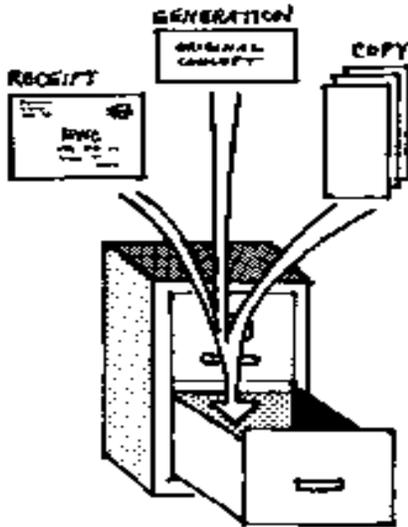


LESSON 2

Receipt and Distribution



OBJECTIVES

Let's say that your safeguarding capability has been approved by your Field Office at the SECRET level. You're all set to possess classified information. Where do all of the container-filling documents come from? There are three basic ways in which a facility comes to possess classified information: *receiving it*, *generating it*, and *reproducing it*. You get it, you make it, or you make a copy of it. In this lesson we'll go over the rules for receiving SECRET and CONFIDENTIAL documents from somewhere else (the Government, another contractor, or another facility of your company). We'll also go over distribution, making classified information available for access by the people at your facility who are authorized to use the information. Along the way, we'll meet some other people at EWC.

OBJECTIVES

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

- Ensure that deliveries of classified material are made to a designated (or authorized) person in an approved way.
- Check for various irregularities with a classified delivery.

- Take appropriate actions for various kinds of correct deliveries.
- Prepare and submit accurate reports for various problems with a classified delivery and take appropriate related actions.
- Enter required information regarding classified deliveries in appropriate records; retain records for required periods.
- Make proper in-house distribution of classified material.
- Handle classified material received for or from a visitor.

INITIAL RECEIPT AND DELIVERY



"ENSURE THAT THE RECEIVER IS APPROPRIATELY CLEARED".

The first concern in receiving classified material is to ensure that the *receiver is appropriately cleared*. If all postal deliveries that could contain classified material are made directly to appropriately cleared, designated personnel, this is a pretty simple matter. Often, though, this is not the case. Instead, postal deliveries that could contain classified material are initially received by someone else, a mailroom clerk, for instance, or a receptionist. Let's see how this works.

HOW DOES A CLASSIFIED SHIPMENT ARRIVE?

The NISPOM authorizes quite a few transmission methods, but we'll focus on only the usual ones. For most facilities within the NISP, receiving classified material consists of receiving SECRET and CONFIDENTIAL documents. In most cases these documents are sent through the U.S. *Postal System* or by *messenger*. The mailing methods authorized for SECRET documents are U.S. *Express Mail* and U.S. *Registered Mail*. These methods may also be used for CONFIDENTIAL documents. But since U.S. *Certified Mail* is also authorized for CONFIDENTIAL documents, and since U.S. *Certified Mail* costs less than the other two methods, most CONFIDENTIAL shipments will arrive in this way.

MAILING METHODS	
SECRET	CONFIDENTIAL
U.S. Express Mail	U.S. Express Mail
U.S. Registered Mail	U.S. Registered Mail
	U.S. Certified Mail

When messengers are used, they may be commercial messengers or, more likely, "couriers" - that is, appropriately cleared and specially briefed employees of the sender.

WHAT DOES A CLASSIFIED

A classified shipment looks like any other shipment. The difference is that classified material comes *double-wrapped*. The outer container (envelope, carton) is the plain, run-of-the-mill disguise for an inner container that is stamped with the classification of the sensitive information inside it.

CLEARANCES OF RECEIVERS

Since it should be impossible to tell from the outer container whether a particular mail delivery contains classified material, what's to prevent its being compromised? The NISP's solution is to require that all employees who are authorized to receive (sign for) U.S. Registered Mail or U.S. Express Mail have SECRET clearances, and that all employees who are authorized to receive U.S. Certified Mail have CONFIDENTIAL clearances.

AN ALTERNATIVE DEDICATED MAILING ADDRESS

Clearing all potential receivers of classified information may not be practicable in every case. For one thing, it



Employee who signs for:	Must have:
U.S. Express Mail/ U.S. Registered Mail	SECRET PCL
U.S. Certified Mail	CONFIDENTIAL PCL

requires more personnel to be cleared at a time when the NISP is striving to cut down on the number of clearances. And if there is a high turnover in authorized receivers, the clearance situation rapidly gets out of hand. One way around these problems is to establish a *dedicated mailing address for classified material*. Usually this is a post office box to which all classified material for the facility is sent. A designated and thoroughly briefed employee goes to the post office, unlocks the box, signs for its contents, and brings it back to the facility.

INITIAL EXAMINATION OF SHIPMENT

Let's take the case where the delivery is *not* made directly to a designated document custodian or to a dedicated mailing address. At EWC, deliveries are made to the mailroom where Milo Mertz, the shipping clerk, signs for all U.S. Registered, U.S. Express, and U.S. Certified Mail. Milo has a SECRET PCL. How does he handle these deliveries?



- **Sign Postal Receipt.** Milo always looks forward to receiving these three kinds of mail, since he never knows when there will be a classified package inside. The first thing Milo does is sign the postal service *U.S. Rera, 57-ERC-p PA(:kA4C*. receipt and set his copy of it to one side. Today, the mailman had brought an envelope by U.S. Registered Mail.
- **Check (Outer) Container.** Since there might be classified material inside, he always checks the package for signs of tampering. Tampering is a deliberate attempt to gain illegal access to the contents of a shipment. This rules out, Milo knew, the case where a



MILO EXAMINES THE PACKAGE CAREFULLY FOR TAMPERING.

delivery arrives battered and taped-up with a notice from the U.S. Postal Service: "Damaged in Transit." Milo has been instructed to inform Harold Huxtable, the FSO at EWC if, for a classified shipment, there is any evidence of tampering with the outer container. Today's envelope looked untouched.

- **Open (Outer) Container.** Milo opens the package. Usually there's nothing special inside. But sometimes there is an inner package stamped with a classification. Today he opened the envelope and, yes, there was a SECRET-stamped envelope inside!
- **Check for Approved Method.** Milo knew that **CONFIDENTIAL material** could come by U.S. Registered Mail or U.S. Express Mail, but that **SECRET** material should never come by U.S. Certified Mail. Today's delivery was O.K.; the **SECRET** information had come by U.S. Registered Mail.



MURRAY FINALLY GETS HIS PACKAGE.

Harold had mentioned to Milo that the most common sending error had to do with first-class mail. It seemed that the User Agencies were allowed to send **CONFIDENTIAL** material by first-class mail among themselves, but not to contractors. Sometimes, though, they slipped up. Harold had told Milo that so far the Navy, EWC's User Agency, had never made this mistake.

Harold had given Milo a chart of the approved transmission methods (see **NISPOM, 5-403** and 404) and Milo had framed it and hung it up. (Milo wondered whether EWC would ever have a **COMSEC** circuit; he hoped so.)

SECRET AND CONFIDENTIAL TRANSMISSION

OUTSIDE THE FACILITY

Within and between U.S., Puerto Rico, or U.S. possession or trust territory

SECRET

◆ Means approved for TOP SECRET:

—*Defense Courier Service* (requires special approval and instructions from the contracting activity)

—TOP SECRET cleared, specifically designated *courier, escort, or handcarrier* (may use U.S. Gov't employee of contractor employee)

—Approved *COMSEC circuits*

◆ U.S. Express Mail/
U.S. Registered Mail

◆ Cleared commercial carriers (only when other methods impractical)

◆ Commercial messenger service (has SECRET FCL, local service, same day delivery)

◆ Commercial delivery company (DoD approved, has nation-wide, overnight service with computer tracing and reporting. May be unclassified.)

◆ Other methods directed by the User Agency

CONFIDENTIAL

◆ Means approved for SECRET

◆ U.S. Certified Mail*

◆ Commercial carrier (only when other methods impractical)

*Use U.S. Registered Mail between CONUS, Alaska, Hawaii, Puerto Rico, U.S. possession or trust territory.

EXAMINATION BY DESIGNATED DOCUMENT CUSTODIAN

The address on the inner envelope included "ATTN: Buzz Meyerhofsens, Chief Engineer," but Milo knew that all classified deliveries went to Zelda, EWC's designated document custodian. He told her that the envelope had come by registered mail and gave her the postal receipt. He said the outer envelope had shown no signs of tampering. Zelda said, "Thank you, Milo. Very thorough." He wanted to stay and see what was inside, but Zelda gave him a rather sharp look and, reluctantly, he departed.

- **Check Inner Container.** Zelda inspected the inner envelope for evidence of tampering. She looked for rough spots where tape might have been pulled off and not exactly covered by replacement tape. She looked for slits or cuts that might have been sealed over. She looked for unusually limp, frayed, or wrinkled material (an indication, perhaps, that the container had been steamed open). Her scrutiny did not turn up any tampering.
- **Open Inner Container and Process Receipt.** Zelda slit open the envelope. Since it was a SECRET delivery, she looked for a receipt inside. (For a CONFIDENTIAL shipment, no receipt is required, but in special cases the sender may include one.)

Zelda knew that Harold would have to report *to the sender*:

- any difference between the contents of a delivery and the contents as shown on the receipt, and
- the absence of a receipt for SECRET material.

The document from ACME jibed with the receipt, so she signed it and typed in her name, though the NISPOM only requires the signing.

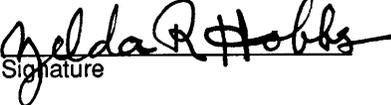
0034791

RECEIPT FOR CLASSIFIED MATERIAL

TO: Electric Widget Company FROM: ACME Aeronautics
232 Widget Way 8739 Gyro Lane
Corinth, NY 12822 Paterson, NJ 07512

UNCLASSIFIED TITLE/DESCRIPTION: Copy #7 of report,
Laser Widget Guidance Device (U), dated 17 Oct 95.
Classification: SECRET

I acknowledge receipt of the classified material identified above.


Signature

Zelda R. Hobbs
Printed, stamped, or typed name

Zelda noted that ACME's receipt form conformed to **NISPOM 5-401a**: it identified the sender, the addressee and the document, but contained no classified information. Though it was not required, ACME had provided a copy of the receipt for EWC. Zelda detached this from the original. She stapled the copy to the postal receipt and placed them in a fresh file folder, labeling it "ACME Aeronautics - SECRET Report." She addressed an envelope to ACME, inserted the original of the receipt, and set it aside for the required return mailing to ACME.

Zelda knew that Harold would have to report to the Field Office the receipt or discovery of any classified material that EWC was not authorized to have. EWC did not have a classified contract with ACME. But ACME was also performing on a classified contract for the Navy's Laser Widget Project, and the Navy had directed ACME to send a copy of the report to EWC for use by EWC's engineers. The Navy had notified Harold to expect the report, and Harold had alerted Zelda that the report would be coming.

SHIPMENT BY COMMERCIAL CARRIER

Let's leave Zelda for a moment and talk about commercial carriers. A few additional procedures apply if you will be receiving a shipment by a commercial carrier (usually a trucking firm). The sender notifies you in advance as to when to expect the shipment and provides other details about it. This gives you time to prepare to receive and protect the shipment. If you have not received the shipment *within 48 hours* after the expected time of arrival, report the matter immediately to the sender.

REPORTS ABOUT RECEIVING

The following chart summarizes the reporting requirements we have gone over in this lesson.

 REPORTS ON RECEIVING				
NISPOM	Report Title	When to Send	Form of Report	To
1-302I	"Unauthorized Receipt of Classified Material"	Upon receipt or discovery of any classified material that the contractor is not authorized to have	Letter	DIS Field Office
5-204	"Discrepancy Involving Classified Shipment"	Upon discovery of a difference between the actual contents of a shipment and the contents as shown on the receipt	Fastest means, with follow-up letter	Sender
5-204	"Lack of Receipt for SECRET Shipment"	SECRET shipment arrives with no receipt for contents.	Fastest means, with follow-up letter	
5-408d	"Delay in Shipment"	More than 48 hours have elapsed since the expected time of arrival of SECRET material being shipped to your facility by commercial carrier.	Fastest means, with follow-up letter	

LOGGING IN

Zelda's next task was "logging in," that is, entering information about the classified delivery in a record.

INFORMATION MANAGEMENT SYSTEM

Except in special cases, contractors no longer need to maintain a document accountability system for SECRET material. Instead they must have an information management system that permits the U.S. Government to retrieve or dispose of its classified material "in a reasonable period of time." So contractors must know where to find documents when they are called for, but they don't need to keep detailed accountability records for each SECRET document as they did before the NISPOM.

RECEIPT AND DISPATCH: RECORDS

Contractors must, however, maintain a record of the following:

- Date of the material
- Date received or dispatched
- Classification
- Unclassified description
- Activity from which received or to which dispatched

Receipt and dispatch records must be retained *for 2 years* after the dispatch.

RECORD-PER-DOCUMENT SYSTEM

Harold had decided to use a one-page form for each classified document possessed by EWC. His record looked like this.

ELECTRIC WIDGET COMPANY

Receipt and Dispatch Record

Security Classification: _____ Document's Date: _____

Unclassified Description: _____

Received from: _____ on _____
activity date

Dispatched to: _____ on _____
activity date

Draft receipt and dispatch record

As you can see, it had places for all of the required entries.

Harold showed the form to Zelda and, since she would be its main user, asked her views on it. Zelda said the form was fine as far as it went. But she thought it could be improved. She suggested adding a line for EWC receipt information. This would help them keep track of their transmissions. Harold agreed. "And," Zelda concluded, "if we put 'Destroy this record on _____' in this corner, it will serve as a helpful reminder to us to destroy the record 2 years after dispatch under **NISPOM 5202**." Harold agreed.

Harold returned to his desk and incorporated Zelda's suggestions. The final draft of EWC's is shown across the page.

ELECTRIC WIDGET COMPANY
Receipt and Dispatch Record

Security Classification: _____ Document's Date: _____

Unclassified Description: _____

Received from: _____ on _____
activity date

Dispatched to: _____ on _____
activity date

EWC receipt #: _____ Due back by: _____ Received on: _____

Destroy this record after _____
date

EWC's receipt and dispatch record

She took up the SECRET material from ACME and took out a fresh record form for it. She filled in the top part of the record as follows:

ELECTRIC WIDGET COMPANY
Receipt and Dispatch Record

Security Classification: SECRET Document's Date: 17 Oct 95

Unclassified Description: Report: "Laser Widget Guidance Device,"
Copy #7

Received from: ACME Aeronautics on 29 Nov 95
activity date

CHECKING MARKINGS

Viva files by zodiac sign. she believes documents do have zodiac signs based on their date of generation.



"Definitely an Aquarius"

Zelda knew that all classified information possessed by EWC must be correctly marked, so she took a moment to inspect the markings on the ACME document. They were all correct. (We'll discuss marking in Lesson 4.)

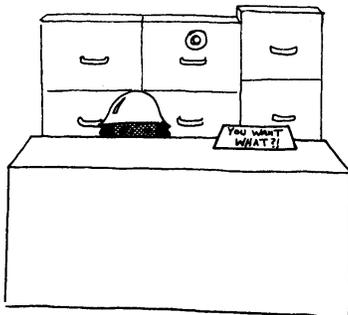
FILING AND STORING

Zelda turned next to filing and storing the ACME document. There is *no prescribed method of filing*; your method should serve your needs. You may decide to file materials by contract number, by subject, by sender, etc. For most documents, EWC files by contract number. For reference material, Zelda filed by sender. Zelda placed the ACME document in the labeled folder where she had put the postal receipt and the copy of the ACME receipt, and inserted the folder in the reference material section of her GSA-approved cabinet.

MAKING DISTRIBUTION

Just as books in a library are not there solely to fill up shelves, so classified material is not meant merely to fill up files. (Of course, some classified document custodians, like some librarians, hold the other view.) So the next task is to get the information to the employees who need it. How do you do this?

Zelda Hobbs in Command!



CHECK FOR AUTHORIZATION

The sender may have made it easy by putting an attention line in the address on the inner container (e.g., "ATTN: Bob Burdock"). Always determine that the intended recipient is an *authorized person* (i.e., is

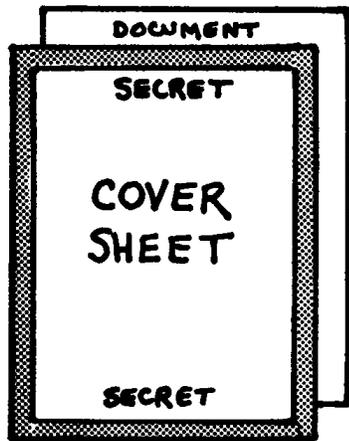
cleared at the appropriate level and has a need-to know the information). You can check the *clearance level* by contacting the FSO's office, and the *need-to know* by contacting the employee's supervisor. Then notify the employee that the material has arrived (use the unclassified description to identify the material) and make arrangements for the intended recipient to have access to the information. If there is no attention line on the inner container, or if the individual is not available, look over the material and notify the *project manager* (in unclassified terms) of the new arrival.

The ACME material had been directed to Buzz Meyerhofsens, EWC's chief engineer. Zelda knew that Buzz had a TOP SECRET clearance and, since he was heading up the Laser Widget Project, definitely had a need-to-know for this document. She phoned Buzz, who said he would be there right away to pick up the ACME document.

USE CHECK-OUT SYSTEM

Like a library, you should have a check-out system for classified material. Although not required, it is helpful in maintaining good security.

Out Card System. EWC uses an "out card" system; it works well for a small facility. Zelda makes a card for each classified document. The person checking out the document - Buzz, in this case - initials and dates the card. Then Zelda places the card in the file where the document is normally stored. When the document is returned, she puts it back in the file, removes the "out card" and places it in a card file for future use.



Sign-Out Sheet. Larger facilities often use a sign-out sheet with columns for control number, classification, unclassified description, user's initials, user's work elements (department, division, office, etc.), and time out and time in.

Classified Reading Area. Instead of having employees take classified materials to their work areas, many facilities set up a "classified document reading area."

Shielding the Document, The NISPOM states that "classified material may be transmitted within a facility without single or double-wrapping provided adequate measures are taken to protect the material against unauthorized disclosure" (5-407). Shield classified material whenever it is sent within the facility. Place it in an envelope or a file folder, or attach a classified document cover sheet on top of it. (EWC uses cover sheets, and Zelda put one on the ACME document before she gave it to Buzz.)

Same-Day Return. Finally, unless arrangements have been made to store the document elsewhere in an authorized security container, every document checked out must be returned for storage on *the same day it was checked out*.

HANDLING VISITOR MATERIALS

When a visitor will need to use classified material from his or her facility during the visit, it is a good idea for the sending facility to *mail the material ahead* to your facility if there is enough time for it to arrive for the visit. When the package arrives, it is helpful if the sending facility has included a letter

between the outer and inner containers requesting you to hold the materials for the visitor - or a note on the inner container to the same effect. We recommend that you follow your *normal receiving procedures* and log the material in. When the visitor arrives, the *person visited* may then check out the materials and be responsible for its return to the document custodian the same day unless other suitable arrangements are made. After the visit, you would log out the materials and *mail them back* to the sending facility. (We'll go over how to do this in the lesson on transmission.)

If a visitor hand-carries classified material and will have custody of it throughout the visit, you would *not* make receipt of it for your facility. If, however, the visitor leaves classified material with your facility, then you need to formally receive it and if the material is SECRET issue the visitor a receipt for it.

CHART

The following chart depicts most of the main points we've discussed in this lesson. The chart shows how certain deliveries may be handled to meet all NISPOM requirements. Procedures at your facility may be different. If you have questions, contact your I.S. Rep.

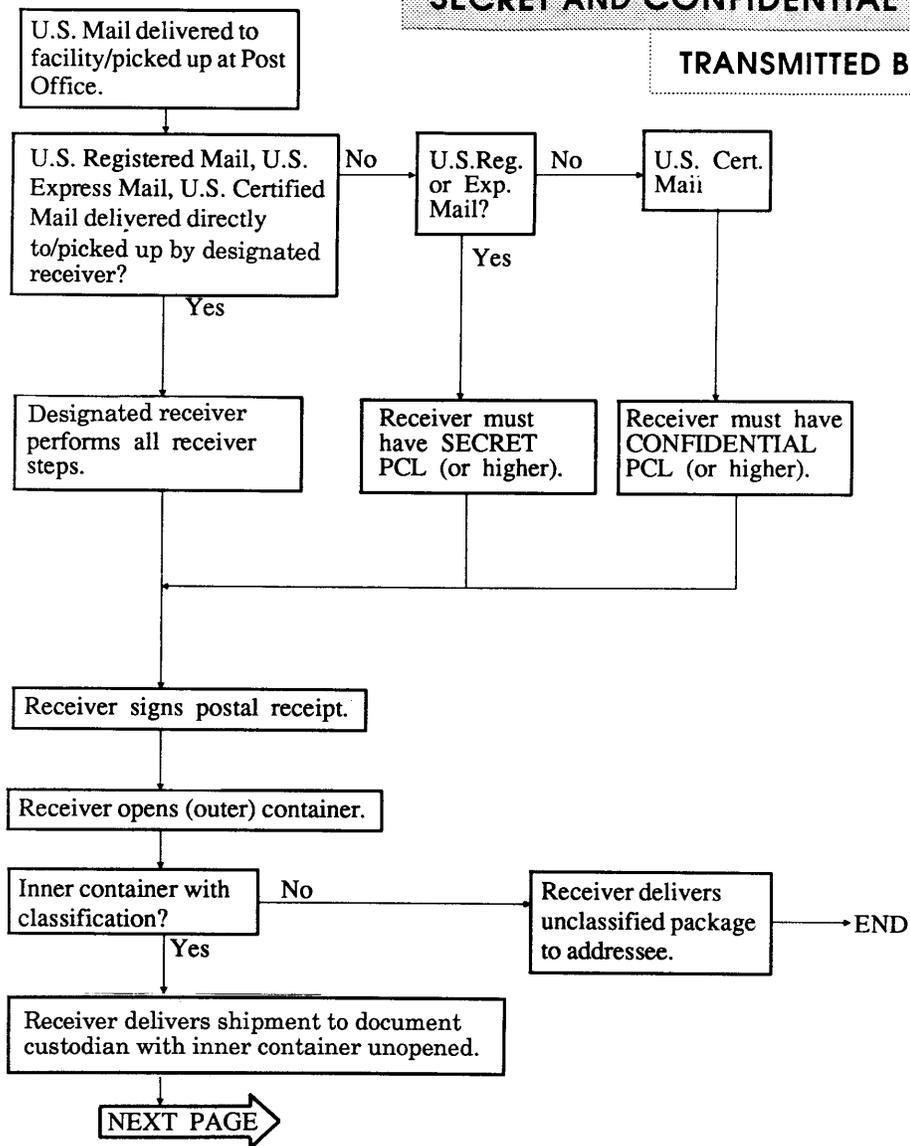
1



RECEIPT & DISTRIBUTION

SECRET AND CONFIDENTIAL DOCUMENTS

TRANSMITTED BY U.S. MAIL

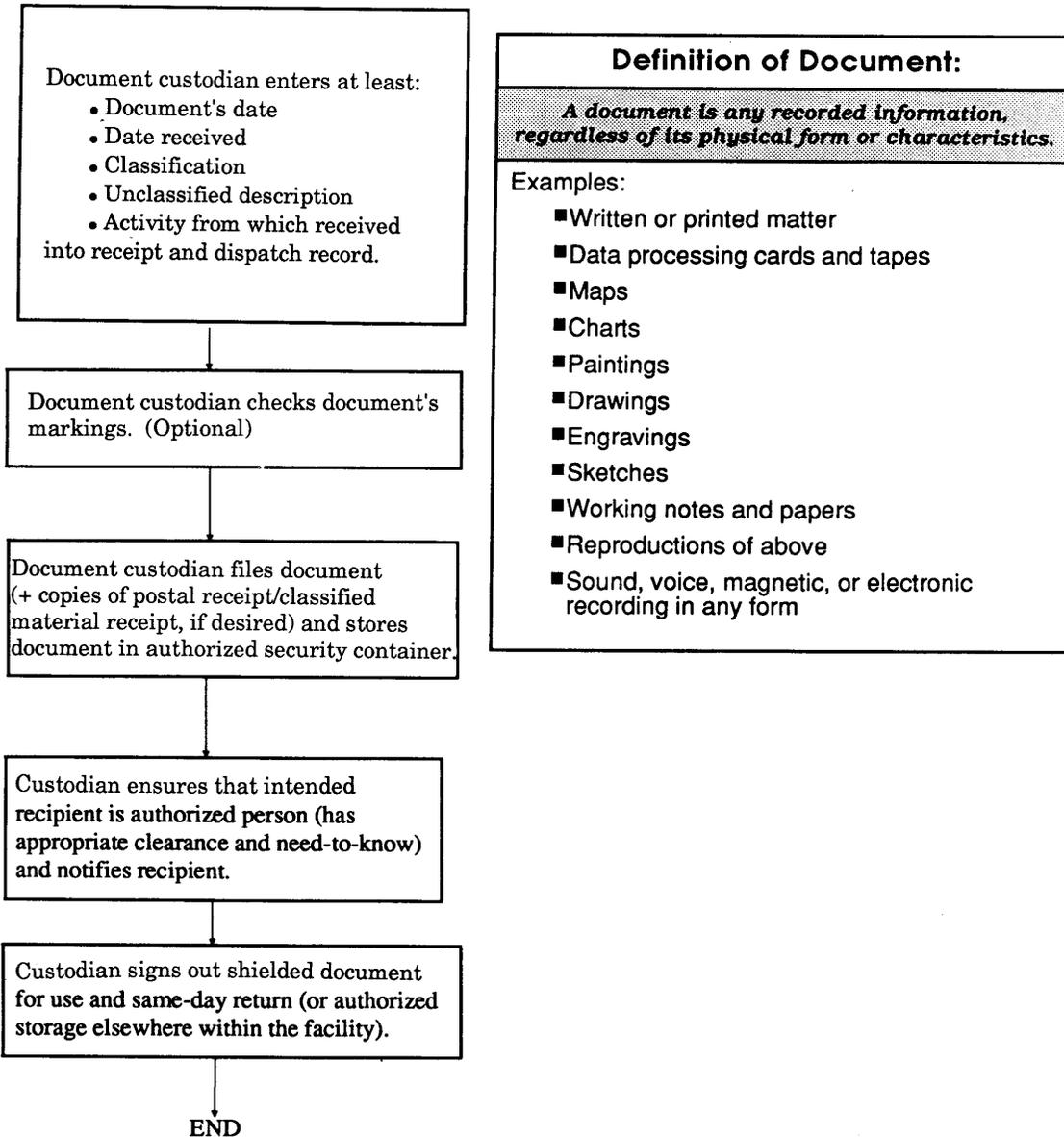


3

RECEIPT & DISTRIBUTION

SECRET AND CONFIDENTIAL DOCUMENTS

TRANSMITTED BY U.S. MAIL



SUMMARY

Deliveries of classified material are made until with at least the inner container unopened to designated personnel. If other personnel are designated to initially receive messenger or mail deliveries that may contain classified information, they must be authorized and have appropriate clearances. They should be instructed to examine all containers for such deliveries for evidence of tampering before giving the inner container to designated personnel. Designated personnel should then check the inner container for tampering. If a delivery is in order, the receipt (required for SECRET) is signed and returned to the sender, who retains it for 2 years. A discrepancy between a receipt and the actual contents or the lack of a receipt for SECRET material must be reported to the sender, as must a delay in shipment by commercial carrier. Receipt of classified material that the contractor is not authorized to have must be reported to the Field Office. Information identifying the classified material is entered into an appropriate record. The material is then filed and stored in an authorized container. Arrangements are made for authorized persons to have access to the material. Material transmitted within the facility must be suitably protected against unauthorized disclosure. Material mailed ahead for a visit is received in the normal way and held for the visitor's use. Material hand carried by a visitor and remaining in the visitor's custody is not received; however, any material left with your facility is received and, for SECRET material, a receipt is issued.

2 Review Exercises

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

- 1 . Downunder Widgets has two classified projects: the Wombat Widget Project (for the Army) and the Wallaby Widget Project (for the Air Force). Jessica Fixture, the classified document custodian at DW, has just received a package with several CONFIDENTIAL documents, and none of them has anything to do with either project. There are no specific safeguarding and disposition instructions for the documents. What should Jessica do? What should the FSO do?

2. An employee authorized to sign for U.S. Certified Mail must have a SECRET clearance.
 True False

3. How does a dedicated mailing address for classified material work?

4. The sender must provide a receipt for every classified shipment.
 True. False

5. For a shipment received by an approved mailing method or by messenger, what two types of problems must be reported to the sender?

a. _____

b. _____

6. If a delivery is in order, what must the receiver put on the receipt before returning it to the sender?

7. Colonial Widgets has been notified that it is being sent a sealed SECRET shipment by commercial carrier. What could happen that would require Colonial's FSO to make a report to (notify) the sender?

8. Which of the following types of information are required to be entered in a receipt and dispatch record for SECRET and CONFIDENTIAL material?

- a. Control No.
- b. Date Received/Dispatched
- c. How Received
- d. Activity Received From/Dispatched to
- e. Contract /Job No.
- f. Classification
- g. Unclassified Description
- h. Downgrade on/Declassify on
- i. Date of Material
- j. Disposition
- k. Date of Disposition
- l. Date Page May Be Destroyed

9. After classified material has been logged in, it should be f_____ and
s_____.
10. Before releasing a classified delivery that was directed to the attention of an employee to that employee, you must ensure that he or she is an authorized person. What two factors make for an authorized person?
a. _____
b. _____
11. If a delivery is not addressed to an employee, or if the employee is unavailable, it is usually best to notify the appropriate p_____
m_____ of the delivery.
12. Classified material checked out from the document custodian must be returned on the s_____
d_____, unless arrangements have been made to store it properly somewhere else within the facility.
13. Classified material being sent within the facility must be protected against unauthorized disclosure. For example, it may be shielded from view by means of an e_____, f_____, f_____, or c_____, d_____, c_____, s_____.
14. Normal receiving procedures are followed for classified material mailed to your facility for a visitor.
 True False
15. When a visitor leaves classified material with your facility, it is formally received and, for SECRET material, a receipt is issued.
 True False

2 Solutions & References

1. Jessica notified her FSO right away. He contacted the U.S. Navy element shown on the documents as the originator, and they told him to send the documents to them. Then he wrote a report, Unauthorized Receipt of Classified Material, and sent it to the Field Office. (p. 2-10) **(NISPOM, 1-3021)**
2. False. (p. 2-4) **(NISPOM, 5-204)**
3. Your explanation should be similar to the one on p. 2-5.
4. False. (p. 2-8) **(NISPOM, 5-204)**
5.
 - a. any difference between the contents of the delivery and the contents shown on the receipt
 - b. the absence of a receipt for SECRET material (pp. 2-8, 10) **(NISPOM, 5-204)**
6. Receiver's signature (pp. 2-8, 9) **(NISPOM, 5-204)**
7. Shipment delayed more than 48 hours after expected time of arrival. (p. 2-10) **(NISPOM, 5-408d)**
8.
 - b. Date Received/ Dispatched
 - d. Activity Received From/ Dispatched To
 - f. Classification
 - g. Unclassified Description
 - i. Date of Material (p. 2-11) **(NISPOM, 5-202)**
9. filed, stored (p.2-14) **(NISPOM, 5-100)**

10. a. Appropriate clearance
 - b. Need-to-know (p. 2-19) (**NISPOM, Appendix C**)
11. Project manager (p. 2-15)
12. same day (p.2-21) (**NISPOM, 5-303,304**)
13. envelope, file folder, classified document cover sheet (p. 2-16) (**NISPOM, 5-407**)
14. True. (p. 2-21) (**NISPOM, 5-200**)
15. True. (p. 2-21) (**NISPOM, 5-401a**)