1. Aircraft commanders (owners/users) are responsible for the protection of classified material and components aboard their aircraft whether on a DOD facility, at a civilian airfield, or when stopping in foreign countries IAW DOD 5200.1-R, paragraph C6.3.9. Aircraft commanders should consult with the local ISPM or senior security forces representative for assistance in complying with these requirements.

5.14.2. To provide security-in-depth for classified components and material on aircraft, park the aircraft in an established restricted area or equivalent if the aircraft is designated Protection Level (PL) 1, 2, or 3. Refer to AFI 31-101, Air Force Installation Security Program, for details about protection levels.

5.14.2.1. Lock the aircraft, when possible, using a GSA-approved changeable combination padlock (Federal Specification FF-P-110) series available from GSA at 800-525-8027, under NSN 5340-00-285-6523 to secure the crew entry door, and/or

5.14.2.2. Place all removable classified material (e.g., paper documents, floppy disks, videotapes) in a storage container secured with a GSA-approved lock. The storage container must be a seamless metal (or similar construction) box or one with welded

seams and a lockable hinged top secured to the aircraft. Hinges must be either internally mounted or welded. Containers installed for storage of weapons may also be used to store classified material even if weapons/ammunition are present, provided the criteria listed above have been met.

5.14.2.2.1. Have the aircraft and container checked for tampering every 12 hours. If unable to comply with the 12 hours due to crew rest, perform these checks no later than 1 hour after official end of crew rest.

5.14.2.2.2. Zeroize keyed COMSEC equipment as required by AFKAG-1N, *Air Force Communications Security (COMSEC) Operations*.

5.14.2.3. If the aircraft cannot be locked and is not equipped with a storage container, place the removable classified in an approved security container in an authorized U.S. facility. Classified components, attached to the aircraft, do not have to be removed.

5.14.3. To provide security-in-depth for classified components and material on PL 4 or non-PL aircraft, park the aircraft in a controlled area. PL 4 and non-PL aircraft should not be parked in a restricted area due to use of force limitations.

5.14.3.1. Lock the aircraft using a GSA-approved changeable combination padlock (Federal Specification FF-P-110) series available from GSA under NSN 5340-00-285-6523 to secure the crew entry door, and

5.14.3.2. Secure removable classified material IAW [paragraph 5.14.2.2](#) or [5.14.2.3](#)

5.14.4. At non-U.S. controlled locations, host nation restricted/controlled areas may be used only if all material and components aboard the aircraft have been approved for release to the host nation by a cognizant foreign disclosure authority. Material should be secured IAW [paragraph 5.14.2](#) for restricted areas and [paragraph 5.14.3](#) for controlled areas.

5.14.5. If the aircraft cannot be parked in a restricted/controlled area:

5.14.5.1. Place removable classified material in a storage container and secure the container as described in [paragraph 5.14.2.2](#). Lock all aircraft egress points or secure them from the inside. Seal the aircraft with tamper proof seals such as evidence tape, numerically accountable metal, or plastic seals.

5.14.5.2. If the aircraft can be locked and sealed but there is no storage container, remove all removable classified material and store it in an approved security container in an authorized U.S. facility. Classified components (e.g., AAR 47, ALE 47, etc.) may be stored in a locked and sealed aircraft.

5.14.5.3. If the aircraft cannot be locked and sealed and no storage container is available, off-load all classified material and components to an approved security container in an authorized U.S. facility.

5.14.5.4. If none of the above criteria can be met, U.S. cleared personnel must provide continuous surveillance. Foreign national personnel cleared by their government may be used if all material and components aboard the aircraft have been approved for release to the host nation by a cognizant foreign disclosure authority.

5.14.6. MAJCOM/FOA/DRUs determine specific risk management security standards for weather diverts and in-flight emergencies. Review AFKAG-1N if the classified information is COMSEC material.

5.14.7. If evidence exists of unauthorized entry, initiate a security investigation IAW **Chapter 9** of this AFI.

### **5.15. Information Processing Equipment.**

5.15.1. Machines with Copying Capability. For copiers and facsimile machines or any machines with copying capability (e.g., microfiche machines), personnel consult their unit information manager (3A0X1) to determine if the machines are authorized for copying classified, and if so, determine if they retain any latent images when copying classified, and how to clear them when they do. Networked copiers present unique security hazards that require DAA approval. Also see **paragraph 5.24** for reproduction authority [*Reference DOD 5200.1-R, C6.3.10.*]

5.15.1. (SCOTTAFB) The security manager will incorporate unit or staff agency certification procedures for classified information processing equipment into the unit's security OI.

5.15.2. Protect information system equipment or removable hard disk drive and the information system media at the highest security classification processed by the system [*Reference Air Force Special Security Instruction (AFSSI) 5020, paragraph 2.2.2.*]

5.15.3. For any type of printer with a ribbon that has been used to print classified information, personnel remove the ribbon and store it as classified. See DOD 5200.1-R, Chapter 6 for storage requirements.

5.15.4. Used toner cartridges may be treated, handled, stored, and disposed of as unclassified, when removed from equipment that has successfully completed its last print cycle.

5.15.5. (Added-SCOTTAFB) Cellular phones, cordless phones, and wireless microphones are not allowed in areas where classified information is discussed or processed without written approval from the DAA in consultation with the CSA Certified TEMPEST Technical Authority (CTTA).

5.15.5.1. (Added-SCOTTAFB) Wireless technologies (devices) used for storing, processing and/or transmitting information will not be operated in areas where classified information is electronically stored, processed or transmitted unless approved by the DAA in consultation with the CSA CTTA.

### **5.16. General Safeguarding Policy.** [*Reference DOD 5200.1-R, C6.4.*]

5.16.1. See DOD 5200.1-R, C1.4 and **paragraph 1.6** when requesting waivers to provisions of DOD 5200.1-R, AFPD 31-4, or this publication.

5.16.2. The Air Force does not authorize use of security controls listed in DOD 5200.1-R, paragraph C6.8. [*Reference DOD 5200.1-R, Paragraph C6.8.*]

5.16.3. Use of Force for the Protection of Classified Material. See AFI 31-207, *Arming and Use of Force By Air Force Personnel*.

5.16.4. SCI Safeguarding Policy. See Air Force Manual (AFMAN) 14-304, *The Security, Use, and Dissemination of Sensitive Compartmented Information (supersedes USAFINTEL 201-1.)*

5.16.5. Retention of Classified Records. Personnel follow the disposition guidance in *WebRims Records Disposition Schedule*.

**5.17. Standards for Storage Equipment.** GSA-approved security containers must have a label stating “General Services Administration Approved Security Container” affixed to the front of the container usually on the control or top drawer.

5.17.1. If the label is missing or if the container’s integrity is in question, the container shall be inspected by a GSA certified inspector.

5.17.1. (SCOTTAFB) The 375 AMW/IPI will provide contact information for GSA certified technicians who are authorized to recertify safes. Recertification and maintenance of all safes must be funded by the owning unit or staff agency. Lock combination changes are not to be accomplished by the locksmith. These changes must be done by the safe custodian or individual listed on the SF 700, Security Container Information.

5.17.2. Organizations without GSA certified inspectors must confirm that contractor inspectors have current GSA inspector training certificates prior to allowing them to determine the security integrity of GSA-approved containers.

5.17.3. Information on obtaining inspections and recertification of containers can be found in FED-STD -809A on the DoD lock program website at: ([https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac\\_ww\\_pp/navfac\\_nfesc\\_pp/locks](https://portal.navfac.navy.mil/portal/page/portal/navfac/navfac_ww_pp/navfac_nfesc_pp/locks)) or by calling DSN 312-551-1212.

5.17.4. Inspecting personnel must note their findings and the source of confirmation on an AFTO Form 36, (available on the AFEPL), and retain that record in the container [*Reference DOD 5200.1-R, C6.4.*]

5.17.5. (Added-SCOTTAFB) Storage containers for classified material will be numbered by functional address symbols (FAS) and by number (XX-1, XX-2, etc.). The security manager will maintain a list of all security containers by number, make, and model, exact location of container (building and room number), and the highest level of classified stored therein. A copy of the safe location letter will be provided to 375 AMW/IPI for inclusion in the unit Information Security Program File. Emergency plans will be posted on the outside of the classified storage containers. AFTO Form 36, *Maintenance Record for Security Type Equipment*, will be used for documentation of maintenance done by authorized technicians. AFTO Form 36 will not be used to record safe combination changes or in-house visual inspections of the safe. Inventory sheets are recommended for all levels of classified material being stored. Inventory sheets may be maintained electronically, if desired.

**5.18. Storage of Classified Information.** [*Reference DOD 5200.1-R, C6.4.*]

5.18.1. Replacement of Combination Locks. Commanders or equivalents, and staff agency chiefs must ensure all combination locks on GSA-approved security containers and doors are replaced with those meeting Federal Specification FF-L-2740 starting with those storing the most sensitive information according to the priority matrix in DOD 5200.1-R, Appendix 7.

5.18.2. Due to operational necessity or the size and nature of some classified materials, it may be necessary to construct secure rooms for storage because GSA-approved containers or vaults are unsuitable or impractical. Secure rooms must be approved by the ISPM and be constructed IAW DOD 5200.1-R Appendix 7. Access to secure rooms must be controlled to preclude unauthorized access. Access shall be limited to authorized persons who have an appropriate security clearance and a need-to-know for the classified material/information within the area. Persons without the appropriate level of clearance and/or need to know shall be escorted at all times by an authorized person where inadvertent or unauthorized exposure to classified information cannot otherwise be effectively prevented. The nature of the classified material typically stored within a secure room or vault may preclude the use of cover sheets.

5.18.3. **(Added-SCOTTAFB)** Storing Classified Material for Other Units or Staff Agencies. 375 AMW units or staff agencies may store classified material for other units or staff agencies when the volume of classified material or frequency of use does not justify maintaining a security container. Place the material in a sealed envelope or sealed container and mark the envelope or container on front and back with the highest classification of material held therein. The owning agency will provide the storing agency a memorandum listing names, organizational addresses, telephone numbers, and security clearances of personnel authorized access to the envelope or container. The owning agency will review the material quarterly. The reviewing official must date and sign a review sheet or log attesting the material is still required. Use an AF Form 614, *Charge Out Record*, when the material is temporarily removed. Establish procedures to ensure all classified material is returned to the storage container before the end-of-day check.

5.18.4. **(Added-SCOTTAFB)** Vaults and Secure Rooms. The structural standards identified in DOD 5200.1-R, *Appendix 7*, apply to the 375 AMW and tenant activities. A physical security survey will be conducted for all 375 AMW organizations requesting open storage of classified information. The survey will be conducted by a team with representatives from the Wing Information Security Office, Wing Resource Protection Office, Wing Information Assurance Office, and civil engineers, as applicable. The approval authority for open storage for the 375 AMW is the ISPM.

5.18.4.1. **(Added-SCOTTAFB)** Open Storage Certification and Approval. The following actions are necessary to obtain certification and approval to openly store classified materials in vaults or secure rooms. The unit or staff agency requiring the secure room or vault ensures that the following actions are accomplished:

5.18.4.1.1. **(Added-SCOTTAFB)** The ISPM and civil engineer will review all new constructions or structural modifications before construction or compensatory measures are included, to ensure the vault or secure room design meets physical security standards for Secret or Top Secret storage. A memorandum from the unit requesting an inspection will suffice. Once construction or modifications are complete, the ISPM and civil engineer will certify, in writing, if the facility does or does not meet physical security standards. The unit or staff agency submits a written plan or operating instruction outlining procedures for providing protection and positive entry control to the vault or secure room. The ISPM will certify the plan or OI ensures adequate safeguards for the protection of classified material. The plan is then forwarded to the 375 AMW/CC for final review/approval. If the facility meets

standards, no further action is required. Both the unit and the ISPM will keep a copy of the certification. Recertification is only required if physical/constructional changes are made to the area or storage requirements change. Post open storage certification/approval on the inside of the approved open storage area. **Note:** The definition of open storage is material that cannot be stored in a security container due to its bulk and/or the facility does not meet the criteria of a vault. Open storage certification will not be granted based on convenience alone.

5.18.4.1.1.1. **(Added-SCOTTAFB)** Recycle bins and containers should not be kept in open storage areas, due to the heightened risk of possible compromise and inadvertent disclosure of classified material. Procedures for recycling unclassified materials maintained in open storage areas should be developed and identified in unit OI. Material being recycled should be closely monitored to ensure classified material has not been commingled.

#### **5.19. Use of Key-Operated Locks** [Reference DOD 5200.1-R, C6.4.3.6.1.]

5.19.1. The authority to determine the appropriateness of using key-operated locks for storage areas containing bulky Secret and Confidential material is delegated to the unit commanders or equivalents, and staff agency chiefs having this storage requirement. When key-operated locks are used, the authorizing official will designate lock and key custodians.

5.19.2. Lock and key custodians use AF Form 2427, (available on the AFEPL) to identify and keep track of keys.

#### **5.20. Procurement of New Storage Equipment** [Reference DOD 5200.1-R, C6.4.5.]

**5.20. (SCOTTAFB)Procurement of New Storage Equipment.** New purchases of combination locks for GSA approved security containers, vault doors, and secure rooms will conform to Federal Specification FF-L-2740A. If they fail, they will be replaced with a lock meeting FF-L-2740A. All repairs and equipment for security containers must be funded by the owning unit or staff agency.

5.20.1. Requesters of exceptions send their requests through command IP channels to SAF/AAP who will then notify USD/I of the exception [Reference DOD 5200.1-R, C6.4.2.]

5.20.2. See AFMAN 23-110, Volume II, Standard Base Supply Customer's Procedures [Reference DOD 5200.1-R, C6.4.2.]

#### **5.21. Equipment Designations and Combinations.**

5.21.1. See AFMAN 14-304 for guidance on marking security containers used to store SCI [Reference DOD 5200.1-R, C6.4.1.]

5.21.2. Use SF Form 700, **Security Container Information** (available through the Air Force Publications Distribution system), for each vault or secure room door and security container, to record the location of the door or container, and the names, home addresses, and home telephone numbers of the individuals who are to be contacted if the door or container is found open and unattended. Applying classification marking to SF 700, Part 1, is not required when separated from Part 2 and 2a.

5.21.2.1. Affix the form to the vault or secure door or to the inside of the locking drawer of the security container. Post SF Form 700 to each individual locking drawer of security container with more than one locking drawer, if they have different access requirements.

5.21.2.2. The SF 700 contains Privacy Act information and must be safeguarded from casual view, but must be readily identifiable by anyone that finds the facility unsecured.

5.21.3. When SF Form 700, Part II, is used to record a safe combination, it must be:

5.21.3.1. Marked with the highest classification level of material stored in the security container; and,

5.21.3.2. Stored in a security container other than the one for which it is being used.

5.21.4. **(Added-SCOTTAFB)** Each time a combination is changed; safe custodians will perform a visual inspection of the classified security container. Custodians will check for worn or damaged parts, loose handles and other deficiencies that could degrade the protection standards of the container. A SF 700 will be re-accomplished each time a safe combination is changed. Part II of the SF 700 must be accomplished, properly marked, and appropriately stored in a separate security container or separately locking drawer.

## **5.22. Repair of Damaged Security Containers** [*Reference DOD 5200.1-R, C6.4.7.*]

5.22.1. Locksmiths or technicians must be GSA certified and either have a favorable NAC or must be continuously escorted while they are repairing security containers. See guidance for unescorted entry to restricted areas in AFI 31-501.

5.22.2. **(DELETED)**

5.22.3. Federal Standard 809, Neutralization and Repair Of GSA-approved Containers can be obtained from the NFESC, 1100 23rd Avenue, Code ESC66, Port Hueneme, California 93043-4370 or at: [http://locks.nfesc.navy.mil/pdf\\_files/fs809.pdf](http://locks.nfesc.navy.mil/pdf_files/fs809.pdf).

5.22.4. Locksmiths or technicians who open or repair GSA approved containers must document their actions on an AFTO Form 36 retained in the container.

**5.23. Maintenance and Operating Inspections.** Personnel will follow maintenance procedures for security containers provided in AFTO 00-20F-2, *Inspection and Preventive Maintenance Procedures for Security Type Equipment*. Commanders or equivalents and staff agency chiefs may authorize trained security managers and security container custodians to perform inspections and preventive maintenance on safes and vaults. Note: Training is conducted by locksmiths or other personnel who are qualified as to technical construction, operation, maintenance, and purpose of such security type equipment [*Reference DOD 5200.1-R, C6.4.7.*]

## **5.24. Reproduction of Classified Material.**

5.24.1. Unit commanders or equivalents, and staff agency chiefs designate equipment for reproducing classified material.

5.24.2. The DAA approves networked equipment used to reproduce classified information. Information managers (3A0X1) issue procedures for clearing copier equipment of latent images.

5.24.3. Security managers:

5.24.3.1. Should display procedures for clearing latent images of equipment used to copy classified material in a location clearly visible to anyone using the equipment;

5.24.3.1. (SCOTTAFB) Security managers will post SCOTTAFBVA 31-3, *Classified Reproduction Rules*, or a similar locally created visual aid, conspicuously on all equipment designated to reproduce classified information. SCOTTAFBVA 31-4, *Classified Reproduction Not Authorized*, or a similar locally created visual aid, will be posted conspicuously on all equipment not authorized to reproduce classified information.

5.24.3.2. Develop security procedures that ensure control of reproduction of classified material; and,

5.24.3.3. Ensure personnel understand their security responsibilities and follow procedures.

**5.25. Control Procedures.** Unit commanders or equivalents and staff agency chiefs designate people/ positions to exercise reproduction authority for classified material in their activities [Reference DOD 5200.1-R, C6.5.1.]

**5.26. Emergency Authority.** (See EO 12958, as amended, Section 4.2(b) and ISOO Directive No. 1, Section 2001.51.)

5.26.1. In emergency situations, in which there is an imminent threat to life or in defense of the homeland; Military Department or other DOD Component Agency, MAJCOM/FOA/DRU commanders may authorize the disclosure of classified information to an individual or individuals who are otherwise not routinely eligible for access under the following conditions:

5.26.1.1. Limit the amount of classified information disclosed to the absolute minimum to achieve the purpose;

5.26.1.2. Limit the number of individuals who receive it;

5.26.1.3. Transmit the classified information via approved federal government channels by the most secure and expeditious method according to DOD 5200.1-R, or other means deemed necessary when time is of the essence;

5.26.1.4. Provide instructions about what specific information is classified, how it should be safeguarded; physical custody of classified information must remain with an authorized federal government entity, in all but the most extraordinary circumstances;

5.26.1.5. Provide appropriate briefings to the recipients on their responsibilities not to disclose the information and obtain a signed NDA.

5.26.2. Within 72 hours of the disclosure of classified information, or the earliest opportunity that the emergency permits, but no later than 30 days after the release, the disclosing authority must notify the originating agency of the information and USD/I by providing the following information through ISPM channels;

5.26.2.1. A description of the disclosed information;

5.26.2.2. To whom the information was disclosed;

5.26.2.3. How the information was disclosed and transmitted;

- 5.26.2.4. Reason for the emergency release;
- 5.26.2.5. How the information is being safeguarded, and;
- 5.26.2.6. A description of the briefings provided and a copy of the signed NDA.

### ***Section 5D—Disposition and Destruction of Classified Material***

#### **5.27. Retention of Classified Records.**

- 5.27.1. Personnel follow the disposition guidance in *WebRims Records Disposition Schedule*.
- 5.27.2. Unit commanders or equivalents, and staff agency chiefs will designate a “clean-out day” once a year to ensure personnel are not retaining classified material longer than necessary [*Reference DOD 5200.1-R, C6.7.2.1.*]

#### **5.28. Disposition and Destruction of Classified Material** [*Reference DOD 5200.1-R, C6.7.2.*]

5.28.1. Shredders purchased from an approved product list that produces a crosscut shred size of ½” x 1/32” or smaller, may continue to be used for destruction of collateral information until 1 October 2008. Employ compensatory measures such as mixing unclassified material with the shredding and stirring of the shredded material. Replacement shredders for destruction of classified information must be purchased from the National Security Agency (NSA)-approved Equipment Product List. Obtain information on approved destruction devices from the NSA Information Assurance web site (<http://www.nsa.gov/ia/government/mdg.cfm>). Please note that this list is FOUO and is updated quarterly on the restricted NSA site.

5.28.1. (SCOTTAFB) Units or agencies on Scott AFB will provide their own means for destroying classified material. Classified shredders may be ordered through normal supply channels. Procurement of new shredders will be made from the current NSA Evaluated Products List of approved high crosscut paper shredders. SCOTTAFBVA 31-2, *Authorized For Destruction of Classified Material*, or a similar locally created visual aid, will be posted on all shredders approved to destroy classified information. SCOTTAFBVA 31-1, *Not Authorized For Destruction of Classified Material*, will be posted on all shredders not approved to destroy classified information.

#### 5.28.2. Records of Destruction Process.

##### 5.28.2.1. Top Secret. TSCOs will ensure:

- 5.28.2.1.1. Two people with Top Secret access are involved in the destruction process;
  - 5.28.2.1.2. Destruction is recorded on one of these forms: AF Form 143; AF Form 310; or, AF Form 1565, and,
  - 5.28.2.1.3. The destruction record is attached to the AF Form 143 (used to account for the document) when the destruction is not recorded on the AF Form 143 itself.
- 5.28.2.2. Secret and Confidential. A record of destruction is not required. A cleared person must perform the destruction.
- 5.28.2.3. FGI. See DOD 5200.1-R, C6.6, for destruction of FGI.

5.28.2.4. Destruction of Information System Media. Dispose of information system media according to AFSSI 5020, *Remanence Security*.

5.28.2.5. Disposition of Destruction Records. Dispose of destruction records according to *WebRims Records Disposition Schedule*.

5.28.3. Central Destruction Facility (CDF). The installation commander determines the need for a CDF to destroy classified information, who manages the CDF, and who funds for maintenance. Usually, the decision is based on the amount of classified that is destroyed at the installation and the cost of building and maintaining a CDF, versus purchasing and maintaining other authorized equipment for destruction within individual units.

## Chapter 6

### TRANSMISSION AND TRANSPORTATION

#### *Section 6A—Methods of Transmission or Transportation*

##### **6.1. General Policy.**

6.1.1. Hand carrying Classified Material During Temporary Duty (TDY) Travel. Hand carrying classified material during TDY poses a risk and should be done as a last resort in critical situations. Whenever possible, personnel will use standard secure methods for relaying the data, e.g., mail through secure channels or through approved secure electronic means. Authorizing officials must assess the risk before authorizing the hand carrying of classified material. Some factors to consider during the risk assessment process are:

6.1.1.1. The environment in which the material will be handcarried. Consider the chances of the material being confiscated by unauthorized personnel. The servicing AFOSI office should be able to assist in determining the risks associated with the environment.

6.1.1.2. The sensitivity of the information. Consider the damage it could cause the United States if the information was compromised.

6.1.1.3. The availability of authorized facilities for storing the classified during overnight layovers, at the TDY location, etc. Consider storing the material at a U.S. military installation or other government facility.

6.1.2. Laptop Computers are High Risk. Because of their commercial value, laptop computers are an especially high risk when used to transport classified information. When using laptops to handcarry classified information, couriers must ensure both laptop and disks are prepared according to [paragraph 6.6.3](#) In addition, as required for all classified material, couriers must take special care to ensure laptops and disks are kept under constant surveillance or in secure facilities/containers at all times.

6.1.3. Air Force Office of Primary Responsibility for Transmission and Transportation Policy. SAF/AAP establishes Air Force policy and procedures for transmission and transportation of classified information and material [Reference DOD 5200.1-R, *C7.1.1.1.*]

6.1.4. Transmitting Classified Material by Pneumatic Tube Systems. Installation commanders approve the use of pneumatic tube systems and ensure that the equipment and procedures provide adequate security [Reference DOD 5200.1-R, *C7.1.1.1.*]

6.1.5. Electronic Transmission and Physical Transportation of COMSEC Material. Personnel may acquire information on electronic transmission and physical transportation of COMSEC information and material from their supporting COMSEC manager. (Reference AFI 33-201, [AFI 33-211](#), [AFI33-275](#), and *DOD 5200.1-R, C7.1.1.2.*)

6.1.6. Releasing Other Agency Information Outside of the DoD. Personnel go direct to owners of other agency information to request permission to release the information outside the DoD [Reference DOD 5200.1-R, *C7.1.1.4.*]

6.1.7. **(Added-SCOTTAFB)** The Document Security Section (375 CS/SCOK) personnel are authorized to open the inner wrappers of classified items insufficiently addressed to Scott AFB agencies in order to determine direct distribution. **Exception:** Items addressed to the base COMSEC, 375 CS/SCPNC or CA6XXXXX will not be opened. Call (618) 256-9033 or DSN 576-9033 for pick up.

**6.2. Transmission and Transporting Top Secret Information.** [Reference DOD 5200.1-R, C7.1.2.]

6.2.1. Electronic Means. Obtain information about transmitting Top Secret information via electronic means from their Information Assurance office. See **paragraph 5.8** [Reference DOD 5200.1-R, C7.1.2.2.]

6.2.2. DOD Component Courier Service. The Air Force does not have its own courier service [Reference DOD 5200.1-R, C7.1.2.4.]

6.2.3. Department of State Diplomatic Courier Service. Personnel who need to transport classified material use the Department of State courier system when: [Reference DOD 5200.1-R C7.1.2.5.]

6.2.3.1. Transporting classified material through or within countries hostile to the United States or any foreign country that may inspect it.

6.2.3.2. Transporting Top Secret material to an installation serviced by diplomatic pouch. Personnel can find out if they are serviced by diplomatic pouch through their local military postal office.

**6.3. Transmitting and Transporting Secret Information.** [Reference DOD 5200.1-R, C7.1.3.]

6.3.1. Also see AFI 31-601 [Reference DOD 5200.1-R, C7.1.3.2.]

6.3.2. The Air Force authorizes the use of the current holder of the GSA contract for overnight delivery of Secret information in urgent cases and when the delivery is between DOD Components and their cleared contractor facilities within the United States and its Territories. This applies to locations in Alaska, Hawaii, and Puerto Rico when overnight delivery is possible. USD/I has already ensured the conditions cited in DOD 5200.1-R, paragraph C7.1.3.3, have been met [Reference DOD 5200.1-R, C7.1.3.3.]

6.3.2.1. The Defense Security Service maintains a list of authorized GSA contract overnight delivery services at [http://www.dss.mil/isec/approved\\_overnight.htm](http://www.dss.mil/isec/approved_overnight.htm).

6.3.2.2. The carriers identified on the DSS list may be used for urgent overnight delivery of Secret and Confidential material within the continental United States (CONUS) when overnight delivery cannot reasonably be accomplished by the U.S. Postal Service. However, classified COMSEC information may not be transmitted overnight. Controlled Cryptographic Information (CCI) that is unclassified may be shipped overnight.

6.3.2.3. Carrier personnel should not be notified that the package contains classified material.

6.3.2.4. Packages are typically shipped on Monday through Thursday only. This ensures that the package does not remain in the possession of the carrier service over a weekend. However, the security manager may approve shipment on other days providing the

receiver has appropriate procedures in place. These procedures must ensure that a cleared person will receive and sign for the package on Saturday, Sunday, or holidays, and that he or she is able to secure the package in approved storage. [DOD 4525.8-M.]

6.3.2.5. The sender is responsible for ensuring that an authorized person will be available to receive the delivery and for verification of the correct mailing address.

6.3.3. For more information on protective security service carriers see DOD 5220.22-R, *Industrial Security Regulation*, AFI 31-601, AFPD 24-2, *Preparation and Movement of Air Force Materiel*, and AFI 24-201, *Cargo Movement*. [Reference DOD 5200.1-R, C7.1.3.8.]

6.3.4. Electronic Means. Obtain information about transmitting Secret information via electronic means from the supporting Information Assurance office.

#### **6.4. Transmitting Confidential Information.** [Reference DOD 5200.1-R, C7.1.4.]

6.4.1. Since first class mail bearing the “Return Service Requested” notice is an option for transmitting Confidential material, recipients must protect it as Confidential material unless they determine the contents are unclassified. **EXCEPTION:** Official Mail Center (OMC) and Activity Distribution Offices (ADO) will comply with the provisions of *DOD 4525.8-M/AF Sup.*

6.4.1.1. The outer envelope or wrapper shall be endorsed with “Return Service Requested” instead of “POSTMASTER: Do Not Forward”.

#### **6.5. Transmission of Classified Material to Foreign Governments.** [Reference DOD 5200.1-R, C7.1.5.]

6.5.1. Also see AFI 31-601 and AFPD 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations* [Reference DOD 5200.1-R, C7.1.5.1.]

6.5.2. US classified material will not be shipped from a US industrial activity to a foreign entity [Reference DOD 5200.1-R, C7.1.5.1.]

### **Section 6B—Preparation of Material for Transmission**

#### **6.6. Envelopes or Containers.** [Reference DOD 5200.1-R, C7.2.]

6.6.1. For the purpose of this policy, an activity is a facility [Reference DOD 5200.1-R, C7.2.1.1.5.]

6.6.2. Receipts. See receipting requirements at [paragraph 5.8](#)

6.6.2.1. Senders trace unacknowledged receipts:

6.6.2.1.1. Within 30 days for material sent within CONUS.

6.6.2.1.2. Within 45 days for material sent outside CONUS.

6.6.2.2. The recipient must immediately date, sign, correct, and return the receipt to the sender.

6.6.2.3. If recipients do not return the receipt and confirm they have not received the material, the sending activity must initiate security incident procedures according to [Chapter 9](#) of this AFI.

6.6.3. Laptop Computer and Disk Preparation Requirements. Couriers must ensure that:

6.6.3.1. Laptops are password protected.

6.6.3.2. Laptops and disks are marked according to DOD 5200.1-R, paragraphs C5.4.8, C5.4.9, and C5.4.10.

6.6.3.3. Laptops and disks containing classified information are kept under constant surveillance or stored in secure containers/facilities.

6.6.3.4. Classified media or systems will be wrapped or secured within a container if outer classification markings are visible.

### ***Section 6C—Escort or Handcarrying of Classified Material***

#### **6.7. General Provisions** [Reference DOD 5200.1-R, C7.3.]

##### 6.7.1. Authorization [Reference DOD 5200.1-R, C7.3.1.1.]

6.7.1.1. The unit commander or equivalent, or staff agency chief authorizes appropriately cleared couriers to handcarry classified material on commercial flights. See DOD 5200.1-R, paragraph C7.3.1.2., for required documentation and this AFI, **paragraph 6.1.1**, for a cautionary statement regarding handcarrying classified material.

6.7.1.2. The unit commander or equivalent, staff agency chief, or security manager authorizes appropriately cleared couriers to handcarry classified material by means other than on commercial flights.

6.7.1.3. **(Added-SCOTTAFB)** Unit commanders/staff agency chiefs and security managers will report denial/revocation of clearance of personnel designated as classified messengers or document couriers. This provision includes all base personnel with the exception of United States Transportation Command (USTRANSCOM) and 126th Air Refueling Wing.

##### 6.7.2. Security managers or supervisors brief each authorized member handcarrying classified material [Reference DOD 5200.1-R, C7.3.1.2.]

6.7.2. **(SCOTTAFB)** All personnel authorized to hand-carry classified information will read and sign the 375 AMW Classified Material Courier Briefing at **Attachment 22**, (Section 9).

##### 6.7.3. Each Air Force activity or unit that releases classified material to personnel for handcarrying: [Reference DOD 5200.1-R, C7.3.1.1.]

6.7.3.1. Maintains a list of all classified material released.

6.7.3.2. Keeps the list until they confirm all the material reaches the recipient's activity or unit.

**6.8. Documentation.** Unit commanders or equivalents, staff agency chiefs, or security managers issue and control DD Form 2501 (Safeguard), **Courier Authorization** (available through the Air Force Publications Distribution system), for handcarrying classified material by means other than on commercial flights. This doesn't preclude the use of a courier authorization letter for infrequent courier situations. **EXCEPTION:** Documentation is not necessary when handcarrying classified information to activities within an installation (i.e., Air Force installation,

missile field, or leased facilities within the local commuting area). **NOTE:** Account for DD Form 2501 (Safeguard) as prescribed in AFI 33-360, Volume 2, Content Management Program-Information Management Tool (CMP-IMT) [Reference DOD 5200.1-R, C73.2.2.]

**6.8. (SCOTTAFB) Documentation.** For the purpose of this requirement, all units are under the purview of the 375 AMW/CC. The DD Form 2501 is not issued to individuals who hand-carry or escort classified material on the installation when they are not expected to pass through an inspection point. The DD Form 2501 is issued to individuals who hand-carry or escort classified material when they are expected to pass through an inspection point or leave the installation (this refers to the local Metro-East area only). If this applies, procedures should require storage of the DD Form 2501 within the authorizing activity's files during all periods when the authorized individual is off duty and not involved with the transportation or escort of classified material. Individuals who serve in an "on-call" capacity, such as a duty officer, may be considered on duty. The DD Form 2501 will be issued with a specific expiration date of not more than 1 year from the date of issue. Whenever the authorized individual is no longer assigned to or employed by the issuing organization, the respective DD Form 2501 is invalidated and retained in the issuing organization's file for an additional 2 years before destruction. Classified material hand-carried outside a facility must be in an envelope, folder or other closed container to prevent loss or observation of the classified material being hand-carried. An Optional Form 65-B, *Government Messenger Envelope*, is *not* considered a closed container. An appropriate classified cover sheet can be used when hand-carrying classified material between different units and agencies within the same building. **Note:** The authorization for hand-carrying or escorting classified material outside the local area consists of an approved courier letter and an exemption notice affixed to the package containing classified.

## Chapter 7

### SPECIAL ACCESS PROGRAMS (SAPS)

#### **7.1. Control and Administration** [*Reference DOD 5200.1-R, C8.1.3.3.*]

7.1.1. SAF/AAZ administers SAPs for the Air Force. See AFPD 16-7, *Special Access Programs*. **EXCEPTION:** HQ USAF/XOI controls SCI programs.

7.1.2. Contractor personnel associated with Special Access Programs (SAPs) administered under DOD 5220.22-M Sup 1 and AFI 16-701 may be nominated and approved by the cognizant Program Security Officer (PSO) to fulfill the roles and responsibilities of a security manager.

**7.2. Code Words and Nicknames.** Unit commanders or equivalents, and staff agency chiefs obtain code words and nicknames through channels from the servicing control point (normally, the MAJCOM/FOA/ DRU Information Management activity) [*Reference DOD 5200.1-R, C8.1.4.6.1*]

## Chapter 8

### SECURITY EDUCATION AND TRAINING

#### *Section 8A—Policy*

**8.1. General Policy.** Effective information security training is a cornerstone of the Air Force Information Security Program. All Air Force personnel need information security training whether they have access to classified information or not. All Air Force personnel are individually responsible for protecting the national interests of the United States. All security infractions and/or violations must be immediately reported, circumstances examined and those responsible held accountable and appropriate corrective action taken. Commanders or equivalents, and staff agency chiefs are responsible for ensuring that personnel are knowledgeable and understand their responsibility to protect information and resources deemed vital to national security.

**8.2. Methodology.** The Air Force will provide information security training to its personnel and contractors, as appropriate, on a continuous basis using government and commercial training sources. Various training methods will be used to administer training, such as classroom instruction, one-on-one, computer-based, and other distant learning training media. The Air Force will maintain a cadre of trained professional career security personnel and security managers to administer, implement, and measure the program's effectiveness. When funds and resources permit, professional security personnel and security managers should attend in-residence type training courses.

#### **8.3. Roles and Responsibilities.**

8.3.1. These roles and responsibilities are in addition to those listed in [paragraph 1.3](#)

8.3.2. SAF/AAP is responsible for coordinating development of Air Force specific information security training course materials and curriculums.

8.3.3. Commanders or equivalents, and staff agency chiefs are responsible for implementing the information security training program, developing supplemental training tools, and assessing the health of their programs on a continuous basis. In addition, they will:

8.3.3.1. Ensure appointed security managers receive training through the ISPM within 90 days of their assignment and that the training is annotated in the individual's official personnel file (OPF) or military training record.

8.3.3.1. (**SCOTTAFB**) The 375 AMW/IPI has been designated to conduct security manager training on behalf of the ISPM.

8.3.3.2. Budget for security awareness training products, materials, and the formal training of security managers.

8.3.3.3. Actively support and monitor security education training.

8.3.3.4. Ensure records are maintained on a calendar year basis of personnel attending initial, refresher and specialized information security training. As a minimum, these records must reflect the date(s) training was conducted and the name of personnel in attendance.

8.3.4. Supervisors will conduct and/or ensure personnel receive training as required by this instruction, document it when required, and ensure credit is given for course completion or briefing attendance, as appropriate.

8.3.5. ISPMs that oversee security managers are responsible for:

8.3.5.1. Developing and overseeing implementation of information security training programs.

8.3.5.2. Assessing the effectiveness of training programs as part of the annual ISPR (see [para 1.4.2](#)).

8.3.5.3. Developing and conducting classroom or one-on-one training for newly appointed security managers.

8.3.5.4. Developing and distributing generic information security training lesson plans, which cover the basic information security work-center components (information, personnel and industrial security programs) to include installation specific security requirements.

8.3.5.5. Assisting security managers in the development of unit specific lesson plans, motivational materials and training aids.

8.3.5.6. Publicly recognizing the training efforts of effective security managers.

8.3.5.6. **(SCOTTAFB)** Publicly recognizing the training efforts of effective security managers.

8.3.5.6.1. **(Added-SCOTTAFB)** The Chief, Information Protection will facilitate the 375 AMW Security Manager of the Year Recognition Program.

8.3.5.6.2. **(Added-SCOTTAFB)** The Security Manager of the Year Award is designed to recognize the accomplishments of unit security managers (military and civilian) in the performance of their duties supporting the unit and wing mission.

8.3.5.6.3. **(Added-SCOTTAFB)** Commanders and supervisors are encouraged to nominate security managers in recognition of their outstanding accomplishments aiding in unit readiness consistently throughout the year. Commanders and supervisors must be aware of all factions of the security manager program. Commander support and recognition is essential to the overall success of this recognition program. The 375 AMW/IP may nominate specific personnel for exemplary contributions of the program.

8.3.5.6.4. **(Added-SCOTTAFB)** Eligibility Criteria: All properly trained, military and civilian personnel, who have acted as Primary or Alternate Security Managers for a unit for a minimum of 6 months. Nominee must be assigned to the 375 AMW, AFNIC or the 932 AW or a 375 AMW tenet organization. All units not under direct over-site such as USTRANSCOM and AMC are not qualified under the provisions of this program. Nominee must not be under investigation, on probation, being the subject of an Unfavorable Information File, on a Control Roster, or currently being monitored under the AF Weight Management Program.

8.3.5.6.5. **(Added-SCOTTAFB)** Nomination must be prepared in memorandum format (see attachment) limited to no more than two pages.

8.3.5.6.6. **(Added-SCOTTAFB)** Award period is fiscal year with nominations submitted to 375 AMW/IP by 30 Sep each calendar year.

8.3.5.6.7. **(Added-SCOTTAFB)** A selection board consisting of the Chief, Information Protection, Information Security Specialist, and Personnel Security Specialist will review all submitted packages and make their recommendation to the Installation Security Program Manager (ISPM) for final determination.

8.3.5.6.8. **(Added-SCOTTAFB)** Each nominee will receive a certificate signed by the ISPM and the Chief, Information Protection Program recognizing their support of the Security Manager Program Management.

8.3.5.6.9. **(Added-SCOTTAFB)** The award winner will receive a certificate signed by the 375 AMW Commander and the ISPM during the first quarter Security Manager's Meeting by the chairman of the meeting or special guest.

8.3.5.7. Providing civilian employees who complete information security managers training with a certificate, which they can use to enter course completion into their training file.

8.3.5.8. Providing military members who complete information security managers training with a certificate, which they can use to enter course completion into their on-the-job training record or other official records, as appropriate.

8.3.5.8. **(SCOTTAFB)** All security managers who complete the 375 AMW Security Manager's training course will be provided with a Certificate of Training from the 375 AMW/IP office. Training must be documented in the individual's military or civilian training record and a copy of the certificate must be maintained in the Security Manager's Handbook.

8.3.5.9. If full-time contractor performance or services is required or anticipated to support the Information Security work center or a specific security discipline (information, personnel, or industrial), the ISPM will assure the following language is inserted into the statement of work (SOW). "The contractor will be required to participate in the government's in-house and web-based security training program under the terms of the contract. The government will provide the contractor with access to the on-line system."

8.3.5.10. When contractors require Information Security work center training, the ISPM must approve the contractor's enrollment in any web-based training course. In addition, the ISPM must notify, in writing, the 37 TRS/DORM Training Manager of this action, to include the contractor's name, SSAN, contract number, and contractor's cage code and contract performance location. The request may be Faxed to DSN 473-4150.

8.3.6. Security Managers are responsible for:

8.3.6.1. Ensuring security training is conducted as outlined in this AFI.

8.3.6.1. **(SCOTTAFB)** An annual training schedule will be developed and broken down into calendar quarters. A roster must be prepared and maintained in Section 9 of the Security Manager's Handbook showing the type and dates of training conducted and names of individuals trained.

8.3.6.2. Developing organizational specific security lesson plans, as necessary.

8.3.6.3. Advising the commander on the status of the unit's security training program.

8.3.6.4. Ensuring training is documented and records are properly maintained, if applicable.

8.3.6.5. Providing security management, awareness, and training to on-base contractor visitor groups integrated into the organization unless the mission, operational requirements, autonomous nature or other factors require them to establish and maintain their own security program under the NISPOM.

8.3.6.6. **(Added-SCOTTAFB)** Ensure the unit in-processing checklist has a section requiring all military, civilians, and contractors to in-process with the security manager. During in-processing, all personnel will receive an initial security education orientation. The level of the orientation will be cleared or unclassified, depending on the access level of the individual.

### *Section 8B—Initial Security Orientation*

#### **8.4. Cleared Personnel.**

8.4.1. Initial Training. Supervisors and security managers provide initial training to all cleared personnel. Supervisors are responsible for ensuring that their cleared personnel receive an initial security education orientation before they access classified information or within 90 days of assignment to the unit, whichever is shorter.

8.4.1.1. Initial training should ensure cleared personnel are knowledgeable of their security responsibilities as related to their jobs and the organization's mission. Note: Security manager records initial security training for cleared personnel in the appropriate JPAS "Indoctrinate Non-SCI Access" field. Document training of "Uncleared" personnel in local training records.

8.4.1.1.1. Indoctrinate to the investigation position code reflected in the Unit Manpower Document.

8.4.1.1.2. Verify that current eligibility meets or exceeds the access level.

8.4.1.1.3. Do not document indoctrination before the NdA execution has been recorded in JPAS.

8.4.1.2. The Air Force Information Security Training Standards establish initial information security training for cleared personnel, under column heading (C). **Note:** A standard lesson plan meeting the requirements of the training standard is available from the AFSFC web site that includes the NATO training prescribed below.

8.4.1.2.1. **(Added-SCOTTAFB)** All cleared personnel to include military, civilians, and contractors will receive initial security training before having access to classified information. See **Attachment 22** for example briefing and initial training checklist.

8.4.1.3. Due to the need for expeditious access to NATO classified information associated with ongoing operations and the Air Force's Aerospace Expeditionary Force (AEF) mission, all cleared military, civilian, and contractor personnel will receive a

NATO security briefing. This does not mean every cleared military, civilian, or contractor will be granted access to NATO classified information. The access determination will be made by the access granting authority IAW AFI31-406, paragraph 4.2. A written acknowledgement of the NATO training will be maintained. If the member has access to NATO, also record in JPAS.

8.4.1.3.1. (Added-SCOTTAFB) NATO training is now conducted annually on the Advanced Distributed Learning Service website <https://golearn.csd.disa.mil/kc/login/login.asp> for all military, civilian and contractor personnel and will be documented as part of the individual's initial training in accordance with AFI 31-406, *Applying North Atlantic Treaty Organization (NATO) Protection Standards*, paragraph 4.9 Additionally, NATO topics will be incorporated into the refresher training programs.

## 8.5. Uncleared Personnel.

8.5.1. Supervisors and security managers provide training to uncleared personnel. Supervisors are responsible for ensuring that all uncleared personnel receive an initial security education orientation within 90 days of assignment to the unit.

8.5.1.1. Initial orientation training must ensure that uncleared personnel are knowledgeable of their responsibilities and roles in the Air Force Information Security Program.

8.5.1.2. The Air Force Information Security Program Training Standards establish initial security education orientation training for uncleared personnel. **NOTE:** A standard lesson plan meeting the requirements of the training standard is available from the AFSFC web site: <https://www.mil.lackland.af.mil/afsf/> that includes the initial NATO training required of all uncleared personnel.

8.5.1.2.1. (Added-SCOTTAFB) All uncleared personnel to include military, civilians and contractors will receive initial security training within 90 days of assignment to the unit.

8.5.2. Initial training for uncleared personnel will be documented locally.

## *Section 8C—Special Requirements*

**8.6. Original Classification Authorities (OCAs).** IPOs are responsible for administering specialized training to OCAs IAW DOD 5200.1-R. Training must be conducted prior to OCA authority being exercised. Personnel who propose, prepare, develop, or facilitate original classification decision actions for OCAs will be trained in original and derivative classification, marking, and preparation of security classification guidance. SAF/AAP has developed training standards for OCA training which can be found on the Information Protection Community of Practice (CoP) at: <https://wwwd.my.af.mil/afknprod/ASPs/CoP/OpenCoP.asp?Filter=OO-SF-AF-10>. This specialized training is in addition to the other information security training also available on this CoP.

**8.7. Derivative Classifiers, Security Personnel, and Others.** Security managers are responsible for administering information security training to all personnel IAW DOD 5200.1-R.

The training standards can be found on the Information Protection Community of Practice (CoP) at: <https://wwwd.my.af.mil/afknprod/ASPs/CoP/OpenCoP.asp?Filter=OO-SF-AF-10>.

**8.8. Restricted Data (RD)/Formerly Restricted Data (FRD).** Within the DOD, an RD management official shall be appointed in each agency. SAF/AA is appointed the Air Force Management Official.

### *Section 8D—Continuing Security Education/Refresher Training*

**8.9. Continuing and Refresher Training.** Commanders or equivalents, and staff agency chiefs ensure that each person receives continuing training throughout their duty assignment.

8.9.1. All personnel will receive Continuing Security Education/Refresher Training annually IAW the Air Force Information Security Training Standards.

8.9.1. **(SCOTTAFB)** All 375 AMW military, civilian, and contractor personnel, regardless of access level, will receive quarterly refresher training. At a minimum, quarterly security education and motivation training will cover the topics outlined in the annual security awareness training plan located at **Attachment 9** (Section 8). Training topics will be selected as applicable for unit and mission requirements.

8.9.1.1. **(Added-SCOTTAFB)** An annual security training plan will be developed by the unit security manager and maintained in Section 9 of the Security Manager's Handbook. See **Attachment 22** (Section 8) for an example training plan. The security manager will tailor the plan to meet mission needs. **8.10.1.6** The SCI SSO for Scott AFB personnel is the USTRANCOM SSO.

8.9.2. Personnel performing specialized Classified National Security Information Program related functions, such as classification, declassification and derivative classification actions and security personnel, etc., will receive refresher training commensurate with their knowledge and proficiency in performing required tasks and the dissemination of new policy guidance.

8.9.3. Tailor training to mission needs.

8.9.4. Continuing Security Education/Refresher Training must include ensuring individuals have the most current security guidance applicable to their responsibilities. The annual Air Force Total Force Awareness Training (TFAT) Information Protection block of instruction is mandatory for all Air Force personnel, and meets the general security awareness required. Additional training relating to job requirements (functional, program, security clearances, etc.), or assignments (NATO, PCS, etc.) will be required.

8.9.5. Other related material to be considered include a general overview of the unclassified controlled information (**Attachment 2**), foreign disclosure, security and policy review processes and protection requirements.

### *Section 8E—Access Briefings and Termination Debriefings*

**8.10. Access Briefings.**

8.10.1. Supervisors, security managers or designated officials conduct and document the following access briefings, as appropriate. The exception is **para 8.10.1.6** All documentation of SCI indoctrinations, debriefs, and NdAs are maintained only within the SSO.

8.10.1.1. Brief and execute the SF 312, prior to granting individual access to classified information. The SF 312 may also be used to document attestations. Both SF 312 completion and attestations will be recorded in JPAS [*Reference AFI 31-401, **paragraph 5.3***]

8.10.1.2. Brief and execute the DD Form 2501 (Safeguard), Courier Authorization, as necessary, when an individual is authorized to escort or handcarry classified information. [*Reference AFI 31-401, **paragraph 6.8***]

8.10.1.3. Brief and execute the AF Form 2583, Request for Personnel Security Action, prior to granting an individual access to NATO classified information [*Reference AFI 31-406, **paragraph 4.9.***]

8.10.1.4. Brief and execute the AF Form 2583, Request for Personnel Security Action, prior to granting an individual access to Critical Nuclear Weapons Design Information (CNWDI). [*Reference AFI 31-401, **paragraph 1.5.1.3.***]

8.10.1.5. Brief and execute the AF Form 2583, Request for Personnel Security Action, prior to granting an individual access to SIOP-ESI. [*Reference AFI 10-1102, **Safeguarding the Single Integrated Operational Plan (SIOP), paragraph 7.1.***]

8.10.1.6. The special security officer conducts the SCI indoctrination (in brief) prior to granting personnel access to SCI. The indoctrination is recorded in the DD Form 1847, Sensitive Compartmented Information Indoctrination Memorandum. The DD Form 1847-1, Sensitive Compartmented Information Nondisclosure Statement, is also executed at this time [*Reference DOD 5105.21-M-1, **Chapter 2***]

8.10.2. JPAS will also be used to record NATO, CNWDI, and SIOP-ESI access authorizations.

## **8.11. Termination Debriefings.**

8.11.1. Supervisors, security managers or designated officials conduct and document the following termination debriefings, as appropriate:

8.11.1.1. Debrief individuals having access to classified information or security clearance eligibility when they terminate civilian employment, separate from the military service, have their access suspended, terminated, or have their clearance revoked or denied.

8.11.1.2. Use AF Form 2587, *Security Termination Statement*, to document the debriefing.

8.11.1.3. The debriefing must emphasize to individuals their continued responsibility to:

8.11.1.3.1. Protect classified and unclassified controlled information (**Attachment 2**) to which they have had access.

8.11.1.3.2. Report any unauthorized attempts to gain access to such information.

8.11.1.3.3. Adhere to the prohibition against retaining material upon departure.

8.11.1.3.4. Potential civil and criminal penalties for failure to fulfill their continuing security responsibilities.

8.11.2. For NATO access termination debriefing, see AFI 31-406, paragraph 4.10.

8.11.3. Commanders or equivalents, and staff agency chiefs ensure personnel accessed to SCI receive a termination debriefing from the Special Security Officer when access is no longer required, is suspended, or is revoked.

8.11.4. For SIOP-ESI termination briefing, see AFI 10-1102.

8.11.5. Dispose of AF Form 2587 according to *WebRims Records Disposition Schedule*.

8.11.5. (SCOTTAFB) The security manager will retain the original AF Form 2587 in the Security Manager's Handbook, Section 7 and provide a copy to the member. This form is destroyed after 2 years.

8.11.6. Update JPAS to reflect termination of accesses.

8.11.6. (SCOTTAFB) The debrief date and reason will be entered into JPAS by the security manager.

**8.12. Refusal to Sign a Termination Statement.** When an individual willfully refuses to execute AF Form 2587, the supervisor, in the presence of a witness:

8.12.1. Debriefs the individual orally.

8.12.2. Records the fact that the individual refused to execute the termination statement and was orally debriefed.

8.12.3. Ensures the individual no longer has access to classified information.

8.12.4. Forwards the AF Form 2587 to the servicing ISPM for SIF processing according to AFI31-501.

### ***Section 8F—Program Oversight***

#### **8.13. General.**

8.13.1. Commanders or equivalents, and staff agency chiefs are responsible for ensuring systems are set up to determine training requirements, develop training, and evaluate effectiveness of the training.

8.13.2. ISPMs will make security education and training a special interest item during annual ISPRs.

8.13.3. Commanders or equivalents, and staff agency chiefs will ensure that their security education and training program is given close scrutiny during inspections, self-inspections and SAVs.

8.13.4. Personnel that have program oversight responsibilities should use a combination of approaches to assess the effectiveness of the security education program, such as, observations, quizzes, surveys, face-to-face interviews, practical demonstrations, etc.

### ***Section 8G—Coordinating Requests for Formal Training***

**8.14. Coordinating Requests for Training.**

8.14.1. Commanders or equivalents, and staff agency chiefs will ensure that requests for formal training are coordinated through unit, installation and MAJCOM training channels.

8.14.2. **(DELETED)**

## Chapter 9

### ACTUAL OR POTENTIAL COMPROMISE OF CLASSIFIED INFORMATION

#### 9.1. Policy. [Reference DOD 5200.1-R, C10.]

9.1.1. It is Air Force policy that security incidents will be thoroughly investigated to minimize any possible damage to national security. The investigation will identify appropriate corrective actions that will be immediately implemented to prevent future security incidents. Further, if the security incident leads to the actual or potential compromise of classified information, a damage assessment will be conducted to judge the effect that the compromise has on national security.

9.1.2. Suspected instances of unauthorized public disclosure of classified information shall be reported promptly and investigated to determine the nature and circumstances of the suspected disclosure, the extent of the damage to national security, and the corrective and disciplinary action to be taken [DODD 5210.50, Para 4.]

#### 9.2. Definitions.

9.2.1. Security incidents as used in this AFI pertain to any security violation or infraction as defined in EO 12958, as amended. Security incidents may be categorized as:

9.2.1.1. Security Violation. Any knowing, willful or negligent action:

9.2.1.1.1. That could reasonably be expected to result in an unauthorized disclosure of classified information.

9.2.1.1.2. To classify or continue the classification of information contrary to the requirements of this order or its implementing directives.

9.2.1.1.3. To create or continue a SAP contrary to the requirements of EO 12958, as amended.

9.2.1.2. Security Infraction. Any knowing, willful or negligent action contrary to the requirements of EO 12958, as amended that is not a security violation.

9.2.2. A compromise of classified information occurs when unauthorized individuals have had access to the classified information. Unauthorized individuals include those individuals with the appropriate security clearance but do not have a valid need-to-know.

9.2.3. A potential compromise of classified information is when an investigating official concludes that a compromise of classified information has more than likely occurred as a result of a security incident.

**9.3. Information System (IS) Deviations.** Coordinate all security deviations involving information systems with the local ISPM and the supporting information assurance office to begin an evaluation on the impact of the incident to national security and the organization's operations. If COMSEC material is involved, refer to AFI 33-212, *Reporting COMSEC Deviations* (will be incorporated in AFI 33-201, Volume 3, *COMSEC User Requirements*)).

**9.4. Sensitive Compartmented Information (SCI) Incidents.** Safeguard all SCI material and report incidents involving SCI to the Special Security Officer.

**9.5. Special Access Program (SAP) Incidents** Report security incidents involving DOD SAP materiel through local SAP channels to the Director, Special Programs OUSD(P).

**9.6. Classification.**

9.6.1. Classify security incident notices, appointment of inquiry official memorandums, and security incident reports at the same level of classification as the information compromised if they contain classified information or if they provide sufficient information that would enable unauthorized individuals to access the classified information in an unsecured environment. In the latter case, the documentation must remain classified until the information has been retrieved and appropriately safeguarded. Do not classify memorandums and reports pertaining to security incidents that have occurred in the information system environment when the system has been appropriately purged and the correspondence does not contain other classified information.

9.6.1.1. Classify security incident notices, memorandums, and reports according to the classified source from which they are derived. Refer to DOD 5200.1-R, Chapter 3.

9.6.1.2. Mark security incident notices, memorandums, and reports using derivative classification procedures. Refer to DOD 5200.1-R, Chapter 5.

9.6.2. All security incident reports will, as a minimum, be marked "For Official Use Only." Refer to DOD Regulation 5400.7/Air Force Supplement, *Freedom of Information Act Program*.

**9.7. Public Release.** Security incident reports cannot be released into the public domain until they have undergone a security review [*Reference AFI 35-101, Chapter 15.*] Unauthorized disclosure of classified information to the public must be processed IAW DODD 5210.50.

**9.8. Reporting and Notifications.**

9.8.1. Personnel who learn of a security incident must immediately report it to their commander or equivalent, supervisor, or security manager who will in-turn report the incident to the servicing ISPM by the end of the first duty day.

9.8.1. (SCOTTAFB) All security incidents dealing with classified material for the wing units must be reported within the first duty day to 375 AMW/IPI, (618) 256-1783 or DSN 576-1783. In cases of improper transmission of classified material, the sending activity is responsible for conducting the preliminary inquiry.

9.8.2. After assigning a case number beginning with calendar year, base, and sequential number for tracking purposes, the ISPM will:

9.8.2. (SCOTTAFB) The 375 AMW/IPI will assign a case number to each reported security incident.

9.8.2.1. Coordinate with the organization security manager to ensure the commander or equivalent, or staff agency chief has been briefed on the incident. The ISPM will brief the commander or equivalent, or staff agency chief if the security manager is unable to do so or when the incident is reported directly to the ISPM.

9.8.2.2. Report compromises/potential compromises for the following incidents through command IP channels to SAF/AAP:

9.8.2.2.1. Classified in the public media.

9.8.2.2.2. Foreign intelligence agencies.

9.8.2.2.3. Criminal activity.

9.8.2.2.4. NATO classified information.

9.8.2.2.5. FGI.

9.8.2.2.6. RD or FRD.

9.8.2.2.7. Disclosure to foreign nationals.

9.8.2.3. Notify the local AFOSI when the circumstances involve criminal activity or foreign intelligence agencies.

9.8.2.4. Notify SAF/AAZ through the appropriate SAP channels when the compromise involves special access information.

9.8.3. The appointing authority will notify the OCA, or the originator when the OCA is not known, when it is determined there is a compromise, potential compromise, or loss of classified information. Refer to [paragraph 9.6.1](#) of this AFI for security classification marking requirements.

**9.9. Preliminary Inquiry.** An informal inquiry to determine if classified information has been lost or compromised so that a damage assessment can be completed and the appropriate corrective action can be taken.

9.9.1. The commander or equivalent, or staff agency chief of the activity responsible for the security incident will appoint an inquiry official to conduct a preliminary inquiry. See [Attachment 5](#) for a sample appointment memorandum. Refer to [paragraph 9.6.1](#) of this AFI for appointment memorandum classification requirements. The guidelines for selection of the inquiry/investigative official are found in [paragraph 9.11.2](#).

9.9.1. (**SCOTTAFB**) The commander or staff agency chief of the activity responsible for the security incident will appoint a preliminary inquiry official within 2 duty days from the date the incident was discovered. Security managers will not be appointed as preliminary inquiry officials since they are not a disinterested party.

9.9.1.1. When security incidents occur because of unauthorized transmission of classified material, the sending activity appoints the inquiry official and conducts the inquiry.

9.9.1.2. Inquiry officials will coordinate their actions with the servicing ISPM and the staff judge advocate's office.

9.9.1.2. (**SCOTTAFB**) The inquiry official is responsible for obtaining a responsibility briefing from 375 AMW/IPI and a legal briefing from the Staff Judge Advocate (375 AMW/JA) prior to initiating the preliminary inquiry.

9.9.2. The preliminary inquiry will determine if classified material was compromised, the extent of the compromise, and the circumstances surrounding the compromise.

9.9.3. A preliminary inquiry report will be completed using the sample report format at [Attachment 6](#) and submitted to the appointing official through the ISPM. The ISPM will

provide their concurrence/ non concurrence with the report and forward it to the appointing official for action. Refer to **paragraph 9.6** of this AFI for report classification requirements.

9.9.3.1. **(Added-SCOTTAFB)** The appointing authority will make the final determination to close the investigation or make the determination to proceed with a formal investigation. The final report with the request closure letter will be forwarded to 375 AMW/IPI for file.

9.9.4. The report from the preliminary inquiry will be sufficient to resolve the security incident if:

9.9.4.1. The inquiry determines that loss or compromise of classified information has not occurred.

9.9.4.2. The inquiry determines that loss or compromise of classified information has occurred, but there is no indication of significant security weakness.

9.9.4.3. The appointing official determines that no additional information will be obtained by conducting a formal investigation.

9.9.5. If the report from the preliminary inquiry is not sufficient to resolve the security incident, the appointing authority initiates a formal investigation. The preliminary inquiry report will become part of any formal investigation. If the inquiry is closed out as a compromise or potential compromise the appointing authority notifies the OCA to perform a damage assessment.

9.9.6. If the inquiry reveals suspected unauthorized disclosure to the public notify SAF/AAP through IP channels [DODD5210.50, Para 5.2.1.]. Classify security incident notices, memorandums, and reports according to the classified source from which they are derived. Refer to DOD 5200.1-R, Chapter 3. Specifically address:

9.9.6.1. When, where, and how the incident occurred.

9.9.6.2. Was classified information compromised?

9.9.6.3. If compromise occurred, what specific classified information and/or material was involved?

9.9.6.4. If classified information is alleged to have been lost, what steps were taken to locate the material?

9.9.6.5. In what specific media article or program did the classified information appear?

9.9.6.6. To what extent was the compromised information disseminated?

9.9.6.7. Was the information properly classified?

9.9.6.8. Was the information officially released?

9.9.6.9. Are there any leads to be investigated that might lead to the identification of the person responsible for the compromise?

9.9.6.10. Will further inquiry increase the damage caused by the compromise?

9.9.7. Submit a completed Department of Justice (DoJ) Media leak Questionnaire, available from <https://wwwmil.lackland.af.mil/afsf/> through ISPM channels to USD(I), who will

coordinate with DOD General Counsel to determine whether a referral to the DoJ for prosecution is warranted.

#### **9.10. Damage Assessment.**

9.10.1. A damage assessment is an analysis to determine the effect of a compromise of classified information on the national security. It will be initiated by the OCA upon notification of a potential or actual compromise to verify and reevaluate the information involved. Damage assessment reports will be classified and marked according to the classification guidance provided on the information being addressed in the reports.

9.10.2. The OCA must:

9.10.2.1. Verify the classification and duration of classification initially assigned to the information. If the OCA determines the information should be declassified, the reporting activity will be notified.

9.10.2.2. Set up damage assessment controls and procedures.

9.10.2.3. Provide a copy of the damage assessment to the inquiry or investigating official.

#### **9.11. Formal Investigation.**

9.11.1. A formal investigation is a detailed examination of evidence to determine the extent and seriousness of the compromise of classified information. The formal investigation will fix responsibility for any disregard (deliberate or inadvertent) of governing directives which led to the security incident.

9.11.2. The commander or equivalent, or staff agency chief of the activity responsible for the security incident, will appoint an investigative official to conduct an investigation.

9.11.2.1. The appointment letter provides authority to conduct an investigation, swear witnesses, and examine/copy documents, files and other data relevant to the inquiry.

9.11.2.2. The investigative official is the personal representative of the Appointing Authority and/ or the Commander. The investigative official must be impartial, unbiased, objective, thorough, and available.

9.11.2.3. The investigative official must be a commissioned officer, senior NCO (E-7 and above), or a civil service employee equivalent (GS-9 and above).

9.11.2.4. The investigation will be the investigative official's only duty (unless the Appointing Authority determines otherwise) until the report is completed and approved by the Appointing Authority.

9.11.2.5. Appointing Authorities will not appoint an investigative official who is retiring, separating, or being reassigned within 180 days.

9.11.3. The formal investigation will include the preliminary inquiry if one has been conducted.

#### **9.12. Management and Oversight.**

9.12.1. The inquiry/investigative official will route the completed report through the servicing ISPM for review before forwarding it to the appointing authority.

9.12.2. The appointing authority will:

9.12.2.1. Close the inquiry/investigation unless MAJCOM/FOA/DRU directives indicate otherwise.

9.12.2.2. Determine if administrative or disciplinary action is appropriate. See AFI 31-501, Chapter 8 and applicable military and civilian personnel publications.

9.12.2.3. Debrief anyone who has had unauthorized access, using AF Form 2587.

9.12.2.4. Forward a copy of the completed report to the ISPM identifying corrective actions taken.

9.12.2.5. Dispose of the report according to the instructions in *WebRims Records Disposition Schedule*.

9.12.2.5. (SCOTTAFB) 375 AMW/IPI will maintain all security incident reports. Incidents involving classified information other than NATO will be destroyed after 2 years. Incidents involving NATO classified information will be destroyed after 3 years.

9.12.3. The ISPM will:

9.12.3.1. Provide technical guidance and review of preliminary inquiry and formal investigation reports.

9.12.3.2. Monitor the status of security incidents.

9.12.4. Inquiry/investigative officials must complete inquiry/investigations within 30 duty days from appointment.

9.12.4. (SCOTTAFB) If the report will not be completed in 30 duty days, the investigative official will request an extension, in writing, from 375 AMW/IPI.

**9.13. Unauthorized Absences.** Report all unauthorized absences to the ISPM and appropriate AFOSI detachment [Reference DOD 5200.1-R, C10.1.9.]

**9.14. Prescribed Forms.** These forms are prescribed throughout this AFI and are available through the Air Force Publications Distribution system:

AF Form 143, *Top Secret Register Page*

AF Form 144, *Top Secret Access Record and Cover Sheet*

AF Form 310, *Document Receipt and Destruction Certificate*

AF Form 349, *Receipt for Documents Released to Accredited Representatives of Foreign Nations*

AF Form 1565, *Entry, Receipt, and Destruction Certificate*

AF Form 2427, *Lock and Key Control Register*

AF Form 2587, *Security Termination Statement; Air Force Technical Order Form (AFTO) 36, Maintenance Record for Security Type Equipment*

SF 311, *Agency Security Classification Management Program Data*

SF 312, *Classified Information Nondisclosure Agreement*

SF 700, *Security Container Information*

SF 701, *Activity Security Checklist*

SF 702, *Security Container Check Sheet*

SF 703, *Top Secret Cover Sheet*

SF7 04, *Secret Cover Sheet*

SF 705, *Confidential Cover Sheet*

SF706, *Top Secret Label*

SF 707, *Secret Label*

SF 708, *Confidential Label*

DD Form 1847, *Sensitive Compartmented Information Indoctrination Memorandum*

DD Form 1847-1, *Sensitive Compartmented Information Nondisclosure Statement*

DD Form 1848, *Sensitive Compartmented Information Debriefing Memorandum*

DD Form 2024, *DOD Security Classification Guide Data Elements*

DD Form 2501 (*Safeguard*), *Courier Authorization*

DoE Form 5631.20, *Request for Visit or Access Approval*

Forms adopted are AF 349, AF 2587, 2427, and AFTO 36

**9.15. (Added-SCOTTAFB) Adopted Forms/IMT's:** Optional Form 65-B, *Government Messenger Envelope*, AF Form 614, *Charge Out Record*, AF Form 2583, *Request for Personnel Security Action*

CARROL H. CHANDLER, Lt. Gen, USAF  
Deputy Chief of Staff Air & Space Operations

**(SCOTTAFB)**

MICHAEL J. HORNITSCHEK, Colonel, USAF  
Commander

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

Executive Order 12958, as amended. *Classified National Security Information*

Executive Order 12829, *National Industrial Security Program*

ISOO Directive Number 1, *Classified National Security Information*

10 C.F.R. 1045.1 Subpart A, *Program Management of the Restricted Data and Formerly Restricted Data Classification System*

DCID 6/6, *Security Controls on the Dissemination of Intelligence Information*

DCID 6/7, *Intelligence Disclosure Policy*

DOD 4000.25-8-M, *Military Assistance Program Address Directory System*

DOD 4528.8-M, *DOD Official Mail Manual*

DODD 5100.55, *United States Security Authority for North Atlantic Treaty Organization Affairs*

DODD 5210.50, *Unauthorized Disclosure of Classified Information to the Public*

DOD 5200.1-H, *DOD Handbook for Writing Security Classification Guidance*

DOD 5200.1-R, *Information Security Program*

DOD 5200.1-PH, *DOD Guide to Marking Classified Documents*

DOD 5200.1-PH-1, *Classified Information Nondisclosure Agreement (Standard Form 312)*

DODD 5210.2, *Access to and Dissemination of Restricted Data*

DODD 5210.83, *Unclassified Controlled Nuclear Information (UCNI)*

DODD 5230.24, *Distribution Statements on Technical Documents*

DOD 5220.22-M, *National Industrial Security Program Operating Manual*

DOD 5220.22-R, *Industrial Security Regulation*

DODI 5240.11, *Damage Assessments*

DOD 5400.7-R/Air Force Supplement, *DOD Freedom of Information Act Program*

DODD 8100.2, *Use of Commercial Wireless Devices, Services, and Technologies in the Department of Defense (DOD) Global Information Grid (GIG).]*

Naval Facilities Engineering Service Center Technical Data Sheet, TDS-2000-SHR, *Neutralizing "Locked-Out" Security Containers* (Available from [DOD Lock Program](#) website.)

AFI 14-302, *Control, Protection, and Dissemination of Sensitive Compartmented Information*

AFMAN 14-304, *The Security, Use, and Dissemination of Sensitive Compartmented Information*, (FOUO)

AFPD 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations*

*AFI 16-201, Air Force Foreign Disclosure and Technology Transfer Program*  
*AFPD 16-7, Special Access Programs AFI 16-701, Special Access Programs AFMAN 23-110, USAF Supply Manual*  
*AFPD 24-2, Preparation and Movement of Air Force Materiel*  
*AFI 24-201, Cargo Movement*  
*AFI 31-101, Air Force Installation Security Program*  
*AFI 31-207, Arming and Use of Force by Air Force Personnel*  
*AFPD 31-4, Information Security*  
*AFI 31-501, Personnel Security Program Management*  
*AFI 31-601, Industrial Security Program Management*  
*AFPD 33-2, Information Protection (will be Information Assurance)*  
*AFI 33-201, Volume 1, Communications Security (COMSEC) AFI 33-201, Volume 2, COMSEC User Requirements*  
*AFI 33-202 Volume 1, Network and Computer Security*  
*AFI 33-204, Information Assurance (IA) Awareness, Program*  
*AFI 33-211, Communications Security (COMSEC) User Requirements (will be incorporated in AFI 33-201 V2, COMSEC Users Requirements)*  
*AFI 33-212, Reporting COMSEC Deviations (will be incorporated in AFI 33-201 V2, COMSEC Users Requirements)*  
*AFI 33-275, Controlled Cryptographic Items (CCI ) (will be incorporated in AFI 33-201 V1)*  
*AFI 33-360, Air Force Privacy Act Program*  
*AFI 35-101, Public Affairs Policies and Procedures*  
*AFI 36-1001, Managing the Civilian Performance Program*  
*AFMAN 36-2108, Enlisted Classification*  
*AFPD 36-22, Air Force Military Training*  
*AFI 36-2201, Volume 1, Training, Development, Delivery, and Evaluation*  
*AFI 36-2907, Unfavorable Information File (UIF) Program*  
*AFMAN 36-505, Skill Coding*  
*AFI 36-704, Discipline and Adverse Actions*  
*AFI 36-2406, Officer and Enlisted Evaluation Systems*  
*AFMAN 37-138, Records Disposition – Procedures and Responsibilities*  
*AFI 51-301, Civil Litigation*  
*AFI 61-204, Disseminating Scientific and Technical Information*

*AFI 61-205, Sponsoring or Cosponsoring, Conducting, and Presenting DOD Related Scientific Technical Papers at Unclassified and Classified Conferences, Symposia, and Other Similar Meetings*

*AFI 65-401, Relations with the General Accounting Office*

*AFI 71-101, Volume I, Criminal Investigations*

*AFI 90-301, Inspector General Complaints Resolution*

*AFI 90-401, Air Force Relations with Congress*

*AFKAG-1N, Air Force Communications Security (COMSEC) Operations*

*AFTO 00-20F-2, Inspection and Preventive Maintenance Procedures for Security Type Equipment*

*AFSSI 5020, Remanence Security (will be incorporated in forthcoming AFI 33-202 V3, Network Security Program)*

*WebRims Records Disposition Schedule*

### ***Abbreviations and Acronyms***

**ADO**—Activity Distribution Offices

**ADP**—Automatic Data Processing

**AEF**—Aerospace Expeditionary Force

**AF**—Air Force

**AFCAF**—Air Force Central Adjudication Facility

**AFDO**—Air Force Declassification Office

**AFI**—Air Force Instruction

**AFMAN**—Air Force Manual

**AFOSI**—Air Force Office of Special Investigations

**AFPD**—Air Force Policy Directive

**AFPDL**—Air Force Publishing Distribution Library **AFSSI**—Air Force Special Security Instruction

**AFSSI**—Air Force Special Security Instruction

**AFTO**—Air Force Technical Order

**ANACI**—Access National Agency Check with Inquiry

**AIS**—Automated Information System

**BITC**—Base Information Transfer Center

**CCI**—Controlled Cryptographic Information

**CDF**—Central Destruction Facility

**CNWDI**—Critical Nuclear Weapon Design Information

**COMSEC**—Communications Security  
**CONUS**—Continental United States  
**CSA**—Cognizant Security Authority  
**DAA**—Designated Approving Authority  
**DCID**—Director Central Intelligence Directive  
**DCII**—Defense Clearance and Investigations Index  
**DCS**—Defense Courier Service  
**DD**—Department of Defense (Used for DOD Forms)  
**DIA**—Defense Intelligence Agency  
**DEA**—Drug Enforcement Administration  
**DOD**—Department of Defense  
**DODD**—Department of Defense Directive  
**DODI**—Department of Defense Instruction  
**DODSI**—Department of Defense Security Institute (Now DSSA)  
**DoE**—Department of Energy  
**DRU**—Direct Reporting Unit  
**DSS**—Defense Security Service (Formerly DIS and DODSI)  
**DSSA**—Defense Security Service Academy  
**DTIC**—Defense Technical Information Center  
**EES**—Enlisted Evaluation System  
**EO**—Executive Order  
**FGI**—Foreign Government Information  
**FMS**—Foreign Military Sales  
**FOA**—Field Operating Agency  
**FOIA**—Freedom of Information Act  
**FOUO**—For Official Use Only  
**FRD**—Formerly Restricted Data  
**GAO**—Government Accountability Office  
**GILS**—Government Information Locator System  
**GPO**—Government Printing Office  
**GSA**—General Services Administration  
**HAF**—Headquarters Air Force

**IDS**—Intrusion Detection System

**IG**—Inspector General

**IMT**—Information Management Tool

**INTELINK**—Intelligence Link

**IO**—Investigating Officer

**ISCAP**—Interagency Security Classification Appeals Panel

**ISO**—International Organization for Standardization

**ISOO**—Information Security Oversight Office

**ISPM**—Information Security Program Manager

**ISPR**—Information Security Program Review

**JPAS**—Joint Personnel Adjudication System

**LFC**—local files check

**MAJCOM**—Major Command

**MDR**—Mandatory Declassification Review

**MIS**—Management Information System

**NAC**—National Agency Check

**NACLC**—National Agency Check, Local Agency Check, Credit Check

**NARA**—National Archives and Records Administration

**NATO**—North Atlantic Treaty Organization

**NCR**—National Capital Region

**NdA**—Nondisclosure Agreement

**NFESC**—Naval Facilities Engineering Services Center

**NGA**—National Geospatial-Intelligence Agency

**NIMA**—National Imagery and Mapping Agency

**NIPRNET**—Non-Secure Internet Protocol Router Network

**NISPOM**—National Industrial Security Program Operating Manual

**NOFORN**—Not Releasable to Foreign Nationals

**NSA**—National Security Agency

**NSN**—National Stock Number

**OADR**—Originating Agency's Determination Required

**OCA**—Original Classification Authority

**OMB**—Office of Management and Budget

**OMC**—Official Mail Center  
**OPF**—official personnel file  
**ORCON**—Originator Control  
**PA**—Privacy Act  
**PCS**—permanent change of station  
**PKI**—Public Key Infrastructure  
**PL**—Protection Level  
**POC**—point of contact  
**RCS**—Report Control Symbol  
**RD**—Restricted Data  
**REL TO**—Release To  
**SAF**—Secretary of the Air Force  
**SAP**—Special Access Program  
**SAV**—staff assistance visit  
**SBU**—Sensitive But Unclassified  
**SCG**—Security Classification Guide  
**SCI**—Sensitive Compartmented Information  
**SCIF**—Sensitive Compartmented Information Facilities  
**SEI**—Special Experience Identifier  
**SF**—standard form  
**SIF**—security information file  
**SIOP**—ESI—Single Integrated Operational Plan-Extremely Sensitive Information  
**SIPRNET**—Secret Internet Protocol Router Network  
**SOIC**—Senior Official of the Intelligence Community  
**SSO**—Special Security Office  
**TDS**—technical data sheet  
**TDY**—temporary duty  
**TSCA**—Top Secret Control Account  
**TSCM**—Technical Surveillance Countermeasures  
**TSCO**—Top Secret Control Officer  
**UCNI**—Unclassified Controlled Nuclear Information  
**URL**—uniform resource locator

**VAL**—visit authorization letter

**VGSA**—visitor group security agreement

### *Terms*

**Access**—the ability or opportunity to gain knowledge of classified information.

**Agency**—any “Executive agency,” as defined in 5 U.S.C. 105; any “Military department” as defined in 5 U.S.C. 102; and any other entity within the executive branch that comes into the possession of classified information.

**Automated Information System (AIS)**—Any telecommunications and/or computer- related equipment or interconnected system or subsystems of equipment used in the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of voice, and/or data, including software, firmware, and hardware. The entire infrastructure, organization, and components that collect, process, store, transmit, display, disseminate, and act on information. (JP 1-02).

**Automatic Declassification**—the declassification of information based solely upon (1) the occurrence of a specific date or event as determined by the OCA; or (2) the expiration of a maximum time frame for duration of classification established under EO 12958, as amended.

**Classification**—the determination that official information requires, in the interests of national security, a specific degree of protection against unauthorized disclosure, coupled with a designation signifying that such a determination has been made.

**Classification/Declassification Guide**—a documentary form of classification/declassification guidance issued by an OCA that identifies the elements of information regarding a specific subject that must be classified and establishes the level and duration of classification for each such element.

**Classification Guidance**—any instruction or source that prescribes the classification of specific information.

**Classified National Security Information or Classified Information**—official information that has been determined to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.

**Confidential Source**—any individual or organization that has provided, or that may reasonably be expected to provide, information to the United States on matters pertaining to the national security with the expectation that the information or relationship, or both, are to be held in confidence.

**Damage to The National Security**—harm to the national defense or foreign relations of the United States from the unauthorized disclosure of information, taking into consideration such aspects of the information as the sensitivity, value, utility, and provenance of that information.

**Declassification**—the determination that, in the interests of national security, classified information no longer requires any degree of protection against unauthorized disclosure, coupled with removal or cancellation of the classification designation.

**Declassification Authority**—the official who authorized the original classification, if that official is still serving in the same position; the originator's current successor in function; a

supervisory official of either; or officials delegated declassification authority in writing by the agency head or the senior agency official.

**Derivative Classification**—the incorporating, paraphrasing, restating, or generating in new form information that is already classified, and marking the newly developed material consistent with the classification markings that apply to the source information. Derivative classification includes the classification of information based on classification guidance. The duplication or reproduction of existing classified information is not derivative classification.

**Direct Reporting Unit (DRU)**—A DRU has a specialized and restricted mission, and is directly subordinate to the Chief of Staff, United States Air Force or to his representative at HAF.

**Document**—any recorded information, regardless of the nature of the medium or the method or circumstances of recording.

**Downgrading**—a determination by a declassification authority that information classified and safeguarded at a specified level shall be classified and safeguarded at a lower level.

**Field Operating Agency (FOA)**—A subdivision of the Air Force, directly subordinate to a HQ USAF functional manager. FOAs perform field activities beyond the scope of any of the major commands. Their activities are specialized or associated with an Air Force wide mission.

**File Series**—file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access or use.

**Foreign Government Information (FGI)**—(1) information provided to the United States Government by a foreign government or governments, an international organization of governments, or any element thereof, with the expectation that the information, the source of the information, or both, are to be held in confidence; (2) information produced by the United States Government pursuant to or as a result of a joint arrangement with a foreign government or governments, or an international organization of governments, or any element thereof, requiring that the information, the arrangement, or both, are to be held in confidence; or (3) information received and treated as —foreign government information|| under the terms of a predecessor order.

**Formerly Restricted Data (FRD)**—defined by the Atomic Energy Act as classified information which has been removed from the RD category after DoE and the DOD have jointly determined that it relates primarily to the military utilization of atomic weapons, and can be adequately safeguarded as national security information.

**Information**—any knowledge that can be communicated or documentary material, regardless of its physical form or characteristics, which is owned by, produced by or for, or is under the control of the United States Government. —Control|| means the authority of the agency that originates information, or its successor in function, to regulate access to the information.

**Information System (IS)**—1. Any telecommunications and/or computer-related equipment or interconnected system or subsystems of equipment used in the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of voice, and/or data, including software, firmware, and hardware. (**NOTE:** This includes automated information systems). 2. (DOD) The entire infrastructure, organization, and

components that collect, process, store, transmit, display, disseminate, and act on information. (JP 1-02).

**Infraction**—any knowing, willful, or negligent action contrary to the requirements of this order or its implementing directives that does not constitute a —violation,|| as defined below.

**Integral File Block**—a distinct component of a file series, as defined in this section, which should be maintained as a separate unit in order to ensure the integrity of the records. An integral file block may consist of a set of records covering either a specific topic or a range of time such as presidential administration or a 5-year retirement schedule within a specific file series that is retired from active use as a group.

**Integrity**—the state that exists when information is unchanged from its source and has not been accidentally or intentionally modified, altered, or destroyed.

**Mandatory Declassification Review (MDR)**—the review for declassification of classified information in response to a request for declassification.

**Multiple Sources**—two or more source documents, classification guides, or a combination of both.

**National Security**—the national defense or foreign relations of the United States.

**Need—To-Know**—a determination made by an authorized holder of classified information that a prospective recipient requires access to specific classified information in order to perform or assist in a lawful and authorized governmental function.

**Network**—a system of two or more computers that can exchange data or information.

**Original Classification**—an initial determination that information requires, in the interest of the national security, protection against unauthorized disclosure.

**Original Classification Authority (OCA)**—an individual authorized in writing, either by the President, the Vice President in the performance of executive duties, or by agency heads or other officials designated by the President, to classify information in the first instance.

**Records**—the records of an agency and Presidential papers or Presidential records, as those terms are defined in title 44, United States Code, including those created or maintained by a government contractor, licensee, certificate holder, or grantee that are subject to the sponsoring agency's control under the terms of the contract, license, certificate, or grant.

**Records Having Permanent Historical Value**—Presidential papers or Presidential records and the records of an agency that the Archivist has determined should be maintained permanently IAW Title 44, United States Code.

**Records Management**—the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

**Restricted Data (RD)**—defined by the Atomic Energy Act as all data concerning design, manufacture, or utilization of atomic weapons, production of special nuclear material, and use of Special Nuclear Material in the production of energy.

**Safeguarding**—measures and controls that are prescribed to protect classified information.

**Self—Inspection**—the internal review and evaluation of individual agency activities and the agency as a whole with respect to the implementation of the program established under this order and its implementing directives.

**Sensitive But Unclassified (SBU) Information**—information originated within the Department of State that warrants a degree of protection and administrative control and meets the criteria for exemption from mandatory public disclosure under FOIA.

**Source Document**—an existing document that contains classified information that is incorporated, paraphrased, restated, or generated in new form into a new document.

**Special Access Program (SAP)**—a program established for a specific class of classified information that imposes safeguarding and access requirements that exceed those normally required for information at the same classification level.

**Staff Agency Chief**—For the purpose of this instruction, staff agency chiefs are those individuals serving in 2-digit positions reporting to the commander or vice commander above the Wing level, and 2 and 3 digit positions at HAF.

**Systematic Declassification Review**—the review for declassification of classified information contained in records that have been determined by the Archivist to have permanent historical value IAW title 44, United States Code.

**Telecommunications**—the preparation, transmission, or communication of information by electronic means.

**Unauthorized Disclosure**—a communication or physical transfer of classified information to an unauthorized recipient.

**Violation**—(1) any knowing, willful, or negligent action that could reasonably be expected to result in an unauthorized disclosure of classified information; (2) any knowing, willful, or negligent action to classify or continue the classification of information contrary to the requirements of this order or its implementing directives; or (3) any knowing, willful, or negligent action to create or continue a SAP contrary to the requirements of this order.

**Attachment 1 (SCOTTAFB)****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFI 31-401, *Information Security Program Management*

AFI 31-406, *Applying North Atlantic Treaty Organization (NATO)*

AFI 33-332, *Privacy Act Program*

Scott AFB Visual Aid 31-1, *Not Authorized For Destruction of Classified Material*

Scott AFB Visual Aid 31-2, *Authorized For Destruction of Classified Material*

Scott AFB Visual Aid 31-3, *Classified Reproduction Rules*

Scott AFB Visual Aid 31-4, *Classified Reproduction Not Authorized*

***Abbreviations and Acronyms***

**AFB**—Air Force Base

**AFRIMS**—Air Force Records Information Management System

**AFCA**—Air Force Communications Agency

**AMC**—Air Mobility Command

**AW**—Airlift Wing

**CC**—Commander

**CP**—Command post

**CS**—Communications Squadron

**CTTA**—Certified TEMPEST Technical Authority

**DPC**—Civilian Personnel Office

**EMSEC**—Emission Security

**FAS**—Functional Address Symbols

**HQ**—Headquarters

**JCAVS**—Joint Clearance Access Verification System

**MOF**—Manpower Office Civilian

**MSG**—Mission Support Group

**MSS**—Mission Support Squadron

**OI**—Operating Instruction

**OPR**—Office of Responsibility

**PSI**—Personnel Security Investigation

**PSM NET**—Personnel Security Management Net

**S5**—Plans and Programs Flight

**S5I**—Information Security Office

**SAR**—Special Access Requirement

**SCBA**—Document Security Section

**SFS**—Security Force Squadron

**SORTS**—Status of Resources and Training System

**USTRANSCOM**—Transportation Command

**TSCA**—Top Secret Control Account

**UMD**—Unit Manning Document

**UMPR**—Unit Manpower Roster

## Attachment 2

### CONTROLLED UNCLASSIFIED INFORMATION

**A2.1. For Official Use Only (FOUO).** FOUO is a designation that is applied to unclassified information that is exempt from automatic release to the public under FOIA. See DOD 5400.7-R/AF Supplement for further guidance [Ref: DOD 5200.1-R, Appendix 3, Para AP3.2.]

#### A2.1.1. Access to FOUO Information.

A2.1.1.1. No person may have access to information designated as FOUO unless that person has been determined to have a valid need for such access in connection with the accomplishment of a lawful and authorized Government purpose.

A2.1.1.2. The final responsibility for determining whether an individual has a valid need for access to information designated as FOUO rests with the individual who has authorized possession, knowledge or control of the information and not on the prospective recipient.

A2.1.1.3. Information designated as FOUO may be disseminated within the DOD Components and between officials of DOD Components and DOD contractors, consultants, and grantees to conduct official business for the DOD, provided that dissemination is not further controlled by a Distribution Statement.

A2.1.1.4. DOD holders of information designated as FOUO are authorized to convey such information to officials in other Departments and Agencies of the Executive and Judicial Branches to fulfill a government function. If the information is covered by the Privacy Act, disclosure is only authorized if the requirements of AFI 33-332, Air Force Privacy Program, are satisfied.

A2.1.1.5. Release of FOUO information to Congress is governed by AFI 90-401, *Air Force Relations With Congress*. If the Privacy Act covers the information, disclosure is authorized if the requirements of DOD 5400.11-R are also satisfied.

A2.1.1.6. DOD Directive 7650.01, *General Accounting Office (GAO) and Comptroller General Access to Records*, governs release of FOUO information to the Government Accountability Office (GAO). If the Privacy Act covers the information, disclosure is authorized if the requirements of DOD 5400.11-R are also satisfied.

#### A2.1.2. Protection of FOUO Information.

A2.1.2.1. During working hours, reasonable steps shall be taken to minimize risk of access by unauthorized personnel. After working hours, store FOUO information in unlocked containers, desks or cabinets if Government or Government-contract building security is provided. If such building security is not provided, store the information in locked desks, file cabinets, bookcases, locked rooms, etc.

A2.1.2.2. FOUO information and material may be transmitted via first class mail, parcel post or, for bulk shipments, via fourth-class mail. Electronic transmission of FOUO information, e.g., voice, data or facsimile, e-mail, shall be by approved secure communications systems or systems utilizing access controls such as Public Key Infrastructure (PKI), whenever practical.

A2.1.2.3. FOUO information may only be posted to DOD Web sites consistent with security and access requirements specified in Deputy Secretary of Defense Memorandum, dated 25 November 1998, Subject: —*Web Site Administration*|| .

A2.1.2.4. Record copies of FOUO documents shall be disposed of according to the Federal Records Act and the DOD Component records management directives. Non-record FOUO documents may be destroyed by any of the means approved for the destruction of classified information, or by any other means that would make it difficult to recognize or reconstruct the information.

A2.1.3. Unauthorized Disclosure. The unauthorized disclosure of FOUO does not constitute an unauthorized disclosure of DOD information classified for security purposes. However, appropriate administrative action shall be taken to fix responsibility for unauthorized disclosure of FOUO whenever feasible, and appropriate disciplinary action shall be taken against those responsible. Unauthorized disclosure of FOUO information that is protected by the Privacy Act may also result in civil and criminal sanctions against responsible persons. The Military Department or other DOD Component that originated the FOUO information shall be informed of its unauthorized disclosure.

## **A2.2. FOR OFFICIAL USE ONLY Law Enforcement Sensitive.**

A2.2.1. Law Enforcement Sensitive is a marking sometimes applied, in addition to/conjunction with the marking FOR OFFICIAL USE ONLY, by the Department of Justice and other activities in the law enforcement community. It is intended to denote that the information was compiled for law enforcement purposes and should be afforded appropriate security in order to protect certain legitimate government interests, including the protection of: enforcement proceedings; the right of a person to a fair trial or an impartial adjudication; grand jury information; personal privacy including records about individuals requiring protection under the Privacy Act; the identity of a confidential source, including a State, Local, or foreign agency or authority or any private institution which furnished information on a confidential basis; information furnished by a confidential source; proprietary information; techniques and procedures for law enforcement investigations or prosecutions; guidelines for law enforcement investigations when disclosure of such guidelines could reasonably be expected to risk circumvention of the law, or jeopardize the life or physical safety of any individual, including the lives and safety of law enforcement personnel.

### **A2.2.2. Markings.**

A2.2.2.1. In unclassified documents containing Law Enforcement Sensitive information, the words “Law Enforcement Sensitive” shall accompany the words “FOR OFFICIAL USE ONLY” at the top and bottom of the front cover (if there is one), the title page (if there is one), and the outside of the back cover (if there is one).

A2.2.2.2. In unclassified documents, each page containing FOR OFFICIAL USE ONLY Law Enforcement Sensitive information shall be marked “FOR OFFICIAL USE ONLY Law Enforcement Sensitive” at the top and bottom. Classified documents containing such information shall be marked as required by Chapter 5, DOD 5200.1-R except that pages containing Law Enforcement Sensitive information but no classified information will be marked “FOR OFFICIAL USE ONLY Law Enforcement Sensitive” top and bottom.

A2.2.2.3. Portions of DOD classified or unclassified documents that contain FOR OFFICIAL USE ONLY Law Enforcement Sensitive information shall be marked —(FOUO-LES)|| at the beginning of the portion. This applies to classified, as well as to unclassified documents. If a portion of a classified document contains both classified and FOR OFFICIAL USE ONLY Law Enforcement Sensitive information, the appropriate classification designation is sufficient to protect the information.

A2.2.3. Access to FOR OFFICIAL USE ONLY Law Enforcement Sensitive. The criteria for allowing access to FOR OFFICIAL USE ONLY Law Enforcement Sensitive are the same as those used for FOUO information, except that if the information also bears the marking “Originator Control” or “ORCON” the information may not be disseminated beyond the original distribution without the approval of the originating office.

A2.2.4. Protection of FOR OFFICIAL USE ONLY Law Enforcement Sensitive. Within the DOD, FOR OFFICIAL USE ONLY Law Enforcement Sensitive shall be protected as required for FOUO information.

**A2.3. Sensitive But Unclassified (SBU) Information.** SBU information is information originated within the Department of State that warrants a degree of protection and administrative control and meets the criteria for exemption from mandatory public disclosure under FOIA. When SBU information is included in DOD documents, it shall be marked as if the information were FOUO [Ref: DOD 5200.1-R, Appendix 3, Para AP3.3.]

**A2.4. Protection of Drug Enforcement Administration (DEA) Sensitive Information.** Unclassified information that is originated by the DEA and requires protection against unauthorized disclosure to protect sources and methods of investigative activity, evidence, and the integrity of pretrial investigative reports [Reference DOD 5200.1-R, Appendix 3, Para AP3.4.]

**A2.5. Unclassified Controlled Nuclear Information (UCNI).** Unclassified information on security measures (including security plans, procedures and equipment) for the physical protection of Special Nuclear Material equipment or facilities [Reference DOD 5200.1-R, Appendix 3, Para AP3.5.]

A2.5.1. The Director of Information Protection (SAF/AAP) has primary responsibility within the Air Force for the implementation of DODD 5210.83, *Department of Defense Unclassified Controlled Nuclear Information* (DOD UCNI).

A2.5.2. The following positions have been designated UCNI Officials within the Air Force:

A2.5.2.1. HAF staff agency chiefs.

A2.5.2.2. MAJCOM/FOA/DRU commanders, Chiefs of IP.

A2.5.2.3. Installation commanders and equivalent commander positions, Chiefs of IP.

A2.5.2.4. **(DELETED)**

A2.5.3. UCNI Officials’ Responsibilities:

A2.5.3.1. Identify information meeting definition of UCNI.

A2.5.3.2. Determine criteria for access to UCNI and approve special access requests.

A2.5.3.3. Approve or deny the release of UCNI information.

A2.5.3.4. Ensure all UCNI information is properly marked, safeguarded, transmitted, and destroyed properly. Transmission of UCNI on the NIPRNet may only occur when the material is encrypted and digitally signed and the recipient has a “.mil” or “.gov” address extension.

A2.5.3.5. Document decisions and report them through their command IP channels to SAF/AAP. RCS Number DD-C3I(AR)1810 applies to this data collection.

**A2.6. Sensitive Information (Computer Security Act of 1987).** *The Computer Security Act of 1987* established requirements for protection of certain information in Federal Government AIS. It applies only to unclassified information that deserves protection and is concerned with protecting the availability and integrity, as well as the confidentiality, of information. See AFI 33-200 for Air Force policy on protecting information in Federal Government information systems [Reference DOD 5200.1-R, Appendix 3, Para AP3.6.]

**A2.7. Technical Documents.** DOD Directive 5230.24 requires distribution statements to be placed on technical documents, both classified and unclassified. These statements facilitate control, distribution and release of these documents without the need to repeatedly refer questions to the originating activity. See AFI 61-204 for Air Force policy on technical documents [Reference DOD 5200.1-R, Appendix 3, Para AP3.7.]

## **A2.8. LIMITED DISTRIBUTION Information**

A2.8.1. Description. LIMITED DISTRIBUTION is a caveat used by the National Imagery and Mapping Agency/National Geospatial-Intelligence Agency (NIMA/NGA) to identify a select group of sensitive but unclassified imagery or geospatial information and data created or distributed by NIMA/NGA or information, data, and products derived from such information. DOD Instruction 5030.59, *NATIONAL GEOSPATIAL- INTELLIGENCE AGENCY (NGA) LIMITED DISTRIBUTION GEOSPATIAL INTELLIGENCE*, contains details of policies and procedures regarding use of the LIMITED DISTRIBUTION caveat. These policies and procedures are summarized in subparagraphs [A2.8.2](#) through [A2.8.4](#), below.

A2.8.2. Marking. Information or material designated as LIMITED DISTRIBUTION, or derived from such information or material shall, unless otherwise approved by the Director, NGA be marked with the notation shown in Figure A2.F1 as follows:

### LIMITED DISTRIBUTION Notation

#### UNCLASSIFIED/LIMITED DISTRIBUTION

Distribution authorized to DOD, IAW 10 U.S.C. § 130 and 455. Release authorized to U.S. DOD Contractors IAW 48 C.F.R. §252.245-7000. Refer other requests to Headquarters, NGA, ATTN: Release Officer, Stop D-136. Destroy as "For Official Use Only." Removal of this caveat is prohibited.

A2.8.3. Access to LIMITED DISTRIBUTION Information or Material.

A2.8.3.1. Information bearing the LIMITED DISTRIBUTION caveat shall be disseminated by NGA to Military Departments or other DOD Components, and to authorized grantees for the conduct of official DOD business.

A2.8.3.2. DOD civilian, military and contractor personnel of a recipient DOD Component, contractor or grantee may be granted access to information bearing the LIMITED DISTRIBUTION caveat provided they have been determined to have a valid need to know for such information in connection with the accomplishment of official business for the DoD. Recipients shall be made aware of the status of such information, and transmission shall be by means to preclude unauthorized disclosure or release. Further dissemination of information bearing the LIMITED DISTRIBUTION caveat by receiving contractors or grantees to another Military Department, other DOD Component, contractor or grantee, or dissemination by any recipient Component, contractor, or grantee to any person, agency or activity outside DOD, requires the express written approval of the Director, NGA.

A2.8.3.3. Information bearing the LIMITED DISTRIBUTION caveat, or derivative information, shall not be released, made accessible to or sold to foreign governments or international organizations, to include through Foreign Security Assistance transactions or arrangements, or transfer or loan of any weapon or weapon system that uses such information, or intended to be used in mission planning systems, or through the Foreign Military Sales (FMS) process, without the express, written approval of the Director, NGA.

A2.8.3.4. All FOIA requests for information bearing the LIMITED DISTRIBUTION caveat or derived there from, shall be referred to NGA consistent with DOD Instruction 5030.59.

#### A2.8.4. Protection of LIMITED DISTRIBUTION Information.

A2.8.4.1. Information bearing the LIMITED DISTRIBUTION caveat, or derivative information, shall not be stored on systems accessible by contractors, individuals who are not directly working on a DOD contract, or those who do not require access to such information in connection with the conduct of official DoD business.

A2.8.4.2. LIMITED DISTRIBUTION information or derivative information, may only be posted to DOD Web sites consistent with security and access requirements specified in Deputy Secretary of Defense Memorandum dated December 1998. Such information shall not be transmitted over the World Wide Web or over other publicly accessible and unsecured systems. Electronic transmission of such information, e.g., voice, data or facsimile, shall be by approved secure communications systems or systems utilizing other protective measures such as PKI.

A2.8.4.3. During working hours, reasonable steps shall be taken to minimize risk of access by unauthorized personnel. After working hours, LIMITED DISTRIBUTION information may be stored in unlocked containers, desks, or cabinets if Government or Government-contract building security is provided. If such building security is not provided, LIMITED DISTRIBUTION information shall be stored in locked buildings, rooms, desks, file cabinets, bookcases, or similar items. Store LIMITED DISTRIBUTION information in the same manner approved for FOUO.

A2.8.4.4. When no longer required, all LIMITED DISTRIBUTION information and copies, shall be returned to NIMA/NGA or destroyed in a manner sufficient to prevent its reconstruction.

**Attachment 3****PHYSICAL SECURITY STANDARDS**

**A3.1. Intrusion Detection Systems (IDS) Standards.** [Reference DOD 5200.1-R, Appendix 7, AP7.2.]

A3.1.1. Air Force IDS Standards. See AFI 31-101, *Air Force Installation Security Program*, Chapter 12, for Air Force policy on IDS.

A3.1.2. Trustworthiness Determinations. See AFI 31-501 for Air Force policy on trustworthiness determinations.

**A3.2. Physical Security Design Guidelines.** See the Military Handbook Design Guidelines for Physical Security of Facilities (MIL-HDBK-1013/1A) at <http://assist.daps.dla.mil/docimages/0000/57/10/54120.PD2> for facility design standards. DOD 5200.1-R, Appendix 7 provides vault and secure room construction standards.

A3.2.1. The ISPM certifies vaults and secure rooms in concert with appropriate engineering and communications technical representatives IAW DOD 5200.1-R, Appendix 7.

A3.2.2. Commander, equivalent, or staff agency chief approves open storage.

A3.2.3. Defense Intelligence Agency (DIA) standards for Sensitive Compartmented Information Facilities (SCIF) are included in Director Central Intelligence Agency Directive 6/9.

**Attachment 4****TRANSMISSION TO FOREIGN GOVERNMENTS**

**A4.1. General.** Comply with provisions of DOD 5200.1-R, Appendix 8 for movement of classified information or material to foreign governments. Air Force contracting officials ensure that US industrial activities have a government approved transportation plan or other transmission instructions.

A4.1.1. Receipts. Air Force personnel: [*Reference DOD 5200.1-R, Appendix 8, Paragraph a*]

A4.1.2. Use AF Form 349, Receipt for Documents Released to Accredited Representatives of Foreign Nations (available on the AFEPL);

A4.1.3. Show the complete unclassified title, description of a classified letter, minutes of meeting, and so on and any numerical identification of documents released on the form; and,

A4.1.4. **(DELETED)**

**A4.2.** Whenever possible, shippers should use military airlift for shipping classified to foreign recipients. **NOTE:** When Air Mobility Command airlift cannot deliver, determine an alternate secure method of direct delivery to a designated representative on a case-by-case basis [*Reference DOD 5200.1-R, AP8.1.1.3.*]

**A4.3.** Depot and contract administration officials review lists of freight forwarders specified by the recipient foreign government to confirm that DOD 4000.25-8-M, *Military Assistance Program Address Directory System*, Jul 95, shows them as authorized to transport classified information.

**A4.4.** See AFPD 24-2 and AFI 24-201 for instructions on "Report of Shipment."

**A4.5. Foreign Military Sales (FMS).** Air Force activities having primary management responsibility for processing FMS cases ensure that personnel include transmission instructions [*Reference DOD 5200.1-R, AP8.1.1.3.4.*]

A4.5.1. FMS processors must coordinate with ISPMs/IP and transportation officials on transportation plans submitted by foreign purchasers before giving final approval.

**Attachment 5**  
**APPOINTMENT OF INQUIRY OFFICIAL MEMORANDUM**  
**DEPARTMENT OF THE AIR FORCE**  
**AIR FORCE UNIT**  
**HEADING**

MEMORANDUM FOR

FROM:

SUBJECT: Appointment of Inquiry Official, Incident No.

You are appointed to conduct a preliminary inquiry into security incident (number). The incident involves (provide a short summary). Refer to AFI 31-401, *Information Security Program Management*, **paragraph 9.5.**, for security classification requirements.

The purpose of this inquiry is to determine whether a compromise occurred and to categorize this security incident as either a security violation or a security infraction. You are authorized to interview those persons necessary to complete your findings. You are further authorized access to records and files pertinent to this inquiry. Your records indicate that you have a (Secret, Top Secret, etc.) security clearance. Should you determine this incident involved access to program information for which you are not authorized access, advise the Information Security Program Manager (ISPM).

Contact (name and phone number of the ISPM), for a briefing on your responsibilities, conduct of, and limitations of this inquiry. Your written report will be forwarded through the ISPM to me within 30 duty days from the date of your appointment. As a minimum, your report must contain the following:

- a. A statement that a compromise or potential compromise did or did not occur.
- b. Category of the security incident.
- c. Cause factors and responsible person(s).
- d. Recommended corrective actions needed to preclude a similar incident.

Notify me immediately at (phone number) if you determine that a compromise has occurred. You are required to obtain technical assistance from the ISPM and Staff Judge

Advocate during the course of this inquiry whenever necessary.

(Signature Block of Commander, Staff Agency Chief, or equivalent)

## Attachment 6

## PRELIMINARY INQUIRY OF SECURITY INCIDENT REPORT

## DEPARTMENT OF THE AIR FORCE

AIR FORCE UNIT  
HEADING

MEMORANDUM FOR

FROM:

SUBJECT: Preliminary Inquiry of Security Incident No.

Authority: A preliminary inquiry was conducted (date) under the authority of the attached memorandum.

Matters investigated: The basis for this inquiry was that (provide a short summary of the security incident including the date it occurred, the classification of information involved, and the document control number if specific documents were involved). Refer to AFI 31-401, *Information Security Management Program Management*, **paragraph 9.5.**, for security classification requirements.

Personnel Interviewed: (list all personnel interviewed, position title, office symbol, and security clearance).

Facts: (list specific details answering who, what, why, where, and when questions concerning the security incident).

Conclusions: As a result of the investigation into the circumstances surrounding the security incident, interviews, and personal observations, it is concluded that: (list specific conclusions reached based on the facts and if a compromise or potential compromise did or did not occur). If a damage assessment is or has been done, provide the point of contact along with: the status of the assessment if it hasn't been completed; or, describe the outcome if it has been completed; or, provide a copy of the completed assessment report.

Recommendations: (list corrective actions needed to preclude a similar incident; the category of the incident; damage assessment; if the incident is a compromise, potential compromise or no compromise; and, if this inquiry should be closed without further investigation or with a recommendation for a formal investigation).

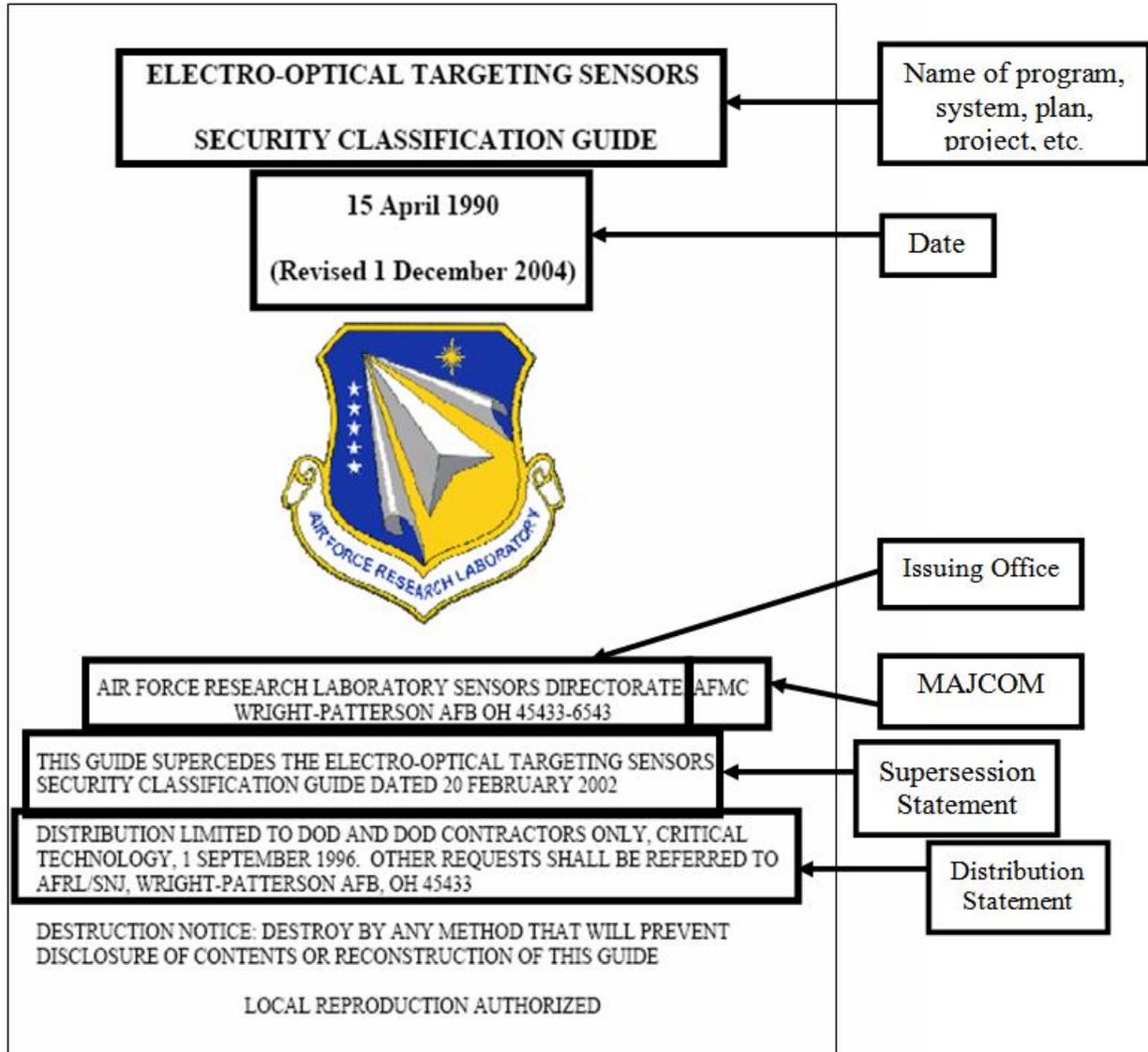
(Signature block of inquiry official) Attachment:

Appointment of Inquiry Official Memo, (date)

Attachment 7

FORMAT FOR CLASSIFICATION/DECLASSIFICATION GUIDE

A7.1. Front page format:



SECTION 1

A7.2. General Instructions (Minimum Required Items Are Circled)

**FOREWORD**

**DESCRIPTION:** The AN/AAQ-26 Infrared Detecting Set (IDS) enables an observer in an aircraft to view patterns of heat emissions (infrared radiation) from a target area concealed by darkness or camouflage. The AN/AAQ-26 IDS consists of four major components: Infrared Receiver, LRU 1; Control Converter, LRU 2; Gimbal Position Control, LRU 3; and the Infrared Set Control, LRU 4.

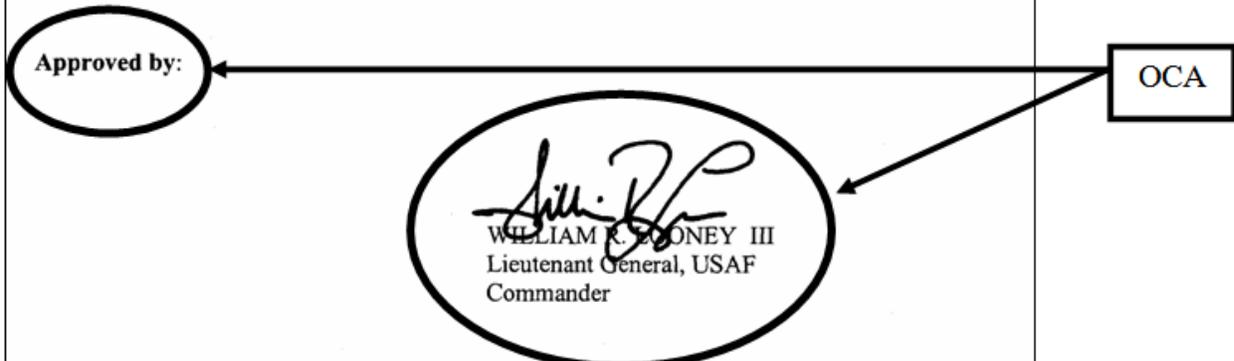
**Coordinated by:**

  
CHRISTOPHER C. BOGDAN, Col, USAF  
Director, Special Operations Forces  
System Program Office

**Approved by:** 

WILLIAM R. MONEY III  
Lieutenant General, USAF  
Commander

OCA



General Instructions Continued:

## SECTION I

### GENERAL INSTRUCTIONS

1. **Purpose.** This guide provides a basis for evaluating the degree of protection necessary for documentation, photographs, equipment, material, and information applicable to the AN/AAQ-26 IDS.
2. **Authority.** DoD 5200.1-R/AFI 31-401. Cite this guide as the basis for classifying, downgrading, or declassifying information about the AN/AAQ-26 IDS.
3. **Office of Primary Responsibility (OPR).** This guide is issued by ASC/LU, 1895 5th Street, Bldg 46, Wright-Patterson AFB OH 45433-7200, telephone COM (937) 255-4152/DSN 785-4152. Address all inquiries concerning content and interpretation to 88 SFS/SFA, 1801 Tenth Street, Room 103, Wright-Patterson AFB OH 45433-7625.
4. **Classification Recommendations.** Send completely documented and justified recommendations through 88 SFS/SFA, to the OPR if the security classifications or declassification instructions in this guide impose impractical requirements or when scientific or technological changes in the state of the art indicate a need for changes. Pending final decision, handle and protect the information at the highest of the present or the recommended classifications. All users of this guide are encouraged to assist in improving and maintaining the currency and adequacy of this guide.
5. **Classification Currency.** Changes to this guide will be affected by the issuance of a letter, Subject: Letter Change No. \_\_\_\_\_ to the AN/AAQ-26 IDS Security Classification Guide (SCG), 30 December 2004. This letter will indicate the appropriate change(s) and will constitute the authority for such change(s). Upon receipt of a letter change, the appropriate change(s) will be made and the letter of authority will be inserted in back of the guide.
6. **Reason for Classifying.** The reasons for classifying information are in accordance with Executive Order (EO) 12958, as amended by EO 13292. The categories for classification, as identified throughout the guide, are as follows:  
  
Category 1.4g: Vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans or protection services relating to the national security, which includes defense against and transnational terrorism.
7. **Explanation of Declassification Instructions.** Choose one of the following four declassification instructions, selecting, whenever possible, the declassification instruction that will result in the shortest duration of classification.
  - a. A date or event less than 10 years, or if unable to identify such a date or event;
  - b. a date 10 years from the date of the document; or

## General Instructions Continued:

- c. a date greater than 10 and less than 25 years from the date of the document; or
- d. a date 25 years from the date of the document.

When determining the duration of classification, the Original Classification Authority should consider the four options listed above sequentially; first, consider the least amount of time that information needs to be classified, that is, a time frame that is less than 10 years; if unable to determine a date or event of less than 10 years then 10 years; third, between 10 years and up to 25 years based upon the sensitivity of the information as determined by the Original Classification Authority; and then finally, 25 years from the date of the decision.

All originally classified documents must contain a date or event of 25 years or less on the "Declassify on" line.

**8. Prior Declassification Instructions.** To comply with EO 12958, as amended by EO 13292, previously classified information with a declassification instruction of Originating Agency Determination Required (OADR) or X1 through X8 must be readdressed and now have a declassification date or event as identified in section 7 above. **NOTE:** The declassification date or event cannot exceed 25 years from the **original** classification date (the date the information was first classified).

**9. Other Applicable Security Classification Guides.** Refer to aircraft Security Classification Guides for aircraft/mission specific information.

**10. Application, Reproduction, and Dissemination.** Specified groups involved in the AN/AQ-26 IDS program, including industrial activities, may make reproductions and extracts or selections of portions of this guide.

**11. Manufacture, Test, and Assembly.** During manufacture, test, or assembly processes, the classification as assigned by this guide shall apply at the earliest point where design, performance, or other classified characteristics can be derived and traced to the system(s) identified herein.

**12. Disassembly and Repair.** During disassembly and repair, the classification assigned by this guide no longer applies at the earliest point where design, performance, or other classified characteristics can no longer be derived from or traced to the system(s) identified herein.

**13. Technology Transfer.** A major goal of DoD classification policy is to deny our adversaries access to documents, hardware, and technologies that will accelerate their military programs and simultaneously cause an increase in our defense efforts and costs. During development of a system, numerous areas of advanced technology may be exploited. It is the intent of this guide to safeguard the following information:

## A7.3. Release Information:

**1. Public Release of Official Information.** Although this guide shows certain details of information as unclassified, it does not permit automatic public release. Unclassified, unlimited distribution information proposed for public release about the AC-130U Gunship must be submitted to Aeronautical Systems Center Public Affairs; ATTN: Security and Policy Review (ASC/PA); Building 14, Room 240; 1865 4th Street; Wright-Patterson AFB OH 45433-7129, Telephone (937) 255-3334.

**2. Release of Program Data on the World Wide Web.** Extreme care must be taken when considering information for release onto publicly accessible or unprotected World Wide Web Sites. In addition to satisfying all of the aforementioned approval provisions, owners and/or releasers of information proposed for such release must ensure that it is not susceptible to compilation with other information to render sensitive or even classified data in the aggregate. The search and data mining capabilities of Web technology must be assessed from a risk management perspective. ~~If there are any doubts, do not release the information!~~

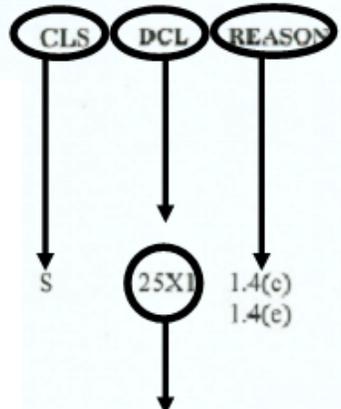
**3. Release of Classified and Unclassified Information to Foreign Governments or Their Representatives.** In accordance with AFI 16-201, Foreign Disclosure of Classified and Unclassified Military Information to Foreign Governments and International Organizations (C), advise a foreign national ~~soliciting or requesting classified and/or unclassified USAF information~~ to request it through their embassy in Washington DC. Any military activity or contractor receiving such a request from a foreign government, foreign contractor, or representative thereof must forward the request to ASC/XPD, 1865 4<sup>th</sup> St, Wright-Patterson AFB OH 45433-7127. Any military activity desiring to release classified and/or unclassified information to a foreign government, foreign contractor, or representative thereof, must forward the request to ASC/XPD according to AFI 16-201. Defense contractors desiring to release classified and/or unclassified information controlled by the International Traffic in Arms Regulation (ITAR) to a foreign government, foreign contractor, or representative thereof must request a munitions export license from: Department of State, Office of Defense Trade Control, PM/DTC Room 200, SA-6, Washington DC 20522.

A7.4. Classification and Declassification Information:

Element of Information	Classification of Element	Reason for Classification	Declassification or Downgrading Instructions	
<u>INFORMATION REVEALING</u>	<u>CLASS/REASON</u>	<u>DECLAS DATE OR EVENT</u>	<u>REMARKS</u>	
n. LOS pointing accuracy	U	C/1.4g	31 Jan 2030	UNCLASSIFIED when characteristics are not revealed.
n. Tracker capability when minimum trackable target characteristics are revealed	U	S/.4g	31 Jan 2030	
o. Reliability	U			
p. Vulnerability to countermeasures and counter-countermeasures	U			
q. Counter-countermeasure capability	U			
r. Hardware	U			
s. Software	U			
t. Number of active detectors comprising the AN/AAQ-26 IDS detector assembly	U			

Element of Information	Classification of Element	Reason for Classification	Declassification or Downgrading Instructions	REMARKS
<b>INFORMATION REVEALING</b>				
2. Multispectral/Multiband passive sensors - polarimetric and non-polarimetric	U			
a. Program Objective	See Remarks			Unclassified, Distribution D: Critical Technology applies.
b. Detector characteristics and figures of merit (size, D, D*, D**, QE, spectral response, frequency response, noise etc)				
c. Measured system-level figures of merit (area coverage, spatial resolution, spectral coverage, spectral resolution, noise level, polarimetric extinction ratio, FOR, FOS, FOV)				
(1) Laboratory sensor	U			
(2) Flight-qualified sensor	S 1.4g		1 Dec 2014	
d. Predicted and measured operational performance (Pd, Pr, Pc, Pid, Pfa, ROC, Pt) vs range, atmospheric conditions, target type/signature, background and clutter level	S 1.4g		1 Dec 2014	

TOPIC—Information revealing:



If any 25X markings are going to be used, they must be annotated in the Security Classification/Declassification Guide before they can be used on derivatively classified documents. AF/XOS-FI will process the guides through ISCAP for approval.

A7.5. DD Form 2024, DOD Security Classification Guide Data Elements:

DOD SECURITY CLASSIFICATION GUIDE DATA ELEMENTS						REPORT CONTROL SYMBOL	
See reverse side for purpose and additional completion instructions							
<b>1. REASON FOR SUBMISSION</b> (X as applicable)							
a. NEW GUIDE	b. REVISION	c. REISSUANCE	d. BIENNIAL REVIEW	e. CANCELLATION	f. CORRECTION		
<b>2. PROMULGATING DOCUMENT</b> (Include type of document, activity, symbol or serial number and date. Do not include the subject of the document. If no promulgating document, state "None." Do not exceed 46 characters.)							
<b>3. CLASSIFICATION GUIDE TITLE</b> (Include the full title (if unclassified) and any short title. Do not exceed 134 characters.)							
<b>4. CLASSIFICATION GUIDE DATE</b> (YYMMDD) (Do not exceed 6 characters.)				<b>5. CLASSIFICATION GUIDE ORIGINATOR</b> (Activity which issued guide. Do not exceed 25 characters.)			
<b>6. AVAILABLE THRU DTIC</b> (X as applicable) (See paragraph G of Instructions on reverse.) <b>Distribution Statement, Ref: AFI 61-204, Atch 2</b>							
B	C	D	E	F	X	NO	
<b>7. BIENNIAL REVIEW DATE</b> (YYMMDD) (Do not exceed 6 characters)				<b>8. NUMBER OF REVISIONS AND DATE OF LATEST</b> (Show number of revisions first, then the date of latest revision (YYMMDD). If none, so state. A revised guide would have no revisions. Do not exceed 8 characters.)			
<b>9. SUBJECT MATTER INDEX TERMS</b> (Selection of these terms is critical to proper indexing of the classification guide. They should concisely describe what the classification guide pertains to. Each term may consist of one or more words. Each term may not exceed 34 characters. A total of three subject matter index terms may be listed, each on its own line. The classification guide will appear in the index under each listed Subject Matter Index Term.)							
a. <b>Examples: Aircraft, Weapons, Communications, Space, Nuclear, etc.</b>							
b.							
c.							
<b>10. CLASSIFICATION OF GUIDE</b> (X as applicable to indicate classification status of the classification guide. For B, X the classification of the guide document. For Special Access Required block if the guide itself requires such access, or X the fact that the guide document is unclassified.)							
		TS		S		C	
						SPECIAL ACCESS REQUIRED	
<b>11. INDEX SOURCE NUMBER</b> (Enter existing number if guide is listed in index.)				<b>12. The highest classification prescribed by the guide is</b> (X as applicable, that is, X the highest classification that the guide states is to be applied to information by users of the guide.)			
				TS		S	
						C	
				<b>13. The guide prescribes classification of information controlled within a Special Access Program</b> (X one that is, X YES if the guide states that information classified pursuant to it requires Special Access Program protection or X NO if not the case.)			
				a. YES		b. NO	
<b>14. REMARKS</b>							
As required							
<b>15. ORIGINATOR</b>							
a. SIGNED NAME				b. TITLE		e. DATE SIGNED	
c. OFFICE/AGENCY/DEPARTMENT				d. SIGNATURE			
<b>16. ACTION OFFICER</b>							
a. NAME				b. TELEPHONE NO. (AUTOVON if outside DC Metropolitan area.)			

DD Form 2024, JUL 86 (EG)

Previous editions are obsolete.

Designed using Perform Pro, WHS/DGR, Mar 95

All circled items are required to be filled in.

**Attachment 8 (Added-SCOTTAFB)****SECURITY MANAGER'S DUTIES AND RESPONSIBILITIES**

**A8.1. (SCOTTAFB)** Set up and manage the Information, Personnel, and Industrial Security Programs within the unit or staff agency.

**A8.2. (SCOTTAFB)** Develop and/or update a unit security operating instruction. Ensure compliance with security education requirements of DOD 5200.1-R, paragraph 9-100, AFI 31-401, and AFI 31-501.

**A8.3. (SCOTTAFB)** Ensure an initial security briefing is done newcomers within the unit. Develop an annual unit security education training plan and ensure quarterly security training is provided to all personnel. This training will be documented with the type and date of training and filed in the Security Manager's Handbook.

**A8.4. (SCOTTAFB)** Monitor semi-annual security self-inspections to make sure they are sufficient in scope to accurately show status of the unit security program.

**A8.5. (SCOTTAFB)** Attend quarterly security manager meetings. If the primary security manager is unable to attend, the alternate security manager fulfills this responsibility. Security managers are only required to attend two meetings per year.

**A8.6. (SCOTTAFB) Maintain a Security Manager's Handbook (continuity book) according to the table of contents developed by 375 AMW/IPI.**

**A8.7. (SCOTTAFB)** Act as a liaison between unit commander or staff agency chief and ISPM in monitoring SIF. Ensure deadlines are met within prescribed time frames. Assist unit members on file completion.

**A8.8. (SCOTTAFB)** Monitor entry/exit inspection program to look for the unauthorized removal of classified material, if required.

**A8.9. (SCOTTAFB)** Report security incidents immediately (within 24 hours) to the ISPM through the unit commander or staff agency chief.

**A8.10. (SCOTTAFB)** Act as a liaison between unit commander or staff agency chief and ISPM in monitoring security incident investigations. Coordinate technical advice to Inquiry Officials and ensure deadlines are met within the prescribed time frame. Assist the unit commander or staff agency chief and ISPM in monitoring security incident investigations.

**A8.11. (SCOTTAFB)** Manage and monitor the JPAS for the organization, to include in and out processing unit personnel and ensuring members have current clearance eligibility.

**Attachment 9 (Added-SCOTTAFB)**  
**SECURITY MANAGER'S HANDBOOK**

**A9.1. (SCOTTAFB) Section 1. Appointment Letters/Memorandums (Keep the most current)**

**A9.2. (SCOTTAFB) Primary and Alternate Security Managers.**

A9.2.1. (SCOTTAFB) Primary and Alternate Safe Custodians (if applicable).

A9.2.2. (SCOTTAFB) Classified safe(s) and location(s) (if applicable).

A9.2.3. (SCOTTAFB) Any additional letters as necessary.

**A9.3. (SCOTTAFB) Section 2. Internal Security Operating Instructions**

A9.3.1. (SCOTTAFB) Unit/Staff Agency Information Security Operating Instruction

A9.3.2. (SCOTTAFB) Open Storage Instructions (if applicable).

**A9.3.3. (SCOTTAFB) Section 3. Semi-annual Security Self-Inspection Reports (Keep the last two)**

A9.3.3.1. (SCOTTAFB) Inspecting Official Appointment Memorandum(s).

A9.3.3.2. (SCOTTAFB) Security Self-Inspection Checklist.

**A9.3.4. (SCOTTAFB) Section 4. Information Security Program Review Reports (Keep the last two)**

A9.3.4.1. (SCOTTAFB) Information Security Program Review Reports.

A9.3.4.2. (SCOTTAFB) Replies/Corrective Actions Taken.

**A9.3.5. (SCOTTAFB) Section 5. Security Manager's Meeting Minutes (Keep last four)**

**A9.3.6. (SCOTTAFB) Section 6. Information Memorandums (Keep for one year or until obsolete)**

A9.3.6.1. (SCOTTAFB) Information Security Memorandums/Instructions.

A9.3.6.2. (SCOTTAFB) Information/Personnel Security Newsletters.

**A9.3.7. (SCOTTAFB) Section 7. Joint Clearance Access Verification System Rosters/Correspondence**

A9.3.7.1. (SCOTTAFB) JCAVS Rosters (Monthly: military and civilian) or Person Summary sheets for each member, military and civilian.

A9.3.7.2. (SCOTTAFB) Correspondence relating to JCAVS Roster.

A9.3.7.3. (SCOTTAFB) Suspense copies of AF Form 2583 for Interim Clearances, Special access programs and/or Personnel Security Investigations (Keep until case is closed or no longer required).

A9.3.7.4. (SCOTTAFB) AF IMT 2587, *Security Termination Statement* (Keep for 2 years).

**A9.3.8. (SCOTTAFB) Section 8. Miscellaneous Items**

A9.3.8.1. (SCOTTAFB) Attestation of SF 312, *Nondisclosure Agreement*, log sheet(s).

A9.3.8.2. (SCOTTAFB) Physical surveys, posters, bulletins, etc.

**A9.3.9. (SCOTTAFB) Section 9. Annual Training Plan, Documentation and Resources**

A9.3.9.1. (SCOTTAFB) Annual Training Plan.

A9.3.9.2. (SCOTTAFB) Documentation/Training Log or Roster.

A9.3.9.3. (SCOTTAFB) Training Materials Used for Initial, Refresher, NATO and Recurring Training (Briefings, Checklists, Presentations, etc.). **Note:** You can add to these sections as pertinent, but do not delete any sections.

## Attachment 10 (Added-SCOTTAFB)

## SECTION 1, SAMPLE APPOINTMENT LETTERS/MEMORANDUMS



DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS 375TH AIRLIFT WING (AMC)

MEMORANDUM FOR 375 SFS/S5I

FROM: 375 AW/XX  
Street Address  
Scott AFB IL 62225-5361

SUBJECT: Appointment of Primary/Alternate Security Manager

1. The following individuals are appointed as Primary/Alternate Security Managers for 375 AW/XX.

NAME	RANK	SSAN	DUTY PHONE	TITLE
Doe, John L.	MSgt	XXX-XX-XXXX	256-XXXX	Primary
Smith, Sue L.	Capt	XXX-XX-XXXX	256-XXXX	Alternate

2. This letter supersedes all previous letter, same subject.

JAMES H. BROWN, Lt Col, USAF  
Commander

cc: Security Manager's Handbook Section 1

**Note:** Keep a copy of the most current designation letter. Make sure you send the original to the Security Forces Information Security Staff for their records (375 SFS/S5I).

## Attachment 11 (Added-SCOTTAFB)

## SAMPLE LETTER FOR PRIMARY AND ALTERNATE SAFE CUSTODIANS



DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS 375TH AIRLIFT WING (AMC)

MEMORANDUM FOR 375 SFS/S5I

FROM: 375 AW/XX  
Street Address  
Scott AFB IL 62225-5361

SUBJECT: Appointment of Safe Custodians

1. The following individuals are appointed as safe custodians for classified material in this unit.

NAME	RANK	CLEARANCE	DUTY PHONE	TITLE
Doe, John L.	MSgt		256-XXXX	Primary
Smith, Sue L.	Capt		256-XXXX	Alternate

2. The following personnel have been appointed Special Access Granting Officials for this unit.

NAME	RANK	CLEARANCE	DUTY PHONE	TITLE
Doe, John L.	MSgt		256-XXXX	Primary
Smith, Sue L.	Capt		256-XXXX	Alternate

3. The following personnel are authorized to act as Destroying and Witnessing officials for the destruction of classified information

Doe, John L.  
Smith, Sue L.

4. The following personnel have been appointed to conduct semiannual security inspections for this unit.

Doe, John L.  
Smith, Sue L.

## Attachment 12 (Added-SCOTTAFB)

## SAMPLE LETTER FOR CLASSIFIED (SAFE(S) AND LOCATION(S))



DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS 375TH AIRLIFT WING (AMC)

MEMORANDUM FOR 375 SFS/S5I

FROM: 375 AW/XX  
Street Address  
Scott AFB IL 62225-5361

SUBJECT: Classified Safe(s) and Location(s)

The following safes are utilized in our unit:

MAKE/MODEL	NUMBER	LOCATION	LEVEL	LOCK
Mosler 4-drawer	XX-1	Bldg XXX, Rm XX	Secret	X-07
Mosler 2-drawer	XX-2	Bldg XXX, Rm XX	Secret	X-08

JAMES H. BROWN, Lt Col, USAF  
Commander

cc: Security Manager's Handbook, Section 1

**Attachment 13 (Added-SCOTTAFB)****SAMPLE LETTER FOR SECURITY MANAGER OF THE YEAR**

**DEPARTMENT OF THE AIR FORCE**  
HEADQUARTERS 375TH AIRLIFT WING (AMC)

MEMORANDUM FOR

FROM: UNIT/CC  
Street Address  
Scott AFB IL 62225-5361

SUBJECT: Outstanding Unit Security Manager of the Year Award (Year)

The following safes are utilized in our unit:

Identifying Data: Name, Rank/grade  
Innovations as a Security Manager  
Job Performance as a Security Manager  
Specific Accomplishments associated with the program  
Additional Comments by Commander

JAMES H. BROWN, Lt Col, USAF  
Commander

**Attachment 14 (Added-SCOTTAFB)****SECTION 2, SAMPLE INTERNAL SECURITY OPERATING INSTRUCTION**

375 SFS OI 31-401

BY ORDER OF THE COMMANDER 375TH SECURITY FORCES SQUADRON  
OPERATING INSTRUCTION 31-401

Publication Date

Security

INFORMATION SECURITY

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

ACCESSIBILITY: Publications and forms are available on the e-Publishing website at [www.e-publishing.af.mil](http://www.e-publishing.af.mil) for downloading or ordering.

RELEASABILITY: There are no releasability restrictions on this publication.

OPR: 375 SFS/S5

Certified by: 375 SFS/XX (Name of Certifier. Certifier is 1 level above OPR).

Supersedes: OI number and date (if applicable)

Pages: total number of pages.

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**The first paragraph is the purpose statement and is a mandatory statement.** This Operating Instruction (OI) establishes procedures for security manager appointment and responsibilities; initial and recurrent training; semiannual security self-inspections; access, dissemination and accountability of classified; classification challenges; handling, transfer and transmission of classified; reproducing classified; derivative classification authority; marking classified; maintenance of security containers; safekeeping and storage of classified; end-of-day security checks; disposal and destruction of classified; security incidents and violations; emergency protection plan; and secure telephone unit (STU-III or STE) responsibilities and procedures. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Disposition Schedule (RDS) located at <https://afirms.amc.af.mil/>. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF IMT 847, *Recommendation for Change of Publication*; route AF Information Management Tool (IMT) 847 from the field through the appropriate functional chain of command.

**SUMMARY OF CHANGES**

**This document has been substantially revised and must be completely reviewed. Major changes include: (This is a mandatory statement).** List all changes made. At the end add this statement after the very last sentence, in bold print:

**1.1. Appointment and Responsibilities:**

1.1.1. Commander/staff agency chief appoints the Unit Security Manager and establishes the training requirements. For example, the commander or staff agency chief appoints the Unit Security Manager. As a minimum, the unit security manager is trained by the local base Information Security Program Manager (ISPM) the 375 SFS/S5.

## **1.2. Unit Security Manager's responsibilities:**

1.2.1. Provide advice and assistance to the commander or staff agency chief concerning security issues.

1.2.2. Schedule semi-annual security self-inspections. Ensure the Information and Personnel Security Programs are evaluated during semiannual security self-inspections.

1.2.3. Attend meetings and training sponsored by the ISPM or 375 SFS/S5.

1.2.4. Maintain a current unit security program operating instruction.

1.2.5. Review and maintain all semi-annual security self-inspection reports and security incident reports for a period of 2 years according to AFMAN 37-139, *Records Disposition Schedule*.

1.2.6. Provide and document quarterly security training for the unit personnel.

## **1.3. Joint Personnel Adjudication System:**

1.3.1. Manage the Joint Personnel Adjudication System (JPAS) for the organization, to include in and out processing unit personnel and ensuring members have current clearance eligibility. Monitor security clearances via the Joint Clearance Access Verification System (JCAVS) to identify when additional investigative action is required. Notify personnel requiring a periodic reinvestigation (PR) of their security clearance and assist in completing required forms for submission.

## **1.4. Personnel Security Investigations:**

1.4.1. Personnel Security Investigations (PSI) are due every 5 years for critical sensitive positions (AFSC/position codes requiring Top Secret eligibility/ access) and every 10 years for non-critical sensitive positions (AFSC/position codes that require Secret eligibility/access). The types of investigations are as follows:

1.4.1.1. Single Scope Background Investigation (SSBI) is completed for Top Secret requirements, both military and civilian.

1.4.1.2. Access National Agency Check with Written Inquiries and Credit Check (ANACI) is completed for Secret requirements, civilian only.

1.4.1.3. National Agency Check with Local Agency Check and Credit Check (NACLIC) is completed for Secret requirements, military and contractor.

1.4.1.4. National Agency Check (NAC) is completed for Non-sensitive positions and positions of trust.

1.4.1.5. PSIs are submitted to 375 SFS/S5 via the unit security manager. Fingerprint cards are required for initial investigation submissions only. AF IMT 2583, **Request for Personnel Security Action**, is required with all PSI submissions, indicating the investigation or action being requested in the remarks block.

## **1.5. Security Information File Establishment:**

1.5.1. Security Information Files may be established by the Air Force Central Adjudication Facility (AFCAF) or by the unit commander. Coordinate with respective supervisors and/or commander for the establishment of security information files (SIF). Requests by commanders must be made in writing with supporting documentation to the ISPM or 375 SFS/S5. Act as a liaison between unit commander or staff agency chief and ISPM in monitoring SIF. Provide subsequent status reports to base Security Forces/ISPM concerning SIFs. Ensure deadlines are met within prescribed time frames and assist unit members with file completion.

1.5.2. Monitor the implementation of the Personnel Security Program (PSP) requirements to include maintenance of the unit security clearance roster (JCAVS Roster).

1.5.3. Review challenges to classification and assist personnel in complying with the classification markings and transmission procedures.

1.5.4. Ensure special access program authorizations are completed and maintained on file for assigned personnel.

1.5.5. Maintain a Security Manager's Handbook for continuity in accordance with AFI 31-401.

### **2.1. Initial and Recurrent Training:**

2.1.1. All unit personnel will receive an initial security briefing during in processing. Areas to be covered are: the critical nature of classified material, how to challenge classification of material, AFI 31-401, releasing and accepting classified material and squadron procedures for handling and safeguarding classified materials, in addition to other security information pertinent to the unit. Training will be documented in the member's training record and reviewed annually. Additionally, the unit security manager will conduct quarterly security training and annotate what type of training was accomplished and the date training was given.

### **2.2. Foreign Travel Briefings/Reporting:**

A14.2.2.1. Foreign travel briefings will be given as necessary to unit personnel before traveling overseas or to foreign assignments. Any suspicious interactions or advances by foreign nationals must be reported to the unit security manager immediately. Members must inform unit security managers of all foreign travel plans prior to traveling.

### **3.1. Semi-annual Security Self-inspections:**

3.1.1. The commander must appoint in writing an officer or SNCO to perform semi-annual security self-inspections (SSI). The unit security manager may oversee the inspection, but may not conduct it. The inspections must be conducted in January and July. The report must be sent to 375 SFS/S5I and a copy must be filed in the Security Manager's Handbook. Security managers are responsible for:

3.1.1.1. Monitoring SSI to ensure it is initiated, conducted and completed on time.

3.1.1.2. Reviewing SSI and advising appointed official whether written reports of corrective action are necessary.

3.1.1.3. Conducting follow up (normally 60-90 days after the inspection) to ensure corrective actions have been taken on all noted discrepancies.

### **4.1. Access, Dissemination, and Accountability of Classified:**

A14.4.1.1. The final responsibility for determining whether an individual will possess or have

access to any element of classified information rests with each individual who has authorized possession, knowledge or control of the information involved. This determination will be based upon possession of a valid security clearance at or above the level of classified information involved, need to know (whether the individual's official duties require access to the classified information) and validation of a signed SF 312, **Nondisclosure Agreement**, on file. No person may have access to classified information unless that person has been determined to be trustworthy and unless access is essential to the accomplishment of lawful and authorized government purposes, that is, the person has the appropriate security clearance and a need-to-know. Security reference manuals are maintained by the security manager and are available for use by all personnel.

#### **4.2. Top Secret information, originated within the Department of Defense (DOD):**

A14.4.2.1. Top secret information originating outside the DOD may not be disseminated outside the DOD without the consent of the originating DOD component, or higher authority. Secret and confidential information, originating within the DOD, may be disseminated within the executive branch, unless prohibited by the originator. Each office originating or receiving top secret information shall maintain top secret accountability registers. Such registers shall be retained for 2 years. Each DOD component for controlling Secret information shall establish administrative procedures and material originated or received by an activity, distributed or routed to a sub element of such activity and disposed of by the activity by transfer of custody or destruction. Administrative controls shall be established to protect confidential information received, originated, transmitted, or stored by an activity.

#### **4.3. Access, Dissemination, and Accountability:**

4.3.1. IAW AFI 31-401, *Information Security Program Management*, no one will be afforded access to classified material due to rank or position. Each person who removes material from the classified storage container or vault is accountable for that material until it is returned to the appropriate container or transferred to appropriate agencies for movement. Dissemination of classified will be kept to the absolute minimum levels required. The commander will determine distribution of those documents that require further dissemination.

#### **5.1. Classification Challenges:**

A14.5.1.1. If holders of classified information have substantial reason to believe that the information is classified improperly or unnecessarily, they shall communicate that belief to their security manager or the classifier of the information to bring about any necessary correction. Challenges needed shall be acted upon with 30 days of receipt.

#### **6.1. Handling, Transfer, and Transmission of Classified:**

A14.6.1.1. Transmission of classified material is defined in AFI 31-401. Transmission of classified material can be in the form of mailing, electrical transmission and hand carrying. Procedures are established as follows (TMO will adhere to procedures outlined in applicable Transportation regulations and instructions for surface and air movement):

#### **6.2. Mailing Classified Material:**

A14.6.2.1. Documents will be placed in two opaque envelopes. "SECRET" material will be accompanied with an AF IMT 310, **Document Receipt and Destruction Certificate**. The AF IMT 310 will be placed in the inner envelope with the document. The last copy of the AF IMT

310 will be kept on file. The inner envelope will be sealed using high-grade paper tape (brown) on all seams and completely covering the flap of the envelope. Once this is done, the envelope will have the return address and control number of the document affixed to the top left-hand corner of the envelope. Stamp and mark the classification on the inner envelope, top and bottom, front and back. Place the envelope in another opaque envelope and address and seal it in the same manner as the inner envelope. **DO NOT PUT THE CLASSIFICATION ON THE OUTER ENVELOPE.** Prepare an AF IMT 12, **Accountable Container Receipt**, to initiate registered mailing through the postal channels. The AF Form 12 must accompany the package to the mailroom. Classified materials sent via postal system will not be addressed to a specific individual.

6.2.2. Confidential documents mailed off base will be packed in the same manner as secret material. It is not necessary to use an AF IMT 310. On the outer envelope, place the notation "Return Service Requested." The outer envelope will not be marked with the classification. For this organization, confidential and secret documents will not be sent through the Official Mail Center (formerly the Base Information Transfer Center). If there is material to be picked up by another activity, they will be notified by telephone.

### **6.3. Hand-carrying or Escorting Classified Information Off Base:**

A14.6.3.1. To hand-carry or escort classified information off base, a letter designating an individual as an "official courier" is required. You are required to read this guidance before initiating action for official courier.

### **6.4. Removing Classified Information from a Building:**

6.4.1. Procedures for removing classified material from the confines of Building XXX, Room XXX are as follows:

6.4.2. Ensure documents are marked with the correct classification.

6.4.3. Use proper cover sheet to cover document front and back.

6.4.4. Place material in an unmarked envelope or folder.

6.4.5. Retain envelope or folder in your possession at all times until placed back in safe or destroyed.

### **6.5. Transmission of DOD Classified Material via Federal Express (FedEx):**

A14.6.5.1. FedEx shall be used only when it is the most cost effective way to meet a program requirement, given time, security and accountability restraints. FedEx may be used for the transmission of secret and confidential material only within the Continental United States (CONUS). To ensure direct delivery to the addressee, the release signature, block #7, on the FedEx Airbill Label may not be executed under any circumstances. The secret and/or confidential material must meet FedEx standard size and weight limitations. Packages should be shipped via FedEx only on Mondays through Thursdays to ensure FedEx does not have possession of a package over a weekend. Any problems encountered with the use of FedEx for the transmission of secret and confidential material are to be reported to this office as soon as possible. The DOD has authorized the transmission of DOD classified material via GSA contract Carrier, FedEx. Activity Distribution Offices and Action Offices who receive packages from FedEx should handle them as if they contained classified material; i.e., if the package is passed from one individual/office to another, signature control using an AF IMT 12 will be

necessary as it will not be known if the package contains classified material. Additionally, these packages cannot be left unattended.

### **7.1. Reproducing Classified:**

A14.7.1.1. Reproduction of classified material will be kept to a minimum. The OPR will be consulted prior to reproducing classified material and will designate an approved reproduction facility. Reproduction authority and persons designated to copy classified material on approved copier will establish unit procedures for reproduction of classified information and identify reproduction limitations, if any, for the material. Individuals will reproduce only the minimum amount of classified needed to support user requirements or file.

7.1.2. All personnel must be continually alert to unauthorized reproduction of classified material. If unauthorized reproduction of classified material is detected, the security manager must be notified immediately.

7.1.3. The following procedures apply to reproduction of classified material using the office copier:

7.1.3.1. Classified reproduction rules will be conspicuously displayed over or near the copier.

7.1.3.2. The copier itself will be treated as if it contains classified latent images until a minimum of three new copying sequences of blank sheets have been processed through the copier machine as a preventive measure against latent image retention on the machine's memory.

7.1.3.3. No service technicians will have access until the above procedures have been accomplished. Also inspect machine for any miss-fed originals or copies that may exist in the machine.

7.1.3.4. All reproduced copies will be afforded the same protection as the original document(s).

### **8.1. Derivative Classification Authority:**

8.1.1. Within DOD, all cleared personnel can perform derivative classification. Derivative application of classification markings is a responsibility of all assigned personnel who incorporate, paraphrase, restate or generate in new form information that is already classified or those who apply markings according to Original Classification Authority guidance.

### **9.1. Marking Classified:**

9.1.1. The originator of classified information is responsible for proper application of classification markings. The ultimate responsibility rests with the approver or signer of the document or material.

9.1.2. Those who prepare classified information are strongly encouraged to consult with their respective security manager and review DOD 5200.1R, Chapter 5, and DOD 5200.1PH, *A Guide to Marking Classified Documents*. Refer complex marking issues to the Security Manager for assistance.

### **10.1. Maintenance of Security Containers:**

10.1.1. For each authorized security container, an SF 700, **Security Container Information**, is kept as a record of personnel to notify in the event the security of the material enclosed is affected. *The SF 700 will be posted inside the locking drawer of the safe.* A new date will be entered in the "date of last combination change" block on the SF 700 each time the combination

of the container is changed. Part 2 of the SF 700 must be re-accomplished each time the combination is changed. Events that may cause the combination to be changed are:

10.1.1.1. Container is initially placed in use.

10.1.1.2. An individual aware of the combination no longer requires access to the container (or is reassigned).

10.1.1.3. A security incident/possible compromise involving the security container (i.e. container was found opened and material inside suspected as being compromised).

10.1.1.4. Container is taken out of service; lock will be set to 50-25-50.

10.1.1.5. If NATO material is contained within the safe, the combination must be changed annually.

10.2. If a need to change the combination arises, contact the unit security manager.

10.3. A record of maintenance on the security container is very important. All maintenance performed on the container by authorized personnel and safe technicians must be annotated on AFTO Form 36, **Maintenance Record for Security Type Equipment**. This form must be maintained in the locking drawer of the classified storage container. Retain the AFTO Form 36 in the classified storage container for the life of the safe. Note: *This form is not to annotate combination changes or in-house visual inspections.*

### **11.1. Safekeeping and Storage of Classified:**

11.1.1. The person(s) listed on the SF 700, **Security Container Information**, are considered safe custodians. A safe custodian:

11.1.1.1. Complies with the restrictions on the use of classified storage containers.

11.1.1.2. Reports containers that malfunction to the security manager who will prepare appropriate paperwork to affect required repairs.

11.1.1.3. Ensures the contents of classified storage containers are identified in file plans. Personal "work files" of classified information are strongly discouraged but not prohibited. When necessary, these work files should be limited to specifically labeled folders and stored separately from the contents identified in the file plan.

11.1.2. Clean Desk Policy: All individuals performing classified work will maintain a "clean desk" office environment. At the end of the duty day, all classified material used that day will be collected or turned in for storage in the appropriate container. Before locking the container, the security manager or designated individuals will double check with all offices to ensure no classified material was overlooked; this includes a cursory check of trash receptacles and shredder destruction areas. After all material has been gathered, material to be returned to the user the next duty day will be placed in the individual's "classified folder" and place in the back of the safe. At no time will classified material be taken home.

11.1.3. After all material is in the classified storage container, it will be locked and the SF 702, **Security Container Check Sheet**, will be annotated with the time locked and the individual's initials. After locking is complete, another individual will check to ensure it is locked and then annotate the SF 702 in the "checked by" column. Once this action is complete, the "OPEN/CLOSED" sign will be placed in the "CLOSED" position.

11.1.4. Only materials classified as “SECRET” and “CONFIDENTIAL” are authorized for storage in the classified storage container.

11.1.5. Only personnel authorized in writing by the commander and on file with the squadron security manager are authorized to remove and return classified material from the safe or vault. Storage of any other material such as money, jewelry, weapons and hand-held radios is not authorized in the safe.

11.1.6. Storing of NATO Material: Refer to unit OI or the NATO directives.

11.1.7. Storage of Any Other Classified Special Access Required Material: Consult the security authority for the Special Access Required (SAR) program on unique access and storage requirements. These SAR matters can vary from program to program.

### **12.1. End-of-Day Security Checks:**

12.1.1. Security checks shall be performed at the close of each working day to ensure that the area is secure. This is accomplished on SF 701, **Activity Security Checklist**. The storage of classified material in containers shall be secured on SF 702, **Security Container Check Sheet**. Implementing a “Clean Desk Policy” will greatly assist in accomplishing the end-of-day security checks.

### **13.1. Disposal and Destruction of Classified Information:**

13.1.1. As soon as classified material has served its intended purpose, it should be processed for destruction. Destruction should be accomplished on a monthly basis to preclude the accumulation of unneeded material.

13.1.2. Retaining Classified Material Over 10 Years Old: Classified documents that are not permanently valuable records of the government shall not be retained more than 10 years from the date of origin, unless such retention is authorized by and in accordance with record disposition schedules.

13.1.3. Destruction Records: Destruction records and imposition of a two-person rule, that is, having two cleared persons involved in the entire destruction process, will satisfy this requirement for Top Secret information. For the destruction of Secret and Confidential information, a record of destruction is not required, but an appropriately cleared person must be involved in the destruction process.

13.1.4. The semi-annual clean out dates is the first Fridays in February and August. Units can add additional clean out dates as needed.

### **14.1. Security Incidents and Violations:**

14.1.1. Anyone who knows or believes that there may have been a compromise, loss, unauthorized disclosure or other infraction affecting the safeguarding of classified information must report it without delay to the ISPM.

14.1.2. Appointing Investigation Officials: The commander/director who has responsibility for the area where the information security incident occurred appoints an investigator to conduct an investigation of information security incidents.

14.1.3. Briefing Requirements: 375 SFS/S5I briefs the person appointed to conduct the investigation. During these briefings, the investigator is provided other technical guidance, such

as consulting the local Staff Judge Advocate's office for legal guidance.

### **15.1. Emergency Protection Plan:**

A14.15.1.1. This outlines procedures for removal and protection of classified material in 375 XXX/XX, Safe Number XX-1, Building XXX, Room XX and the vault located in 375 XXX/XX, Building XXX. This instruction implements procedures outlined in AFI 31-401 and pertains to all individuals who have access to the listed safe.

#### 15.1.2. Responsibilities:

15.1.2.1. The Emergency Protection Plan is for planning purposes only, until activated by the Squadron Commander or Unit Security Manager. Once an Emergency Plan is established, the procedures will be briefed to all office staff and a copy placed in close proximity of the security container.

#### 15.1.3. Procedures:

15.1.3.1. Classified material maintained by the squadron is classified no higher than "SECRET" and is normally originated by higher authority. A very limited file is maintained. The following information should be implemented in case of fire, natural disaster or civil disturbance.

15.1.3.2. In case of fire, time permitting, hand-carry small, classified cargo out of the building. If cargo is in the vault, secure the vault door. Small items will be hand carried to building XXX and secured in XXXX. In building XXX, time permitting, the custodian will remove the material and take custody of it during building evacuation. Material will be transported to building XXX, (office symbol), and secured in the classified storage container.

15.1.3.3. If a civil defense alert signal (3-5 minute steady-tone siren) is sounded or flooding occurs, all classified material must be removed from the immediate work area and secured in the appropriate security container as long as time permits.

#### 15.1.4. Removal:

15.1.4.1. When removed, documents will be placed into a large envelope or container, marked with the security classification, office symbol, building and room number, sealed and hand carried to (office symbol, building XXX).

15.1.4.2. In case of civil disturbance or terrorist/enemy action, secure all classified material in the appropriate security container. When an analysis presents evidence that classified documents may fall into unfriendly hands, consideration will be made to determine time allotment for destruction of documents by shredding or emergency burning.

### **16.1. Address unit specific items/program that requires protection.**

#### **16.1.1. STU-III Protection and Responsibilities: (Reference: AFI 33-209)**

16.1.2. Responsibilities: The STU-III or STE Responsible Officer will ensure all personnel authorized access to the STU-III adhere to the procedures outlined below at all times.

16.1.3. Procedures: The STU-III or STE Responsible Officer will accomplish the following:

16.1.3.1. Only unclassified phone calls will be made on terminals that are in UNKEYED mode. Removing the Crypto Ignition Key (CIK) makes the terminal UNKEYED and not secure.

16.1.3.2. When the terminal is in the KEYED mode, it must be afforded protection

commensurate with the level of the key it contains and may only be used by authorized personnel. When unauthorized personnel who are not cleared to the level of the keyed terminal are in the area, the terminal must be under the operational control and within the view of at least one appropriately cleared and authorized person.

16.1.3.3. STU-III or STE terminals not operational 24-hours-a-day will have the CIK removed at the close of business. The CIK will be stored in a safe. Secure infrequently used keys until required.

16.1.3.4. Strict attention must be paid to the authentication display to ensure that the classification level of the conversation does not exceed the highest clearance level between the two parties. The information displayed indicates the system's capacity and does not authenticate the person using the terminal.

16.1.3.5. Before discussing classified information on the STU-III or STE, the person making the call will ascertain that each individual within hearing distance of their side of the conversation is cleared to the classification level being discussed and that the need to know exists for those personnel. If possible, isolate the phone from high traffic areas in an enclosed office.

16.1.4. Emergency Action Procedures: In the event of fire, natural disaster, or covert threat, the CIK will be removed from the phone and kept on the person of an authorized individual or secured in the normal classified storage container.

JOHN L. DOE, Lt Col, USAF

Commander

**Attachment 15 (Added-SCOTTAFB)****SECTION 3, SEMIANNUAL SECURITY SELF-INSPECTION REPORTS**

**A15.1. (SCOTTAFB)** Semi-annual security self-inspections shall be conducted during January and July of every year. Unit commanders and staff agency chiefs designate, in writing, personnel to conduct semiannual security inspections. The inspecting official cannot be the security manager or alternate security manager of your unit/staff agency. Remember to keep a copy of at least the last two inspection reports, along with the appointment letter(s), and any replies/corrective actions taken in this section of the Security Manager's Handbook.

**Attachment 16 (Added-SCOTTAFB)****SECTION 4, INFORMATION SECURITY PROGRAM REVIEW REPORTS**

**A16.1. (SCOTTAFB)** Program reviews will be conducted on an annual basis for units which maintain classified material. For units which **do not** maintain classified, program reviews will be conducted every 2 years. Remember, program reviews are not “compliance inspections” and they are not rated. Instead, they are “assistance” oriented visits to identify noteworthy and problem areas in the Information Security Program. Please ensure that your program is current and the Security Manager’s Handbook is well organized and available for the review. The primary and/or an alternate security manager as well as any classified document handler(s) must be available for the review. **Note:** Keep at least the last two program reviews and any corrective actions taken in this section of the Security Manager’s Handbook.

**Attachment 17 (Added-SCOTTAFB)****SECTION 5, SECURITY MANAGER'S MEETING MINUTES**

**A17.1. (SCOTTAFB)** Meetings will usually be held on a quarterly basis. Security managers are only required to attend two meetings per year. If the primary security manager is unavailable to attend, an alternate must attend. Minutes will be distributed to all security managers, regardless of attendance. Although security managers are only required to attend two meetings per year, minutes from the last four meetings are to be maintained. **Note:** File a copy of the last four meeting minutes in this section of the Security Manager's Handbook.

**Attachment 18 (Added-SCOTTAFB)****SECTION 6, INFORMATION MEMORANDUMS**

**A18.1. (SCOTTAFB)** Keep general information memorandums, instructions and newsletters for at least 1 year. Review them periodically for obsolete material.

**Attachment 19 (Added-SCOTTAFB)****SECTION 7, JOINT CLEARANCE ACCESS VERIFICATION SYSTEM (JCAVS)  
ROSTERS/CORRESPONDENCE**

**A19.1. (SCOTTAFB)** The Joint Clearance Access Verification System (JCAVS) is the official system for verifying clearance levels for personnel. JCAVS rosters are to be printed via the Joint Personnel Adjudication System (JPAS) monthly. Ensure you have a current roster and/or person summary sheets for *both civilian and military personnel* in your unit. Both the “Personnel Assigned” and the “Periodic Reinvestigation” rosters will be run each month.

**A19.2. (SCOTTAFB)** Maintain the most current rosters along with any additional correspondence relating to the JCAVS roster, to include: suspense copies of the AF Form 2583, *Request for Personnel Security Action*, for Personnel Security Investigations, special access programs and interim clearances (as well as interim clearance memorandums), in this section. Keep suspense copies of the AF Form 2583 until the clearance eligibility is final and the PSI case is closed or until the special access is no longer required.

**A19.3. (SCOTTAFB)** Also maintain a current alpha roster, unit manning document (UMD) and/or unit manpower roster (UMPR). Compare Alpha roster or UMD with JCAVS rosters to ensure that all unit members are being “owned” as required.

**A19.4. (SCOTTAFB)** Maintain AF Form 2587, *Security Termination Statement*, in this section for 2 years.

**Attachment 20 (Added-SCOTTAFB)****SECTION 8, MISCELLANEOUS ITEMS**

**A20.1. (SCOTTAFB)** Log sheets indicating the accomplishment of attestations of the Standard Form 312, *Classified Information Nondisclosure Agreement*, physical surveys (if applicable), and any miscellaneous security information such as posters, bulletins, etc. in this section of the Security Manager's Handbook.

**Attachment 21 (Added-SCOTTAFB)****SECURITY AWARENESS TRAINING PLAN**

**A21.1. (SCOTTAFB)** The Security Awareness Training Plan establishes training topics and ensures all training items in AFI 31-401, **Attachment 7** and training associated with our unit's mission are covered within a calendar year, ensuring and maintaining a heightened state of security awareness.

**A21.2. (SCOTTAFB)** The security manager will e-mail (*brief, etc. tailor to your training preference*) the required monthly training in the form of a power point presentation (*tailor to your training style*) to all unit personnel. The security manager will attach a read receipt to the e-mailed training (*sign-in roster, etc.*), which allows the security manager the ability to document the training. Quarterly training will be conducted as follows: (*Accommodate the following training plan to meet your unit needs and schedule*).

**A21.2.1. (Added-SCOTTAFB) 1st QUARTER (JAN-MAR)**

**A21.2.1.1. (Added-SCOTTAFB) AT/FP and Force Protection Condition (FPCON) Training**

**A21.2.1.2. (Added-SCOTTAFB) Original and Derivative Classification**

**A21.2.1.3. (Added-SCOTTAFB) Declassification and Re-grading Classified**

**A21.2.1.4. (Added-SCOTTAFB) Access Requirements to Classified Material**

**A21.2.1.5. (Added-SCOTTAFB) Elements of Safeguarding Classified**

**A21.2.2. (Added-SCOTTAFB) 2nd QUARTER (APR-JUN)**

**A21.2.2.1. (Added-SCOTTAFB) Levels of Classified**

**A21.2.2.2. (Added-SCOTTAFB) Marking of Classified**

**A21.2.2.3. (Added-SCOTTAFB) Dissemination of Classified**

**A21.2.2.4. (Added-SCOTTAFB) Storage of Classified**

**A21.2.2.5. (Added-SCOTTAFB) Safe Custodian Responsibilities**

**A21.2.2.6. (Added-SCOTTAFB) Transmission and Transportation of Classified**

**A21.2.3. (Added-SCOTTAFB) 3rd QUARTER (JUL-SEP)**

**A21.2.3.1. (Added-SCOTTAFB) Reproduction of Classified**

**A21.2.3.2. (Added-SCOTTAFB) Destruction of Classified**

**A21.2.3.3. (Added-SCOTTAFB) NATO Security Briefing (as required)**

**A21.2.3.4. (Added-SCOTTAFB) End-of-Day Security Checks**

**A21.2.3.5. (Added-SCOTTAFB) Physical Security**

**A21.2.3.6. (Added-SCOTTAFB) Personnel Security/Continuous Evaluation**

**A21.2.4. (Added-SCOTTAFB) 4th QUARTER (OCT-DEC)**

**A21.2.4.1. (Added-SCOTTAFB) Actual or Potential Compromise of Classified**

- A21.2.4.2. (Added-SCOTTAFB) *Reporting of Security Incidents*
- A21.2.4.3. (Added-SCOTTAFB) *Sanction for Violating Security*
- A21.2.4.4. (Added-SCOTTAFB) *Foreign Governments and Travel*
- A21.2.4.5. (Added-SCOTTAFB) *Unclassified, Controlled, Sensitive and FOUO*
- A21.2.4.6. (Added-SCOTTAFB) *OPSEC*

**Attachment 22 (Added-SCOTTAFB)****SECTION 9, ANNUAL TRAINING PLAN, DOCUMENTATION AND RESOURCES  
(SAMPLE INITIAL SECURITY EDUCATION BRIEFING)**

**A22.1. (SCOTTAFB) This briefing is designed to inform all newly assigned personnel of the security requirements and policies of 375 AMW/XX.** It also provides periodic security refresher training. Remember: Security is everyone's responsibility!

**A22.2. (SCOTTAFB) Classification Levels.** Information or material that requires protection against unauthorized disclosure in the interest of national security shall be classified as follows:

A22.2.1. **(SCOTTAFB) Top Secret:** Unauthorized disclosure could reasonably cause *exceptionally grave damage* to national security.

A22.2.2. **(SCOTTAFB) Secret:** Unauthorized disclosure could reasonably cause *serious damage* to national security.

A22.2.3. **(SCOTTAFB) Confidential:** Unauthorized disclosure could reasonably cause *damage* to national security.

**Note:** The markings "FOR OFFICIAL USE ONLY" (FOUO) and "Limited Official Use" shall not be used to identify classified information, but will be given the appropriate protection.

**A22.3. (SCOTTAFB) Criteria for Classifying Information.** Information that should be classified must fall into one of the following categories and unauthorized disclosure of the information, either by itself or in the context of other information, reasonably could cause damage to national security:

A22.3.1. **(SCOTTAFB)** Military plans, weapons or operations.

A22.3.2. **(SCOTTAFB)** Vulnerabilities or capabilities of systems, installations, projects or plans relating to national security.

A22.3.3. **(SCOTTAFB)** Foreign government information.

A22.3.4. **(SCOTTAFB)** Intelligence activities including special activities, or intelligence sources or methods.

A22.3.5. **(SCOTTAFB)** Foreign relations or foreign activities of the US.

A22.3.6. **(SCOTTAFB)** Scientific technology or economic matters relating to national security.

A22.3.7. **(SCOTTAFB)** US Government programs for safeguarding nuclear materials or facilities.

A22.3.8. **(SCOTTAFB)** Cryptology.

A22.3.9. **(SCOTTAFB)** A confidential source.

A22.3.10. **(SCOTTAFB)** Other sources related to national security.

**Note:** When classifying a document, use the classification guidelines.

**A22.4. (SCOTTAFB) Overall Classification.** Classify documents as high as that of the most highly classified portion.

**A22.5. (SCOTTAFB) Declassifying and Downgrading.** Declassify or downgrade as soon as national security permits. Declassification shall be based on the loss of sensitivity with the passage of time or the occurrence of events. When in doubt, contact the originator/classifier.

**A22.6. (SCOTTAFB) Marking Documents.** When classifying or reviewing a classified document, remember the following must be marked on the face of all classified documents:

A22.6.1. (SCOTTAFB) The identity of the original classification authority by position, title, unless the person is the approval authority of the document.

A22.6.2 (SCOTTAFB) . The agency and office of origin.

A22.6.3. (SCOTTAFB) Overall classification.

A22.6.4. (SCOTTAFB) Declassification date based on criteria set forth by ISOO Directive No. 1.

A22.6.5. (SCOTTAFB) Any downgrading instructions and date.

**A22.7. (SCOTTAFB) Granting Access to Classified.** The following criteria must be met before granting access to any classified material. The individual must have:

A22.7.1. (SCOTTAFB) The need to know (whether the individual's official duties require access to the classified information).

A22.7.2. (SCOTTAFB) The appropriate security clearance (at or above the level of classified information).

A22.7.3. (SCOTTAFB) Signed SF 312, *Nondisclosure Agreement* (verified via the JPAS System).

**A22.8. (SCOTTAFB) Classification Challenges.** If you believe information is classified improperly or unnecessarily, contact your security manager or the classifier of the document.

**A22.9. (SCOTTAFB) Unit Security Requirements:**

A22.9.1. (SCOTTAFB) Daily security checks must be made at the end of the duty day. Use the SF 701, **Activity Security Checklist** to record end-of-day security checks.

A22.9.2. (SCOTTAFB) A clean desk policy must be adhered to—ensure your desk and work area is neat and uncluttered. If you use classified information at your desk, ensure all unnecessary information is put away to prevent classified from getting mixed up with unclassified.

A22.9.3. (SCOTTAFB) Always use security containers to store classified materials and use the SF 702, *Security Container Check Sheet*, to record who opened/closed the container and who checked it.

A22.9.3.1. (SCOTTAFB) **NEVER LEAVE CLASSIFIED UNATTENDED!** When not in use, classified must be stored in an approved GSA container.

A22.9.3.2. (SCOTTAFB) Always use a classified cover sheet, reflecting overall security classification. Cover sheets should be used even in secure areas.

A22.9.3.3. (SCOTTAFB) Do not process classified information on equipment that is not TEMPEST.

A22.9.3.4. (SCOTTAFB) Don't remove classified material from the workplace unless specifically authorized.

A22.9.3.5. (SCOTTAFB) If you are mailing classified information, consult your unit security manager prior to mailing.

A22.9.3.6. (SCOTTAFB) When using classified information, place a security warning sign in a conspicuous place outside of your work area.

A22.9.3.7. (SCOTTAFB) Classified information, do not assume walls/workspace partitions are secure.

A22.9.3.8. (SCOTTAFB) Shred classified notes, drafts and working papers when no longer needed.

A22.9.3.9. (SCOTTAFB) If using a classified waste container, ensure waste is destroyed periodically—Remember the “Need to Know” Rule.

A22.9.3.10. (SCOTTAFB) Don't discuss classified in areas where un-secure phones are being used.

A22.9.3.11. (SCOTTAFB) Never discuss classified without ensuring personnel have security clearance eligibility equal to or greater than the classification level of the information being disclosed, have a need-to-know and have executed an SF 312, *Nondisclosure Agreement* (NDA).

A22.9.3.12. (SCOTTAFB) Classified may only be reproduced on approved copiers. **Keep reproduction to a minimum**, ensuring control of classified being reproduced.

A22.9.3.13. (SCOTTAFB) If you see a potential or actual security deficiency/incident or suspicious activities, report it immediately to your unit security manager, supervisor, branch chief or commander/staff agency chief.

**Attachment 23 (Added-SCOTTAFB)****SECURITY EDUCATION AND TRAINING PROGRAM (SAMPLE INITIAL TRAINING CHECKLIST FOR NEW PERSONNEL) REF: EO 12958; DOD 5200.1-R, CHAPTER 10; DOD 5200.2-R, CHAPTER 9; AFI 31-401**

\_\_\_\_\_ Check the individual's security clearance eligibility with the security manager (SM). Individual must be briefed employee on current clearance access level. Initiate personnel security investigation if clearance eligibility does not meet the clearance eligibility of their assigned position.

\_\_\_\_\_ In-process individual in JPAS. In the "Person Summary" view, click on "In/Out Process" and enter today's date (back-dating not allowed). Save the information.

\_\_\_\_\_ Ensure a SF 312, *Nondisclosure Agreement* (NDA), has been executed. Execute if necessary and update SF 312 information JPAS. In the "Person Summary" view, click on "NDA History" or "Indoctrinate" button and enter the date. Remember to send the original SF 312 to the appropriate agency.

\_\_\_\_\_ If the new employee is required to hand carry classified in the local area, have the SM complete a DD Form 2501 for the new employee and make sure the individual is adequately briefed on procedures for hand carrying classified information.

\_\_\_\_\_ Individual must receive Physical Security Awareness Training prior to receiving unescorted access to restricted areas.

\_\_\_\_\_ Have the SM fill out an AF 2586 if members require unescorted entry to restricted area. Coordinate appropriately. Provide training on badge usage and display.

\_\_\_\_\_ Have member review all applicable unit/directorate operating instructions.

\_\_\_\_\_ If the member requires access to a special access program, i.e. NATO, SIOP, SCI, contact the applicable Program Manager.

USE THE INITIAL SECURITY EDUCATION BRIEFING TO BRIEF THE NEW EMPLOYEE ON THE FOLLOWING INFORMATION:
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\_\_\_\_\_ Roles and responsibilities of the Security Manager, "Familiarization of all security

aspects of their particular assignment”

\_\_\_\_\_ Levels of classified information and the damage criteria associated with each level

\_\_\_\_\_ Criteria for classifying information

\_\_\_\_\_ Overall Classification

\_\_\_\_\_ Declassifying and Downgrading Classified—General requirements for declassifying and downgrading information

\_\_\_\_\_ Marking Classified Documents—Prescribed classification markings in EO 12958 and the importance of properly marked classified. See the Security Manager if you are unsure of how to mark classified.

\_\_\_\_\_ Granting Access to Classified—Remember, never discuss classified without ensuring personnel have security clearance eligibility equal to or greater than the classification level of the information being disclosed, have a need-to-know and have executed an SF 312, NDA.

\_\_\_\_\_ Classification Challenges—Procedures for challenging the classification status of information.

\_\_\_\_\_ Unit Security Requirements:

\_\_\_\_\_ Building security and end-of-day security check responsibilities

\_\_\_\_\_ Proper safeguarding procedures and the general restrictions for access to classified.

\_\_\_\_\_ The actions to take if you suspect an unauthorized disclosure or violation of safeguarding procedures.

\_\_\_\_\_ All personnel must be informed of the penalties for violation or disregard of the provisions of Executive Order 12958, *Classified National Security Information*, and

implementing directives.

REMEMBER: GOOD SECURITY PRACTICES INVOLVE KNOWING, DOING AND CHECKING! "SECURITY IS EVERYONE'S RESPONSIBILITY."

I have received the newcomer's indoctrination security briefing from my supervisor/security manager on: \_\_\_\_\_ (date).

NAME: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

UNIT SECURITY MANAGER: \_\_\_\_\_

**Attachment 24 (Added-SCOTTAFB)****SAMPLE 375 AW CLASSIFIED MATERIAL COURIER BRIEFING (HAND-CARRYING CLASSIFIED)**

**A24.1. (SCOTTAFB) Couriers of classified material will:**

**A24.2. (SCOTTAFB)** Only be authorized to hand-carry classified information when the information is not available at the destination and is required by operational necessity or a contractual agreement.

**A24.3. (SCOTTAFB)** Ensure classified material is properly packaged prior to transmission (double wrapped in two opaque sealed envelopes, wrappings, or containers). A locked briefcase may serve as the outer wrapping. **Note: THERE WILL BE NO EXTERIOR MARKINGS ON THE OUTSIDE ENVELOPE.**

**A24.4. (SCOTTAFB)** Have DD Form 2501, **Courier Authorization Card**, and military ID card available when hand-carrying classified information within the St. Louis area/expecting to pass through an inspection point. DD Form 2501 is a controlled form, valid for up to 1 year from issuance. **Note: DOCUMENTATION IS NOT REQUIRED WHEN HAND-CARRYING CLASSIFIED INFORMATION WITHIN 375 AW ORGANIZATIONS ON SCOTT AFB, WHEN NOT EXPECTING TO PASS THROUGH AN INSPECTION POINT.**

**A24.5. (SCOTTAFB)** Keep the classified material under personal possession or under constant surveillance at all times until delivered to designated addressee.

**A24.6. (SCOTTAFB)** Ensure classified material being carried has been inventoried. A copy of the inventory will be retained by the courier's security office and a copy shall be carried by the courier.

**A24.7. (SCOTTAFB)** Ensure all classified material is in a sealed package or produce a receipt signed by the security officer of the addressee organization for any material that is not returned.

**A24.8. (SCOTTAFB)** In the event of an emergency involving immobilization of the mode of transportation, request assistance from the nearest government installation or cleared facility with storage capability to provide storage and protection. In the event of an overnight stop, ensure the classified material is kept under the constant surveillance of another cleared employee or placed in secure storage at the nearest government installation, embassy or cleared facility. **Note: CLASSIFIED MATERIAL WILL NOT BE LEFT IN HOTEL SAFES.**

**A24.9. (SCOTTAFB) Contact 375 AMW/IPI if hand-carrying or escorting classified material aboard commercial aircraft.** This requires advanced coordination and authorization.

**A24.10. (SCOTTAFB)** Ensure that personal travel documentation (passport, approved courier authorization, medical documents, etc.) is complete, valid and current and courier has proper identification.

**A24.11. (SCOTTAFB)** Take measures to protect the classified material in cases of emergency.

**A24.12. (SCOTTAFB)** There is no assurance of immunity from search by the customs, police and/or immigration officials of various countries whose border the courier may cross; therefore, should such officials inquire into the contents of the consignment, the courier shall present the courier orders and ask to speak to the senior customs, police and/or immigration official; this

action should normally suffice to pass the material through unopened. However, if the senior official demands to see the actual contents of the package, it may be opened in his or her presence, but should be done in an area out of sight of the general public. Precautions should be taken to show officials only as much of the contents as will satisfy them that the package does not contain any other item. The courier should ask the official to repack the material or assist in repacking it immediately upon completion of the examination. The courier should request that the official provide evidence of the opening and inspection of the package by sealing and signing it when closed and confirming on the courier certificate that the package has been opened. Both the addressee and the dispatching security officer shall be informed in writing of the opening of the material.

**A24.13. (SCOTTAFB) Couriers of classified material will not:**

A24.13.1. **(SCOTTAFB)** Hand-carry classified information that can be sent via a secure facsimile transmission or by other secure means of communication.

A24.13.2. **(SCOTTAFB)** Read, study, display, discuss or use the material in any public place.

A24.13.3. **(SCOTTAFB)** Leave the materials unattended. If an unexpected delay or stop should occur, only use a military or government leased facility for proper storage.

A24.13.4. **(SCOTTAFB)** Place classified in a detachable storage compartment.

A24.13.5. **(SCOTTAFB)** Deviate from the authorized travel schedule.

A24.13.6. **(SCOTTAFB)** Use intoxicants or drugs (controlled or prescription) that may impair their judgment or physical ability to maintain constant alertness.

**Attachment 25 (Added-SCOTTAFB)**

**CLASSIFIED MATERIAL COURIER CERTIFICATION**

I certify I have read, understand and agree to comply with the information contained in this Classified Material Courier Briefing. I fully understand that classified material in my possession is my responsibility until released to a properly cleared and authorized individual at my end destination or returned to my work center; and that any willful violation of this procedure could result in disciplinary action.

\_\_\_\_\_  
(Printed Name)

\_\_\_\_\_  
\_\_\_\_\_  
(Signature)

(Date)

REFERENCES: DOD 5200.1-R, C7.3; AFI 31-401, para 6.7.

## Attachment 26 (Added-SCOTTAFB)

## SAMPLE COURIER DESIGNATION MEMORANDUM



DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS 375TH AIRLIFT WING (AMC)

MEMORANDUM FOR TO WHOM IS MAY CONCERN

FROM: UNIT/CC (Agency chief or equivalent)  
Street Address  
Scott AFB IL 62225-5361

SUBJECT: Designation of Official Courier

1. Master Sergeant Frank E. Smith, SSN 123-45-6789, Headquarters, 123d Combat Support Group, Headquarters Squadron Section, Robins Air Force Base, Georgia 31098, is designated an official courier for the United States Government. Upon request, he will present his official identification card NO. \_\_\_\_\_. (Describe type of ID).
2. Sergeant Smith is hand-carrying three sealed packages, size 9" x 8" 24" addressed from HQ 123 CSG/CCQ, Robins AFB, GA 31098" and addressed to "HQ USAF/IGS, Washington, DC 20330. Each package is identified on the outside of the package by the marking "OFFICIAL BUSINESS-MATERIAL EXEMPTED FROM EXAMINATION" bearing the signature of the undersigned.
3. Sergeant Smith is departing Atlanta International Airport with a final destination to Washington National Airport, District of Columbia.
4. This courier designation can be confirmed by contacting the undersigned at HQ 123 CSG, Area Code (478) 926-1234, or DSN 468-244-1234. This letter expires on \_\_\_\_\_ . (enter date hand-carrying complete)

JAMES H. BROWN, Lt Col, USAF  
Commander

References: DOD 5200.1-R  
AFI 31-401 (Orders-approving official can designate couriers)

