

LESSON 3

Visitor Control

Visitor control procedures are essential in order to prevent visitors from gaining unauthorized access to classified information. Section III of the Industrial Security Regulation (DoD 5220.22-R) establishes the procedures and responsibilities of the User Agency for classified visits. Procedures for the contractor are contained in the National Industrial Security Program Operating Manual (NISPOM), DoD 5220.22-M, Chapter 6.

OBJECTIVES

When you have completed this lesson, you should be able to do the following:

- Discuss the general requirements for a classified visit.
- List the information required on a Visit Authorization Letter (VAL).

BASIC CONCEPTS

Because you and your personnel visit contractors and vice versa, you need to know the procedures that the contractors are expected to follow under the NISP. You will find that some of the requirements are not what you're used to following.

Who is considered a "visitor"? Within the NISP, a visitor may be defined as "any non-employee requiring access to classified information at your location." If the visit can be accomplished without having access, they are not considered a visitor under the NISP.

Some of the basic concepts regarding visits are:

- Keep the visits to an absolute minimum required to effectively meet contractual requirements.
- Be sure there is a need-to-know (not nice to know!).
- Be sure the individual has the authority to gain access.
- If you disapprove of the visit, notify the sender. If you don't, the sender is to assume that the visit has been approved.

VISIT AUTHORIZATION LETTER

The following items of information must appear on the VAL:

- Name of individual to be visited. This can be used to verify the need-to-know.
- Name, POB, DOB, and citizenship of the visitor.
- Clearance Level: To include any restrictions or special access approvals.
- Purpose of the Visit: This is an important part of the VAL. This should contain as much information as necessary to allow the receiver to make a determination on whether or not to grant the visit.

- Period or Duration: Classified visits may be arranged for a 12-month period or another period that is appropriate for the purpose of the visit. If the visits are contract related, the VAL could cover the life of the contract. You may accept the VAL for whatever period you deem appropriate within these parameters.
- Necessary Information: Name and address of sender, to include Commercial and Government Entity (CAGE) code and phone number. This could be on official letterhead. Obviously, User Agencies do not have CAGE codes. (CAGE codes are issued to companies doing business with the federal government.)
- Level of Facility Clearance: The contractor must provide you this information. You in turn should contact the Defense Security Service, DISCO, Central Verification Activity (CVA) in Columbus, OH and verify this information unless the two parties have a current contractual relationship at the same or higher classification level. The most efficient way to contact CVA is via the internet at www.dss.mil. The Regulation states that once you have verified the fact that the facility is in the program, if you have any doubt regarding the visitor's clearance you will contact the security officer of the facility that sent the VAL. You should not call DISCO and attempt to verify the clearance through them.

As you can see, the visitor's Social Security Number (SSN) is not required. The Privacy Act of 1974 requires a Federal activity to provide an individual with a Privacy Act statement when requesting the individual's SSN. Most contractors know, however, that the User Agencies and other contractors sometimes do not accept VALs unless the SSN is included.

VISITING CONTRACTOR'S RESPONSIBILITIES

How do these VALs get from one place to the other? The VAL must be made in writing and in advance of the visit. It cannot be hand carried by the visitor (it may be transmitted by a courier). Should a contractor show up at your installation hand carrying his or her own VAL you shouldn't authorize access until you receive a VAL from the facility directly. The facility is allowed to telephone the VAL information to you as long as they follow up with a hard copy. The decision to accept the phone information is left up to you.

This applies to your visit to them also. Travel orders are not considered a valid VAL under the NISP. Acceptable methods of sending a VAL include a letter, facsimile transmission (Fax), and teletype. Electronic means, such as e-mail, are also acceptable, when access to the program is controlled through physical or software protection and has digital signature authentication.

It is the sender's responsibility to notify the receiver of any changes to the information provided in the VAL.

ACTION BY THE RECEIVER

The receiver, using the information on the VAL, may approve or disapprove the visit. Note that the receiver of the VAL must notify the sender only when the VAL is disapproved. The appropriate clearance level and need-to-know must be considered. Can the visit be conducted without the individual receiving access to classified information? If so, then approve an unclassified visit and send the VAL back.

It was mentioned that the facility clearance must be verified. Contacting CVA was one method. The other would be if you already have a contractual relationship with the facility and the contract is at that particular clearance level or higher. Thus, the facility clearance should have been verified previously. These verifications are valid for a period of three years or as long as the contract remains valid. During that period you will be notified by CVA of any changes in the information previously provided to you.

When the visitor arrives, make sure you verify the fact they are who they say they are by viewing something with their name and picture on it, such as a driver's license or employee ID card. Keep a record of all visitors approved for access to classified information. The record must indicate the visitor's name, the name of the activity represented, and the date of the visit.

Many contractors will not allow visitors to carry in cameras, cell phones, personal digital assistance (PDAs) devices, video equipment, tape recorders, and the like, so be sure to brief your personnel regarding the rules prior to their visit to a contractor. Be aware that approval for the visit only authorizes access to classified information, not physical release of classified material. Release would be authorized only if done through proper procedures or channels. One of the biggest offenders of this is the "good old boy" network. Release of classified material should be limited to only those facilities who have a bonafide need, are authorized access to it, and have proper storage capability.

CATEGORIES OF VISITORS TO CONTRACTORS

The NISPOM discusses two categories of visitors. The two categories are as follows:

Contract Related Visits are those in which there is a contractual relationship (to include all phases of pre-contract activity) between the sender and the receiver. In this case the VAL goes directly from the sender to the receiver.

Non-Contract Related Visits are those in which there is a need-to-know and the appropriate clearance level, but no contractual relationship exists. When this situation exists, the party who will be disclosing the classified information must seek approval from the Government Contracting Activity (GCA) jurisdiction over the information. User Agencies can, however, process their VALs directly, provided that it is their classified information, which will be accessed. If the classified information belongs to another User Agency (UA) (or to a Non-User Agency), the VAL may have to be processed through that agency for a release authorization.

VISITS BY DEPARTMENT OF ENERGY (DOE) PERSONNEL TO DoD FACILITIES

When representatives of DOE and its contractors visit a DoD UA contractor's facility for the purpose of having access to a DoD UA's classified information, the visit is a Non-Contract Related Visit. As such, it requires a need-to-know certification by the DoD UA that has jurisdiction over the information involved.

The DOE activity requesting the visit will furnish the required information to the DoD UA whose information is involved using DOE's form, "Request for Visit or Access Approval," DOE Form 5631.20.

If approved, the DoD UA will forward the DOE Form 5631.20 to the contractor with the certification of the need-to-know for the visit.

Contractors may accept the clearance information contained in the DOE Form 5631.20 provided it contains a DoD UA's endorsement and the visitor presents proper identification at the time of the visit.

VISITS TO DOE ACTIVITIES AND DOE CONTRACTORS

Contractor visits to DOE activities and DOE contractors are also considered Non-Contract Related visits and are forwarded to the DOE through the appropriate DoD UA for need-to-know certification and personnel clearance certification. These requests do not have to be made on the DOE form as long as the request contains all the required information. However, DoD activities must follow DoD Directive 5210.2.

VISITS INVOLVING OTHER NON-USER AGENCIES

Visits to or by other Non-UA's are also considered Non-Contract Related visits. Visit requests are forwarded through the appropriate GCA for disclosure certification if access to UA classified information is involved.

VISITS TO USER AGENCY ACTIVITIES OUTSIDE THE UNITED STATES

Visits to UA activities outside the U.S. are processed in the same manner as other classified visits. The overseas activity to be visited will notify the contractor of the approval or disapproval of the visit request.

CLASSIFIED MEETINGS

The general policy is that all meetings within the scope of the Industrial Security Regulation (ISR) (paragraph 1-400) must be sponsored by a DoD component. Exceptions to this rule include the following:

- Meetings related to a specific contract or project, including pre-proposal or pre-award meetings
- Post-award briefings conducted by the DoD contracting activity
- Meetings conducted by a cleared contractor(s) and attended by cleared contractor personnel directly involved in the performance of a contract or project
- The head of the component having a significant interest in the subject matter may sponsor a meeting after determining that the meeting is in the best interest of the national security
- The use of conventional channels for dissemination of classified scientific and technical information would not accomplish the purpose of the meeting
- Adequate security measures and access procedures have been developed and will be carried out
- The location selected for the classified sessions of the meeting facilitates the proper control and dissemination of classified information and adequate facilities are available for its storage and protection.

REQUESTS FOR SPONSORSHIP

Contractors desiring to conduct meetings requiring sponsorship will submit their requests to the UA having principal interest in the subject matter of the meeting. Only that UA may sponsor the meeting. Details regarding necessary information and other security precautions are addressed in paragraphs 6-201 through 6-203, NISPOM, as well as in 1-400 through 1-410, ISR.

SUMMARY

There are certain basic requirements set forth for the control of visitors as well as responsibilities of the requesting contractor and the User Agency activities. Remember as you accept visitors and the contractor approves visit requests you are both authorizing disclosure of your classified information. It is vital to the protection of classified information that the visitor fully understands the requirements set forth, and the rationale behind these requirements, in the NISPOM and ISR. Requirements levied on the contractor in addition to those in the NISPOM are at the discretion of the User Agency; however, the User Agency may have to bear the costs, depending on the circumstances.

REVIEW EXERCISES

Complete the following exercises for review and practice. Multiple choice questions may have one or more correct choices.

1. A visitor is any non-employee who requires a _____ to c_____ information.
2. A VAL must contain which of the following?
 - a. Name of visitor
 - b. Visitor's date & place of birth
 - c. Visitor's Social Security Number
 - d. Visitor's clearance level
 - e. Date & issuing authority of visitor's clearance
 - f. Facility clearance level & CAGE code of the sender
3. A VAL sent by facsimile (fax) is acceptable.

True
False
4. Official government travel orders may serve as a VAL to a contractor's facility.

True
False
5. A visitor's identification must include the visitor's n_____ and p_____.
6. A facility clearance must be verified and this can be done by contacting the DSS, D_____, - C_____.
7. There are _____ visit categories.
8. Visits to User Agency activities outside the United States must be forwarded through DISCO.

True
False
9. A User Agency must formally sponsor a classified meeting at a cleared facility.

True
False
10. Meetings may be sponsored by a DoD component only when the head of the component determines that the meeting _____.

ANSWERS

1. *access to classified information (p. 3-1)*
2. *a; b; d; f; (pp. 3-1,2)*
3. *True (p. 3-2)*
4. *False (p. 3-4)*
5. *name picture (p. 3-3)*
6. *DISCO, CVA (p. 3-2)*
7. *two (p. 3-3)*
8. *False (p. 3-4)*
9. *True (p. 3-5)*
10. *is in the best interest of the national security (p. 3-5)*