

The Instructors at the Defense Security Service Academy (DSSA) are committed in providing timely responses to your questions or concerns.

Use the following guidance to help you. E-mail, phone, or fax your questions/ concerns to the appropriate location.

## **ANY ADMINISTRATIVE QUESTIONS/CONCERNS**

### **PERTAINING TO THE FOLLOWING:**

- Enrollment Procedures
- Disenrollment
- Receipt of Course Material
- Course Reissue
- Enrollment Extension

### **OR CHANGES IN:**

- Address
- Contractor Status
- Student ID or Social Security Number

### **PLEASE CONTACT:**

THE DSSA Customer Service Center :

E-MAIL: [call.center@mail.dss.mil](mailto:call.center@mail.dss.mil)

TELEPHONE: (888) 347-5213 or (410) 865-3080

## **FOR SUBJECT MATTER EXPERTISE**

### **PERTAINING TO:**

- Confusing Information
- Course Difficulty
- Course Content (inclusive of final examination)
- Missing Course Material
- Interpretation of Course Content/Material

E-MAIL: [www.dssa.is@mail.dss.mil](mailto:www.dssa.is@mail.dss.mil)

## NOTICE

We have made every effort to ensure that the content of this course agrees with the requirements of the *National Industrial Security Program Operating Manual (NISPOM)* in effect at the time of course publication. Because, changes to the *NISPOM* may occur after that time. Please direct any questions regarding technical accuracy to your DSS Field Office. However, when taking the examination at the end of the course, be sure to base your responses to the questions in the course examination solely on the information provided in the course and not on any other source.

**January 2004**



*Defense Security Service Academy*  
938 Elkridge Landing Road  
Linthicum, MD 21090

Welcome to (*Essentials of Industrial Security Management*)

If you are a newly appointed Facility Security Officer (FSO), you may be feeling somewhat uneasy and have some genuine concerns about what is expected of you. You probably feel overwhelmed with the definitions, acronyms, requirements, reports, and forms that seem to have all descended upon you at the same time. If you are like many of your colleagues, other FSOs of small to medium size firms, you may very well have other major duties at your facility, and security may be but one of several hats you wear.

If one or more of these circumstances describe you or your situation, then this course is for you. *Essentials of Industrial Security Management* takes you in a simple and straightforward manner, topic-by-topic, through the baseline requirements for all facilities cleared under the National Industrial Security Program (NISP). And it's written specifically for you - the Facility Security Officer.

Because the NISP relies ultimately on the integrity, knowledge, and willing cooperation of the people who work with classified information on a day-to-day basis, much depends on your success as an FSO. I hope you will find that *the Essentials of Industrial Security Management Course* prepares you to succeed.

Kevin Jones  
Director DSS Academy

## SAFEGUARDING THE UNITED STATES OF AMERICA

As you spend time studying the material in this course, *Essentials of Industrial Security Management*, it is important that you understand and remember where you fit in to the big picture. As a Facility Security Officer (FSO) or security staff member of a cleared facility you play a very important role in protecting the security of the United States.

Think for a moment of the many freedoms and rights that we enjoy in the United States. The government of the United States is “of the people, for the people, and by the people.” One of the primary functions of this government is to protect its citizens. A strong national defense and effective security programs are vital components, which provide for this protection.

As you perform your duties as a security professional, please keep in mind that you have an awesome responsibility to protect the classified information entrusted to your facility by the U.S. Government. Remember that many foreign governments would like to acquire whatever goods or services your company provide(s) to the U.S. Government. In some cases they may do so by legal means. In many cases, however, foreign governments and terrorist organizations attempt to illegally acquire the information that you are obligated to protect.

Our adversaries use many means to obtain our classified information. Over past decades, the United States has lost vital technology as a result of U.S. citizens selling classified information to foreign entities. We are also aware of many instances when our adversaries simply request that information be given to them. These requests may come in the form of e-mail messages, phone calls, or personal contact with cleared employees. Foreign intelligence services and terrorist organizations are also known to use a variety of other methods to collect information. Any unauthorized disclosure of classified information will cause damage to the United States. Your job, as a security professional is to insure that classified information is protected from any unauthorized disclosure.

This course covers the provisions of the National Industrial Security Program (NISP). The NISP is designed to protect classified information while it is in the hands of U.S. industry. The NISP includes over 11,000 cleared defense contractor facilities ranging in size from giants to one-person operations. There are over 800,000 individuals with security clearances employed by these facilities. An estimated 11 million classified documents are entrusted to industry as well as a huge amount of data in electronic form. The goal of the NISP is to assure that classified information released to industry is properly safeguarded.

As you complete this course and proceed in your duties as a security professional please keep the big picture in view. Take seriously the responsibility that you have to protect the classified information that you and your company’s employees have access to. Use what you learn from this course to properly safeguard classified information according to the provisions of the NISP.

**Good luck to you, and enjoy the *Essentials of Industrial Security Management* course.**

# Contents

	<b>Page</b>
Notice .....	i
Welcome Letter .....	ii
Safeguarding the United States .....	iii
Table of Contents .....	iv
General Information.....	v
Acronyms and Abbreviations.....	ix
Introduction.....	xi
<b>1</b> Overview of the National Industrial Security Program .....	1-1
<b>2</b> Overview of the National Industrial Security Program Operating Manual.....	2-1
<b>3</b> The Facility Security Clearance.....	3-1
<b>4</b> Personnel Security Clearances: General Concepts .....	4-1
<b>5</b> Personnel Security Clearance Procedures.....	5-1
<b>6</b> Reports.....	6-1
<b>7</b> Procedures for Visitors .....	7-1
<b>8</b> Security Education: Briefings .....	8-1
<b>9</b> Security Reviews.....	9-1

# General Information

## PURPOSE

This course is designed to orient Facility Security Officers (FSOs) of facilities cleared under the National Industrial Security Program (NISP) with their basic responsibilities. Members of the FSO's security staff, Defense Security Service employees and User Agency personnel who wish to gain a better understanding of the role of the FSO within the NISP are also encouraged to enroll.

## ENROLLMENT ASSISTANCE



On any matter concerning your enrollment (a change in your mailing address, non-receipt of materials, your exam score, etc.) communicate with DSSA. To contact DSSA by telephone, use these numbers.

- Commercial: (410) 865-3080 or (888)347-5213
- DSN: 283-7295/7732
- E-MAIL: [dssa.registrar@mail.dss.mil](mailto:dssa.registrar@mail.dss.mil)

## ADDITIONAL DSS ACADEMY SUBCOURSES

Course descriptions are provided on our website at <http://www.dss.mil/training>, under the homepage for the DSS Academy.

## STUDYING THE LESSONS

To get the most out of each lesson we urge you to follow this procedure: Read the lesson objectives and refer to them from time to time as you go through the lesson text. Complete the review exercises for the lesson. Refer to the lesson text to check your answers.

## CONTENT ASSISTANCE

If you have a question about the content of this subcourse, a correction or suggestion to improve its content, refer to the administrative questions/concerns page. Our address is:

**DSS Academy  
ATTN: Industrial Security Team  
938 Elkridge Landing Road  
Linthicum, MD 21090**

- Telephone (410) 865-3080 or (888) 347-5213
- Send a fax to **410-865-3221**
- E-mail address: [call.center@mail.dss.mil](mailto:call.center@mail.dss.mil)

## TIME LIMIT

The National Industrial Security Program Operating Manual (NISPOM) requires that a facility security officer (FSO) complete training "within one year of appointment to the position of FSO." If you are employed by the Defense Security Service and your enrollment has been directed by a supervisor, the course may be completed during duty hours.

## COURSE OBJECTIVES

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

- State the purpose of the National Industrial Security Program (NISP) and describe the roles of Government Contracting Activities (GCAs), cleared contractors, and the Defense Security Service (DSS) within the DoD implementation of the NISP.

- Apply key provisions of the National Industrial Security Program Operating Manual in carrying out the duties of an FSO.
- Explain what a facility security clearance (FCL) is, its purpose, and the considerations on which it is based; take appropriate action if changes regarding the FCL occur.
- Explain what a personnel security clearance (PCL) is, its purpose, and the considerations on which it is based. Conduct the initial processing of various applicants for PCLs. Conduct the initial processing of a non-U.S. citizen who is an applicant for a limited access authorization (LAA). Follow procedures for processing changes affecting PCLs and LAAs.
- Prepare and submit timely, accurate reports as required.
- Differentiate the types of classified visits, and apply the procedures associated with them.
- Differentiate various types of briefings and present them as appropriate.
- Differentiate various types of surveys and reviews conducted within the NISP, and respond to findings associated with them as required; conduct a facility self-inspection at a non-possessing facility.

## EXAMINATION



When you feel confident that you can meet the objectives for the entire course, do the following:

- Access the ENROL web site:  
<https://enrol.dss.mil/enrol/default.asp>
- Go to this course
- And click on the exam URL.

The examination is an open book test; passing score is 75 percent (at least 33 items correct out of 44). If you score less than 75 percent, take the test again.

## DSS ACADEMY CERTIFICATE

When you have successfully completed the exam, an online Certificate of Completion will be available for printing.

Go online to: <https://dssaots.dss.mil/cgi-bin/OnlineTest/list.cert.pl>

- Type in your user name that you used to take the exam
- The OTS will display all successfully passed exam grades, date taken, and the certificate. Print the certificate.

# Acronyms & Abbreviations

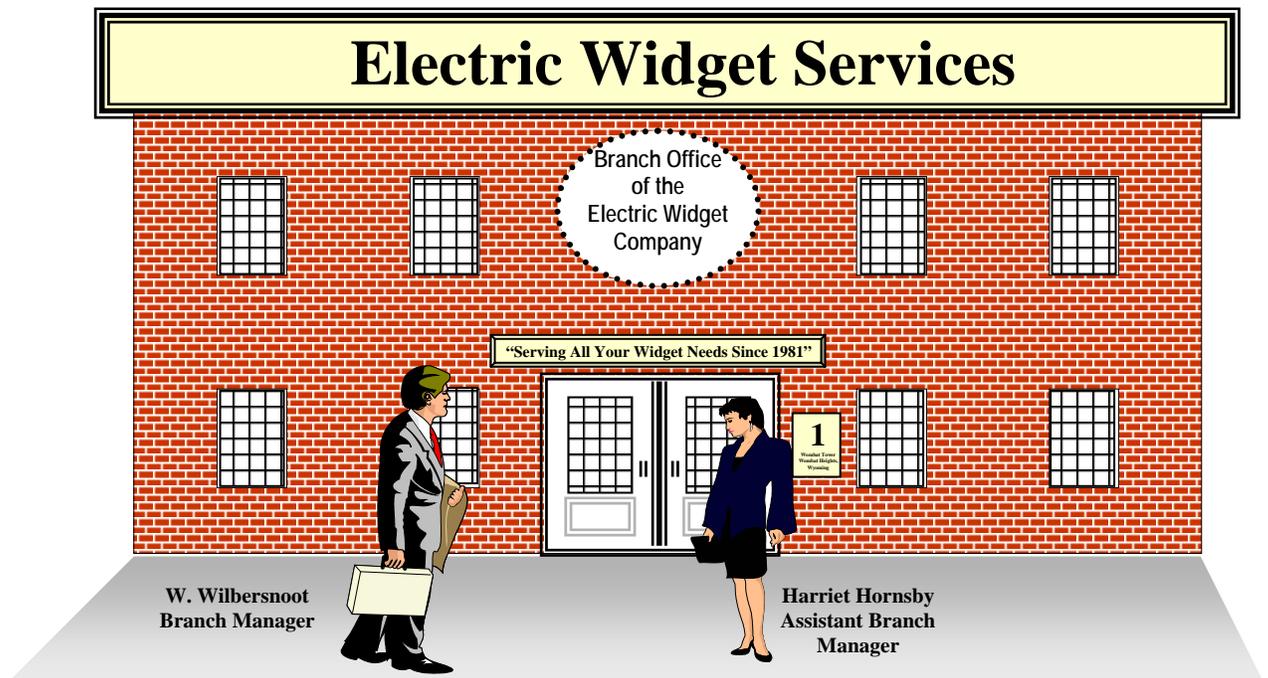
C, (C)	CONFIDENTIAL
CAGE	Commercial and Government Entity
CIA	Central Intelligence Agency
CNWDI	Critical Nuclear Weapon Design Information
COMSEC	Communications Security
CSA	Cognizant Security Agency
CSO	Cognizant Security Office
CVA	Central Verification Activity
DA	Department of the Army
DD	Department of Defense (as in DD Form)
DISCO	Defense Industrial Security Clearance Office
DoD	Department of Defense
DSSA	Defense Security Service Academy
DOE	Department of Energy
DOHA	Defense Office for Hearings and Appeals
DSS	Defense Security Service
EWC	Electric Widget Company (fictional)
EWS	Electric Widget Services (fictional)
FBI	Federal Bureau of Investigation
FCL	Facility Security Clearance
FIS	Foreign Intelligence Services
FL	Form Letter
FOCI	Foreign Ownership, Control, or Influence
FSC	Federal Supply Code
FSO	Facility Security Officer
GCA	Government Contracting Activity
HOF	Home Office Facility
IS	Information Systems
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer

ISSP	Information Systems Security Professional
IS Rep	Industrial Security Representative
ISSR	Information System Security Representative
KMP	Key Management Personnel
LAA	Limited Access Authorization
LOC	Letter of Consent (An electronic transmission from DISCO that indicates date of PCL)
MFO	Multiple Facility Organization
NACL	National Agency Check with Local Agency Checks & Credit Check
NATO	North Atlantic Treaty Organization
NISP	National Industrial Security Program
NISPOM	National Industrial Security Program Operating Manual
NRC	Nuclear Regulatory Commission
PCL	Personnel Security Clearance
PIC	Personnel Investigation Center
PMF	Principle Management Facility
PSI	Personnel Security Investigation
RFI	Representative of a Foreign Interest
S, (S)	SECRET
SPP	Standard Practice Procedures
TS, (TS)	TOP SECRET
UA	User Agency
VAL	Visit Authorization Letter

# Introduction

## BASIC SECURITY MANAGEMENT

In this module, we will examine the role that you, the Facility Security Officer (FSO), play in maintaining our national security. In order to make the concepts we're trying to teach more concrete, we'll be visiting the fictitious offices of Electric Widget Services from time to time. Electric Widget Services (EWS) is a small branch office of the Electric Widget Company. Unlike its home office, EWS is not very deeply involved with the handling of classified information. Like many of you out there, EWS is an *access elsewhere* facility. That is, its employees only have access to classified information at sites other than EWS. EWS does not produce or store anything classified.

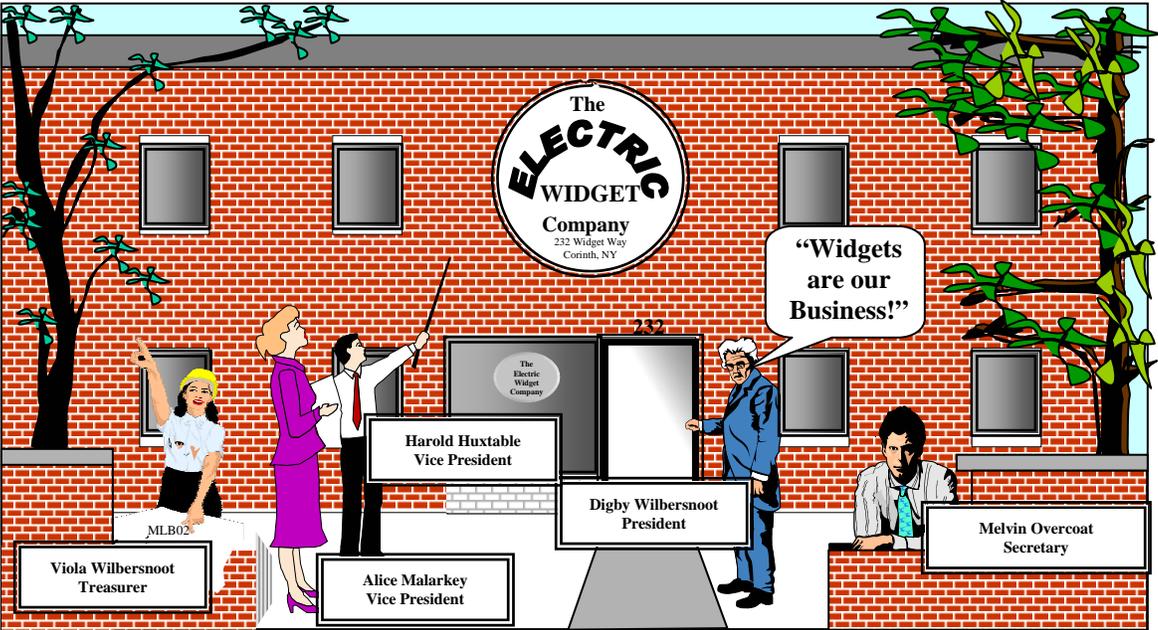


EWS shares the problems and concerns of non-possessing facilities throughout the National Industrial Security Program (NISP).

You should find that most of the security matters at EWS mirror those at your facility. For those facilities with more involvement in the NISP, we will be going to the home office, Electric Widget Company, in our next module.

You will find, on these pages, an illustrated introduction to the people and facilities we will be dealing with. Don't bother with trying to remember any of these details, you'll be introduced to the characters and situations as you go along.

Before we visit EWS, let's look at just what this program for the protection of classified information is and how EWS and your facility fit into it.





**SALUS POPULI SUPREMA LEX.**

The Safety of the people is the highest law.

—Cicero