

LESSON 6

Transmission and Release

Back in Lesson 2, we covered one type of transmission, transmission within the facility, under the heading "Distribution." In this lesson we'll look at the other type of transmission, sending classified material outside the facility. In many ways transmission is "receiving in reverse," so this lesson should remind you of what you learned in Lesson 2, and what you learned there should help you here. We'll go over general rules and procedures for *transmission* by U.S. Mail and employee courier, for *releasing* and conveying classified material needed for a visit, and for handcarrying classified material aboard commercial passenger aircraft. Then we'll see how the Electric Widget Company sent two documents.

OBJECTIVES

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

- Ensure that the contracting officer's approval is obtained before transmission or release, when the approval is required.
- Determine the suitability of a proposed recipient of a transmission.
- Ensure that transmissions are properly prepared.

- Maintain appropriate records of transmissions.
- Ensure that classified material is transmitted by an approved method and that the transmission is followed up as necessary.
- Ensure that classified material required at the host activity for an employee visit is properly prepared and transmitted or conveyed, and that the classified material is accounted for as appropriate.
- Ensure that rules and procedures governing the handcarrying of classified material aboard commercial passenger aircraft are followed.

AUTHORIZATION

The general rule when you are planning to transmit or release SECRET or CONFIDENTIAL material is that you must obtain the contracting officer's approval before you send the material outside your facility, except when the transmission or release is

- Required by the specific terms of the contract,
- Required for performance of the contract,
- Necessary in connection with pre-contract negotiations with prospective subcontractors in furtherance of an existing classified contract,
- In prime contractor/subcontractor, MFO, and parent subsidiary relationships, or
- Otherwise authorized by the NISPOM.
(See NISPOM 5-502,503, and 5og.)

The first two of these exceptions will apply to most of your transmissions and releases and will usually excuse you from having to obtain a specific approval.

ENSURING RECIPIENT'S SUITABILITY

If the proposed recipient is another contractor, you (or your designee) must verify that the contractor has

- An FCL at the same or higher level than the material to be sent, and
- Adequate safeguarding capability.

Verify the contractor's FCL level and level of safeguarding capability by contacting the Defense Investigative Service - Central Verification Activity (DSS-CVA). The address and phone number are as follows:

Defense Security Service
Defense Industrial Security Clearance Office
Attn: Central Verification Activity
P.O. Box 2499
Columbus OH 43216-5006
614-692-3688

You don't need to verify these matters for every transmission and release; once issued, a DSS-CVA verification is valid for that contractor for three years, unless you are notified otherwise. Keep a record of each such verification for the three-year period.

PREPARATION OF A TRANSMISSION

Next, ensure the transmission or release is prepared correctly for sending. For a *transmission*, do the following.

1. Prepare a Receipt for SECRET Documents. If you are sending a SECRET document, prepare a receipt that identifies the

TITLE (U)
CLASSIFICATION:
TO:
FROM:

BASIC RECEIPT

- SECRET document. Do not use a classified description. Instead, if necessary, use a short title or abbreviation that is unclassified such as "Armored Vehicle Data (U)."
- Name and address of sending facility.
- Name and address of receiving activity.

This is the "bare bones" information, the only information required. Most facilities, however, choose to include additional information (e.g., control no., copy no., method of transmission, date transmitted, instructions to recipient, a block for the receiver's signature and name and date received).

It's a good idea to prepare the receipt in triplicate, though only an original is required. That way you can send the original (to be returned to you) and one copy (for the recipient's records) to the recipient, and keep the third copy as the copy required at your facility for follow-up as may be needed. You *must retain the signed, returned receipt for 2 years*.

2. Prepare a Transmittal Document (Optional). Transmittal documents (e.g., a letter of transmittal) provide a means of telling the recipient why you are sending the attached document (e.g., in accordance with a specified contract requirement).

Most transmittal documents do not contain classified information and need only be marked as follows:

- Conspicuously mark the highest classification level of the information transmitted by it (e.g., SECRET) at the top and bottom of the transmittal document.
- Enter (e.g., near the bottom of the page) "**Unclassified when Separated from Classified Enclosures.**"

For cases in which the transmittal document itself contains classified information, refer to the **NISPOM, 4-211**.

3. Attach a Cover Sheet (Optional). The NISPOM does not require it, but it's a good practice to attach a cover sheet, marked at the top and bottom with the highest classification of the document(s) it covers (i.e., the transmittal document, if classified; the main document; or a major component of the document) to the front of the document(s).

4. Log Out the Document. In many cases there will already be an entry for the document in your receipt and dispatch record. If so, complete the entry by adding

- Activity to which dispatched.
- Date dispatched.

If the document was generated by your facility, make a complete entry for it, to include: - Document's date. - Date of dispatch. - Classification. - Unclassified description. - Activity to which dispatched.

You must retain the record for 2 years.

5. Prepare the Inner Envelope. The document must be double wrapped. To prepare the inner envelope:

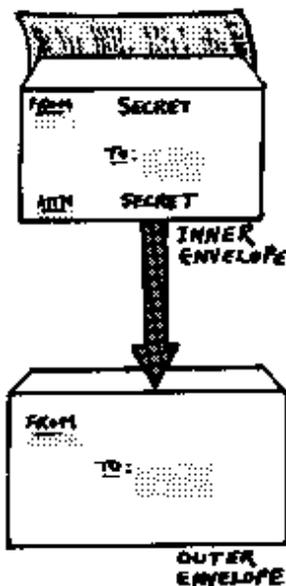
Place the document (with its transmittal document/cover sheet, if used) and, if a SECRET document, the receipt (at least original; original and copy recommended) in the inner envelope. The envelope must be opaque.

Plainly mark the envelope with the highest classification level of the information it contains - It's best to stamp this marking on *both* sides of the envelope - and any appropriate warning notices.

Address the envelope. Enter the name and classified mailing address of the contractor facility or UA activity that is to receive the document. If you wish, add an attention line to the address, stating the office code or designation of the recipient (e.g., "ATTN: Research Dept" or "ATTN: UV-A-GTIC") or stating the name of the authorized person to receive the document (e.g., "ATTN: George Stevens"). Enter your facility's name and classified mailing address as the return address.

Seal the envelope. Glue seal the envelope. You may want to seal along the flap with tape for additional protection.

PREPARATION FOR TRANSMISSION:



6. Prepare the Outer Envelope. To prepare the outer envelope:

Place the inner envelope in the outer envelope. The outer envelope must be opaque.

Address the envelope. Enter the name and classified mailing address of the contractor facility or UA activity to receive the shipment. If you use an attention line, it must not show the name of an individual; it can, however, show other designations (e.g., "ATTN: Security Officer"). If the package is going to a one person facility, specify on the outer envelope, "TO BE OPENED BY ADDRESSEE ONLY. Postmaster - Do Not Forward. If undeliverable to addressee, Return to Sender." Enter your facility's name and classified mailing address as the return address.

Seal the envelope. Glue seals the envelope. If you wish to do so, seal along the flap with tape, (Be sure the type of tape is acceptable to the Post Office, such as Kraft tape or nylon sensitive tape.) **Never place any markings or notations on the outer envelope that would indicate that the contents are classified.**

NOTE: If a briefcase is used to handcarry classified material the briefcase may serve as the outer container. The briefcase does not require an address and shall contain no markings to indicate that the contents are classified.

TRANSMISSION METHODS

SECRET and CONFIDENTIAL material thus marked and packaged may be transmitted by U.S. Registered Mail or U.S. Express Mail (CONFIDENTIAL material may also be sent by U.S. Certified Mail), or by a specially briefed employee courier cleared to the level of the classified information being sent and with a need-to know. These methods are by and large the only methods of transmission you are likely to use. However, for convenience we are including here a smaller version of the chart given in Lesson 2.

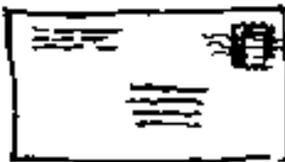
UNAUTHORIZED METHODS



Carrier pigeon



Your Cousin Rollo who happens to be going that way on vacation



1st Class Mail

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 or 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 uncleared.)

◆ 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.

When mailing classified material, ensure that a cleared designated employee enters the shipment into the U.S. Postal System. Stress that the employee must *never* place the package into an Express Mail outdoor (street side) collection box. Also, to make sure that U.S. Express Mail won't be left on the addressee's doorstep, stress that the employee must *never* execute (sign) the "Waiver of Signature and Indemnity" block on the U.S. Postal Service Express Mail label 11-B. Although not required, a postal receipt should be obtained and kept on file for follow-up actions as outlined below.

TRANSMISSION BY EMPLOYEE COURIER

Transmitting classified material by an employee courier is a much less desirable method than mailing the material. The courier must have a PCL at or above the classification level of the material to be conveyed. Then the courier will have to be briefed on his or her responsibilities to safeguard classified information. The courier must have an identification card or badge with at least the name and photograph of the courier and the contractor's name. No VAL is sent for a courier. (However, if the courier is going to pick up classified material, then a VAL must be sent.) Then, too, the courier must keep the classified material in his/her possession at all times. (Looking after a package at a crowded lunch counter or in a packed restroom can be nerve-racking!)

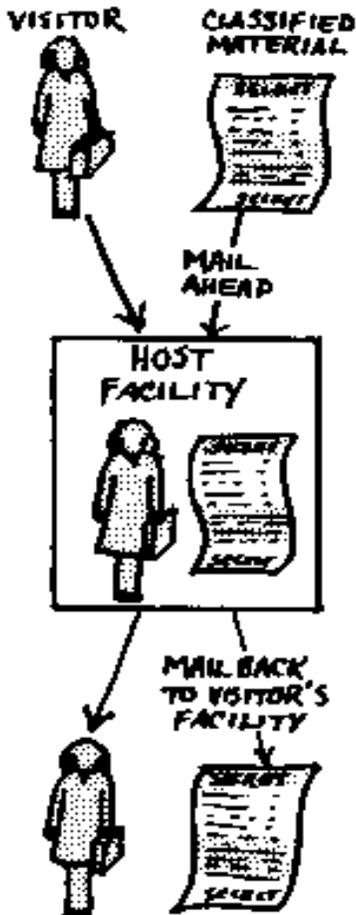


Trips that entail an overnight stopover are especially troublesome. Here you will have to arrange before the trip for the material to be stored overnight at a U.S. Government installation or at a cleared contractor facility that has appropriate storage capability. The courier should be sure to obtain a receipt for the sealed package at each overnight stop; the receipt should *not* identify the classified contents. Making such arrangements is usually inconvenient all around, and such trips should be avoided whenever possible.

FOLLOW-UP FOR SECRET TRANSMISSIONS

It is good practice to keep a copy of the receipt for a SECRET transmission in a suspense file until the signed receipt is returned. Set a suspense date (normally not more than 30 days from the date sent), and follow up if you do not receive the signed receipt within this period. Keep signed receipts for classified material *for 2 years*. If the signed receipt has not been returned to you after follow-up action, or if the addressee indicates that the shipment was not received, or reports to you the absence of a receipt for a SECRET shipment or a discrepancy between the contents and the receipt, then you must conduct an inquiry as prescribed in **NISPOM. 1-303**.

VISITS AND MEETINGS: ROUTINE METHODS VS. HANDCARRYING



Classified material, properly marked and packaged (see "ROUTINE METHODS" and "PREPARATION" below) may be *released*, when necessary to a "handcarrier," that is, an employee handcarrying classified material to achieve the purpose of the employee's classified visit or attendance at a classified meeting. And, when necessary, the material may be left with the host activity. Although such a transaction constitutes a transmission, it is not a transmission method listed in **NISPOM, 5-403** and **404** it should not be used routinely to convey classified material.

ROUTINE METHODS. When you need to send a classified document so that an employee can fulfill the purpose of a classified visit, if there is enough time it is best to transmit it by one of the authorized transmission methods listed in **NISPOM, 5-403** and **404** (see chart, p. 6-8) to the host activity to be held there for the visitor or attainer. The document is prepared as described above, except that the inner envelope is addressed to the visitor at the address of the host activity. It is a good idea also to notify the host activity (for example, by including a

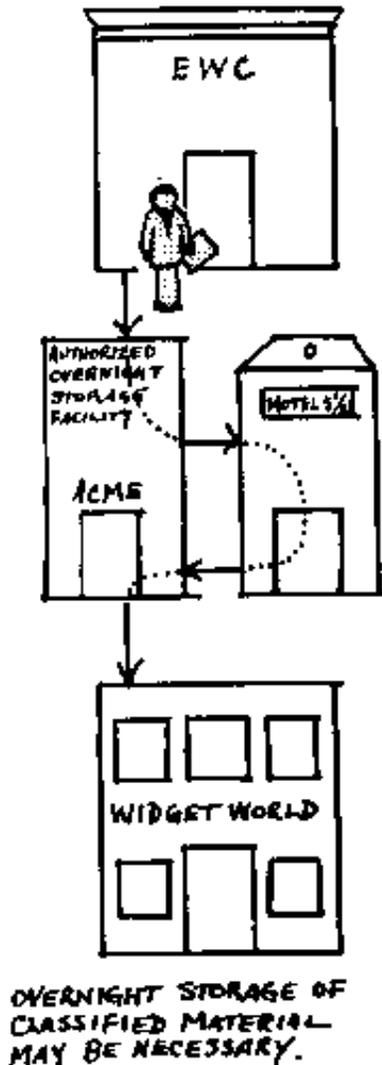
note or letter between the inner and outer envelopes) that the material is being transmitted for the visit or meeting. The material may then be transmitted by U.S. Mail, as described above, or by another method listed in **NISPOM, 5-403** and 404. After the visit, the host activity would return the material to your facility by a routine method.

HANDCARRYING. Designated cleared employees may handcarry classified material to a classified meeting or on a visit provided that the classified material can be properly handled and safeguarded during the transmission.

When classified material is to be *released* for handcarrying by an employee for a classified visit, do the following.

- **Check Employee Clearance.** Ensure that the handcarrier is cleared to the level of the classified material involved.
- **Check Identification.** The handcarrier must have an identification card or badge with at least the handcarrier's name and photograph and the contractor's name.
- **Brief the Employee.** Brief the handcarrier on his or her responsibilities in safeguarding the classified information.
- **Make an Inventory.** Ensure that an inventory is made of all documents to be handcarried before the handcarrier departs for the visit, and that the handcarrier carries a copy of the inventory along on the visit. You keep the original. When the handcarrier returns, check the material returned against the original of the inventory.

- Prepare Package. The document is prepared for *release* outside the facility as described above except that



- No receipt is prepared,
 - No transmittal letter is prepared,
 - The material is not logged out as a dispatch,
 - The inner envelope is addressed to the visitor at the address of the host activity, and
 - The outer envelope is addressed to the host activity (UA activity or contractor facility).
- **Ensure Protection En Route.** As with a courier transmission, the handcarrier must keep the material in his/her possession at all times. For an overnight trip, arrange for storage of the classified material at a U.S. Government installation or at a cleared contractor facility that has an appropriate storage capability. As with a courier, the handcarrier should obtain a receipt for the sealed package.
 - **Ensure Receipt Obtained.** When the handcarrier retains custody of the material throughout the visit or meeting, the material is not logged into the host activity's document control system. However, if it is necessary to leave SECRET material at the host activity, the handcarrier must obtain a signed receipt for the material. If CONFIDENTIAL material must be left at the host activity, no receipt is necessary.
 - **Of Post Records.** When the handcarrier has left SECRET material with the host facility, the handcarrier delivers the signed receipt to the facility when he or she returns from the visit. The transaction is recorded as a "dispatch" in the sending facility's receipt and **dispatch record (and as a "receipt" in the host activity's record)**. The sending facility retains the receipt *for 2 years*. When the handcarrier has left CONFIDENTIAL

material the transaction is recorded as a "dispatch" in the receipt and dispatch record. The transaction is recorded as a "receipt" in the record of the host facility.

HANDCARRYING ABOARD COMMERCIAL AIRCRAFT

Handcarrying classified documents aboard commercial passenger aircraft - whether the material is handcarried by an *employee courier* or by an *employee handcarrier* - requires the approval of the FSO. Before giving your approval, ensure that the packaged documents may be carried on the travelers person or otherwise qualify as carry-on baggage.



If you have approved the handcarrying, you need to do

- **Prepare written Authorization.** A letter of authorization is required for the traveler (*see NISPOM, 5411 c*).

The letter must:

- Provide the full name, date of birth, height, weight, and signature of the traveler, and state that he or she is authorized to transmit classified material.
- Describe the type of identification the traveler will present on request.
- Describe the material being handcarried and request that it be exempt from opening.
- Identify the points of departure, destination, and known transfer points.
- Include the name, telephone number, and signature of the FSO, and the location and telephone number of the Field Office.



DIFFICULTIES MAY ARISE WHEN
HANDCARRYING CLASSIFIED
MATERIAL ABOARD AIRCRAFT.

- **Ensure Proper Packaging.** The classified documents may be packaged as follows:

- Use the double envelope method. If there are many documents, make several packages, so that the personnel at the aircraft screening station can inspect each package easily by flexing, feeling, weighing, or other handling without opening the envelopes,
- Make sure that the envelopes do not contain metal clips, binders, or other metal that might cue a response from detection devices at the airport, and
- Use caution when film is to be carried since detection devices will damage certain films.

- **Brief the Traveler.** Before the departure, brief the traveler (*courier* or *handcarrier*) on his or her overall responsibility to safeguard classified information and on the contents of NISPOM, 5-411. Stress that under no circumstances is the traveler to open or authorize the opening of the classified package. Instead, the traveler is to abandon attempts to board the flight and call you to make other arrangements for conveying the documents. If opening does occur, the traveler is to report the matter to you, and you then make a report to your Field Office.



- Appropriate PCL
 - Briefed on responsibilities
- EMPLOYEE
COURIER

TRANSMISSION AND RELEASE AT EWC

December 1 was a hectic day at EWC. After signing off on Buzz's reproduction request, Harold started thinking about sending the copy of the report to ACME, the purpose Buzz had given in his request. Harold had verified ACME's safeguarding capability by a phone call to DIS-CVA; it was at the SECRET level, and he had made a record of the verification. But the transmission wasn't required by EWC's contract, and it wasn't required by EWC's performance on the contract. None of the other three exceptions seemed to apply either.



Ellen Travers
Contracting
Officer

So Harold decided to call Ellen Travers, the contracting officer. He phoned her at the Pentagon and went over the situation with her. Then she said, "Excuse me for a moment."

When she came back on the line, she said that CDR Eckles (the Navy's project manager and COTR for the Laser Widget Project) happened to be in her office discussing the project. They had just conferred about EWC's sending ACME the report and had concluded that the transmission was justified. Ms. Travers said that she would send EWC her approval via facsimile and that EWC should have the written approval well before noon. (EWC has a facsimile machine, but it is not approved for transmitting or receiving classified information.) She also said that CDR Eckles would like to speak with Harold.

"Harold, this is Al Eckles. It's good to talk with you. Say, what's this Ellen was telling me about sending test results to ACME? How come I haven't seen this report?"

Harold explained that Buzz had just written the report yesterday, and that EWC would be mailing the original to CDR Eckles (at NESC in the Pentagon) today.

"Well," said CDR Eckles, "I don't mind your sending a copy to ACME, but from what Ellen was saying, I want to look at these results right away. As a matter of fact I'm briefing the Captain tomorrow afternoon on Laser Widget, and I want you to send someone down here today with that report and to fill me in on the whole picture widget-wise."



Harold pointed out that there wasn't much time to get someone from Corinth to Washington, D.C. today. Then he said he'd do his best to put Buzz on a flight this afternoon. CDR Eckles was pleased and said he looked forward to seeing Buzz again.

Harold made a call to Corinth International Airport and reserved a seat on a 1 p.m. flight to Washington. Then he called CDR Eckles and gave him the flight number and arrival time, and CDR Eckles said that he would meet Buzz at National Airport.

Harold asked Zelda to prepare a transmittal letter for the copy of the report to be sent to ACME, and to prepare a one-item inventory for the original of the report, since Buzz would be handcarrying it for the visit to NESC. He also asked her to prepare the letter of authorization required for Buzz to take the classified material aboard a commercial airline.

Harold also prepared and sent to NESC by facsimile a visit authorization letter for Buzz, even though it was NESC that had in fact requested the visit.

Within just a few minutes, Ellen Travers' approval of the ACME transmission came in by facsimile and was brought to Zelda. Zelda set to work and before long had prepared the letter of transmittal. It looked like this.

SECRET

*Electric Widget Company
232 Widget Way
Corinth, New York 12822*

December 1 1995

ACME Aeronautics
ATTN: Mr. Crigger
8739 Gyro Lane
Paterson, NJ 07512

SUBJECT: Transmittal of Test Results

The enclosed EWC report of field test results pertaining to the Laser Widget Project is forwarded for your use in the performance of N00021-95-C-7835. Written approval for this transmission has been provided to EWC by Ms. Ellen Travers contracting officer for N00021-95-C-7834.

Sincerely

Harold Huxtable
Facility Security Officer

Enclosure

Unclassified when Separated from Classified Enclosure

SECRET

Zelda then prepared the *inventory* so that it would also serve as a record of Harold's approval to handcarry the

classified material aboard commercial passenger aircraft. The *inventory-approval* looked like this. Zelda made a copy for Buzz to carry with him on the visit.

**Electric Widget Company
232 Widget Way
Corinth, New York 12822**

Inventory of Hand-Carried Classified Material

The following classified material was released to the EWC employee whose signature appears below for **handcarrying** via commercial passenger aircraft to achieve **the purpose of the** employee's authorized classified visit to the Naval Electronics Systems Command, The Pentagon, Washington, D.C.: Original of EWC report, Laser Widget Field Tests (U), dated November 30, 1995, 2 pages. Classification: SECRET.

I certify that I have received the classified material described above and that I have been briefed on my responsibility to safeguard classified information and on the contents of NISPOM, 5-410 and 411.

Employee's Signature

Employee's Name

Approved by:

Facility Security Officer

Date

Zelda then prepared the *authorization letter* required for Buzz to handcarry the classified material aboard commercial passenger aircraft. She had his personal data on file, but she would have to have him put his name

on the letter. The letter looked like this. Zelda made a copy for EWC's records.

*Electric Widget Company
232 Widget Way
Corinth, New York 12822*

December 1, 1995

TO: Whom It May Concern

SUBJECT: Authorization to Convey Classified material

The employee whose description and signature appear below is authorized to convey one sealed envelope, approximately 9" x 11 1/2", via commercial passenger aircraft from Corinth, New York to Washington, D.C.

Request that in the interest of national security the envelope be exempt from opening.

The employee's description is as follows:

Name: Irwin L. Meyerhofsen Date of birth: September 6, 1951 Height: 6' VWeight: 180 lbs.

The employee's signature is as follows:

Upon request, Mr. Meyerhofsen will present an identification card that bears his name and photo and was issued to him by Electric Widget Services.

If you require further information, contact me at (716) 555-0001. The field office of the Defense Investigative Service in Troy, New York may be contacted at (716)993-0000.

Sincerely,

While Harold was briefing Buzz, Zelda continued her preparations. She prepared the receipt for the ACME shipment in triplicate (an original for signature and return, a copy for ACME's records, and a copy to be kept at EWC for follow-up, if necessary). The receipt looked like this.

000157	CLASSIFIED MATERIAL RECEIPT	
TO: ACME Aeronautics 8733 Gyro Lane Palmdale, CA 93512	FROM: Electric Widget Company 232 Widget Way Corinth, NY 12822	
DATE SENT: <u>Dec. 1, 1995</u>	SENT BY: <u>U.S. Express Mail</u>	
UNCLASSIFIED TITLE/DESCRIPTION: <u>Copy of EWC report, Laser Widget Field Tests (U), dated 30 Nov 95, 2 pp. Classification: SECRET</u>		
RECIPIENT: Notify EWC at once of any discrepancy between the contents as described and the actual contents of this package. Please complete and return the original of this receipt promptly. A copy is provided for your records.		
I acknowledge receipt of the classified material described above.		
Signature _____	Printed, stamped, or typed name _____	
Date _____		

She did not prepare a receipt for the report for the NESC visit, since taking the document to NESC for the visit was a *release*, not a *transmission*.

Zelda then attached the transmittal letter to the report copy going to ACME, and on top of the letter she attached a cover sheet. She attached only a cover sheet to the report for the NESC visit.

She knew Buzz would be taking the visit package through airport security, so she was careful not to use a metal clamp or the like to hold all the papers together.

She placed the inventory-approval on top of the report for the NESC visit for Buzz and Harold to sign, then she logged out the document for ACME (but not the one for the NESC visit). The annotated record looked like this.

ELECTRIC WIDGET COMPANY	
Receipt and Dispatch Record	
Security Classification:	<u>SECRET</u> Document's Date: <u>30 Nov 95</u>
Unclassified Description:	<u>Copy of EWC report, Laser Widget</u> <u>Field Tests (U), 2 pp.</u>
Received from:	_____ on _____ activity date
Dispatched to:	<u>ACME Aeronautics, Paterson, NJ</u> on <u>12/1/95</u> activity date
EWC receipt #:	<u>000157</u> Due back by: <u>12/31/95</u> Received on: _____
Destroy this record after _____ date	

...**"ZELDA GRABBED HER
FIRST AID KIT"**.



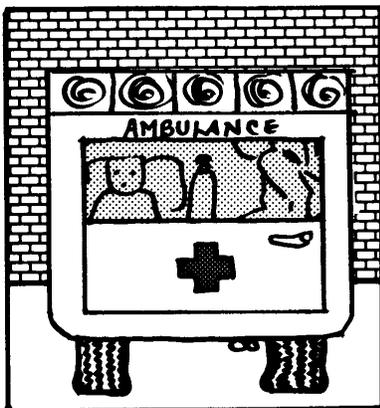
While Zelda was waiting for Harold to wind up his briefing session with Buzz and come and sign the transmittal letter (and for Harold and Buzz to sign the inventory-approval and authorization letter), she addressed the inner and outer envelopes for both packages. She addressed the inner envelope of the NESC package to Buzz at NESC's address, and added "ATTN: Mr. Crigger" to the ACME address on the other inner envelope. She stamped both envelopes **SECRET**. The briefing seemed to be taking quite a while, she thought.

She had just completed the addressing and stamping when her door burst open and in rushed Eloise Jiggetts.

"Zelda! Come quick! It's Buzz! An accident!"

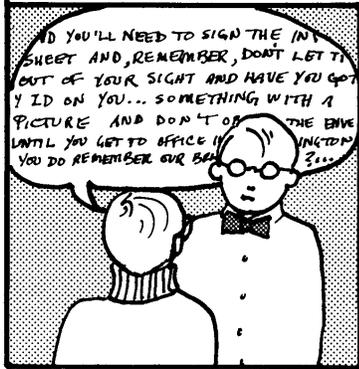
Her mind whirling, Zelda told Eloise to get Kate. Eloise ran down the hall, while Zelda threw open a drawer and grabbed her first aid kit. Eloise came back, half dragging Kate by the arm. Gesturing at the paperwork all over her desk, Zelda said, "Kate, look after this!" Zelda and Eloise rushed off.

Eloise took Zelda to the QZ-12 assembly line, where the line workers huddled around the stuffer station. Zelda plowed through them and found Buzz on the floor with a makeshift bandage bound around his right arm, which someone pressed and held upright to stop the bleeding. Zelda, who taught first aid classes in her spare time, removed the bandage, checked for broken bones and, finding no break, expertly applied an antiseptic and a sterile dressing then treated Buzz for shock. She heard Buzz murmur, "That's it! Must reconfigure the vertical release cam!" An ambulance arrived and took Buzz to the hospital.



**BUZZ DIDN'T GO TO THE
AIRPORT, AFTER ALL.**

Zelda returned to her office, where Harold had gone when Buzz had been called away from his briefing to look at the re-malfunctioning stuffer. Harold, having been told by Kate that Zelda had gone off with Eloise, had signed off on the transmittal letter for ACME and had inserted all of the materials into their respective inner envelopes. Kate was busy sealing the inner envelopes, as Harold had asked, while Harold read over the inventory-approval and letter of authorization, then signed them.



HAROLD GIVES BASCOM A BRIEFING.

When Zelda told them about the accident, Harold called Buzz's wife and reassured her as well as he could. He said he would ask Kate to pick her up and drive her to the hospital.

When Kate had gone, Harold glanced at the inventory approval and authorization letter, He picked them up and flapped them. "Well," he said to Zelda, "I guess that's that. Poor Buzz!" It was nearly noon. "Maybe not," said Zelda, forcing her thoughts away from Buzz. "Why not send Bascom? Buzz has kept him up to date. He knows all about the field tests and the whole project." "That's right!" said Harold and, while Zelda sealed the outer envelopes, Harold went over the situation with Bascom, briefing him on his responsibilities and the procedures for his trip to Washington in place of the injured Buzz.

Time was running out. Bascom hastily signed the inventory-approval and authorization letter and Zelda made him a copy of the inventory-approval. Kate had taken the Lightfoots' car, so Zelda would drive Bascom to the airport. She left to bring her car, a sporty coupe, around to the front entrance. Harold was busy making a call to the Pentagon to notify NESC that Bascom would be substituting for Buzz. Bascom shoved the inventory-

approval, authorization letter, and packaged report into the leather case that Kate had given him as an early birthday present. It bore his initials, B.J.L., in gold.

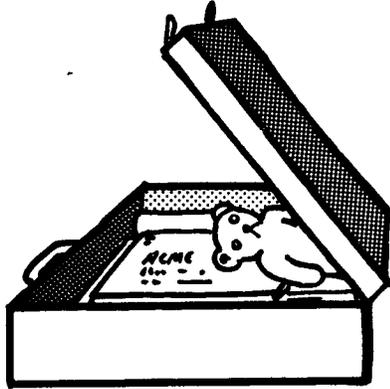


The airport was just a few minutes drive, and Zelda delivered Bascom to the terminal building at 12:20. Bascom picked up the reservation for EWC and in record time was in the short line passing through the security screening. He placed the leather case on the conveyor belt, recalling that Harold had told him that sending a package through a screening device does not take it out of the personal control of the traveler. He walked through the screening portal without incident and watched as the case passed through the dark chamber midway along the belt. When the case emerged, he reached for it, but before he had it the guard attending the screening device grabbed it. "Please stand by," said the guard, stopping the belt and placing the case back inside the chamber. The guard studied his monitor screen for a moment, then said to Bascom, "Please come with me."

Bascom noticed that the guard kept his right hand on the holster of his revolver as they walked. They came to an office; the sign on the door read "R.J. Cramer, Director of Security." As they entered the office, Bascom tried hard to remember all the instructions Harold had given him during his last-minute briefing.

Mr. Cramer looked up from his desk and said, "Something the matter, Arthur?" "Yes, Mr. Cramer, I think so," said the guard. "I believe that this individual" - he nodded toward Bascom - "was attempting to convey an explosive device aboard flight 278." The guard placed Bascom's case on Mr. Cramer's desk.

Mr. Cramer rolled his chair back and stood up, his eyes riveted on the case. "What makes you think so?" "Well, sir, in that course you sent me to, 'X-Ray Recognition of Munitions,' we learned how to spot 'flat bombs,' and what's inside this" - he pointed to the case - "gives the image of an AMOK-43, a device widely used by certain Mid-East terrorist groups."



BASCOM OPENED THE CASE .

"Really," said Mr. Cramer. He looked at Bascom and said, "I'm afraid I'll have to ask you to open this case."

"All right," said Bascom, now numbed by what was happening. He opened the case and took out the envelope with the inventory and authorization letter on

"And what is in the envelope?" asked Mr. Cramer.

"It's U.S. Government classified information," said Bascom. "It ... it *cannot* be opened."

Arthur, thinking that Bascom's reply was the desperate ploy of a cornered terrorist, unsnapped the retaining strap of his holster. Mr. Cramer, cool as reffigerated steel, reached for the inventory and authorization sheets. "May IT"

"Yes, of course," blurted Bascom, aware that the inventory and authorization were not classified information. "You'll see I'm telling the truth."

Mr. Cramer read the inventory and the authorization. Then he looked at the address on the package. His eyebrows went up. "These papers say you're taking the package to NESc in Washing-ton, but the package is addressed to ACME Aeronautics in New Jersey."

Arthur eased his revolver from its holster.

Bascom's mind reeled. He had picked up the wrong package! But even so, why should there be anything but paper in the envelope?

He tried stalling. "Mr. Cramer, I am Bascom Lightfoot, a cleared employee of a defense contractor. I'm handcarrying classified material needed for my visit to the Navy at the Pentagon. Please refer to FAA Advisory Circular" - What was the number? - "Circular.. 108-3! I request special dispensation from the advance notification stipulation. Please phone Harold Huxtable, the facility security officer of the Electric Widget Company. He will verify my authorization to handcarry this material."

"Hal Huxtable?" said Mr. Cramer. "Is Hal in on this?"

Bascom sighed in relief. So they knew each other "Yes," said Bascom, and gave Mr. Cramer Harold's phone number.

"Hal, is that you? This is Bob Cramer at Corinth International Airport. There's a Bascom Lightfoot here in my office..."

At 12:45 Harold arrived at the airport with the NESC package, and at 12:53 a badly shaken Bascom boarded flight 278, escorted to the plane by Arthur Wilkes, who apologized for the inconvenience but asked Bascom to realize that he was just doing his job.

Just moments earlier in Mr. Cramer's office, Harold had carefully opened the package addressed to ACME and discovered not an AMOK-43, but a rather large and quite flat PCT-2000: a calculator designed specifically

for use by engineers. Harold told Bob Cramer that he had no idea of how the calculator came to be in the ACME package, but he would certainly find out. He apologized for the inconvenience the mishap had caused, and asked Bob what team he was bowling for these days.

Back at the office, Harold quizzed Zelda about the calculator, but she knew nothing about it.

Zelda rewrapped the shipment to ACME and gave the package to Milo Mertz to send by U.S. Registered Mail.

It was not until later that afternoon, when Kate returned from the hospital, that Harold found out the truth. Kate first announced that Buzz would be fine. At the hospital, the recovering Buzz had told Kate that while he was working on the stuffing machine (with the power off), the vertical release cam had disengaged, dropping the stuffer arm, which struck Buzz's forearm. Buzz was already redesigning the cam. The doctor said Buzz's wound should heal quickly, but that for some time his forearm would bear, imprinted in small scars, the nomenclature of the QZ-12 electric widget.

Harold then asked Kate if she knew about the calculator. "Oh," she said, "How do you know about that?" Harold related what happened at the airport. "My poor Bascom!" she said. "It's all my fault." She explained that when Linwood Crigger had made his recent visit, he had left behind his calculator and she found it. She had not got around to returning it to him, so when she saw the inner envelope addressed to ACME with "ATTN: Mr. Crigger" on it, she had slipped the calculator inside with the papers before she sealed it. She said she thought this would be a simple, fast, reliable way to get the calculator back to Mr. Crigger,

since the package would be going by U.S. Registered Mail.

"Kate's explanation was followed by a lengthy closed-door session with Harold in which he counseled her in detail about security practices and procedures at EWC and warned her that any further incident like this one would lead him to place an official reprimand in her personnel file. Kate, perhaps more impressed by the consequences of her ill-considered action on Bascom than by Harold's jawboning, vowed that from now on she would faithfully observe every security procedure there was at EWC.

Despite its inauspicious beginning, the rest of Bascom's visit to NESC had gone smoothly. Bascom was able to answer all of CDR Eckles' questions about the project, and CDR Eckles was thereby enabled to answer all of his Captain's questions about the project. From the way things had gone, it appeared to Bascom that EWC was the front runner for the follow-on contract that would take the laser widget into full production.

Bascom was obliged to leave the SECRET report with CDR Eckles, who had seen that Bascom was issued an NESC receipt for it.

Kate met Bascom at the airport the next day. She told him about the calculator and the mix-up, and said she would make it up to him somehow.

Back at EWC, Bascom returned his copy of the inventory and gave Zelda the signed receipt from NESC. She filed the receipt and annotated the record for the report as follows:



KATE RECEIVES A MORE THOROUGH BRIEFING THAN WAS GIVEN TO BASCOM.

ELECTRIC WIDGET COMPANY

Receipt and Dispatch Record

Security Classification: SECRET Document's Date: 30 Nov 95

Unclassified Description: Copy of EWC report, Laser Widget
Field Tests (U), 2 pp.

Received from: _____ on _____
activity date

Dispatched to: NESC, Pentagon, Washington, D.C on 12/1/95
NESC activity date

EWG receipt #: 8033 Due back by: _____ Received on: 12/2/95

Destroy this record after 12/2/97
date

CHARTS

The charts on the following pages depict procedures for transmitting SECRET and CONFIDENTIAL documents outside the facility by U.S. Mail or by an employee courier. They also show procedures for releasing documents to be hand-carried by an employee making a classified visit. The last pages of the charts cover requirements given in NISPOM, 5-411 that apply to handcarrying SECRET and CONFIDENTIAL documents aboard commercial passenger aircraft. Again we stress that the charts show ways of transmitting documents, or releasing documents for visits, so as to meet applicable NISPOM requirements. Procedures at your facility may be different; check your SPP, if you have one.

NOTE: Don't be daunted by the length of these charts. Yes, they run to ten pages! But for any particular case you will only be using a part of them. So the charts "shrink" considerably in actual use.

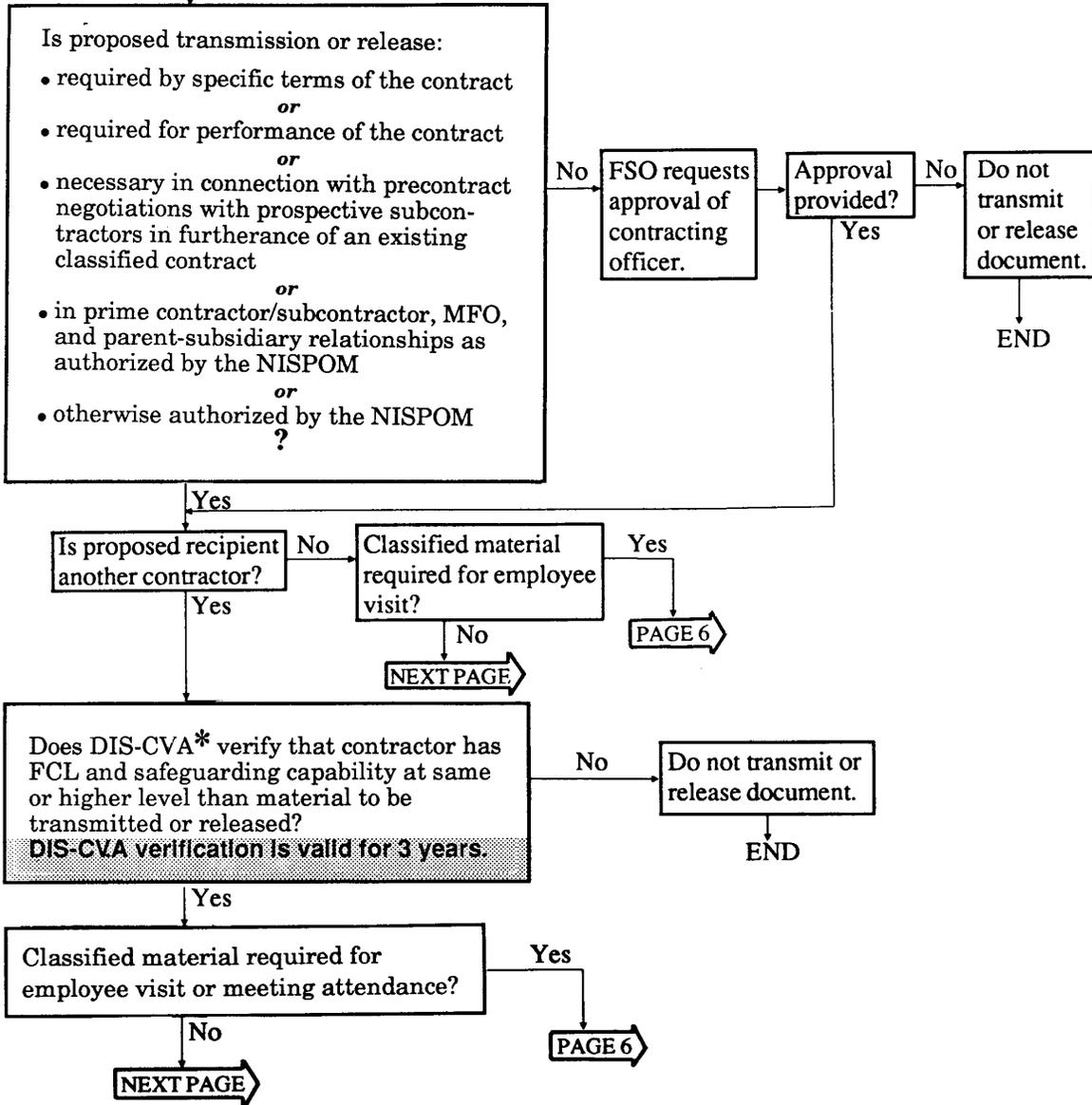
1

TRANSMISSION & RELEASE SECRET AND CONFIDENTIAL DOCUMENTS



SECRET or CONFIDENTIAL document to be transmitted or released outside facility to UA activity or to another contractor.

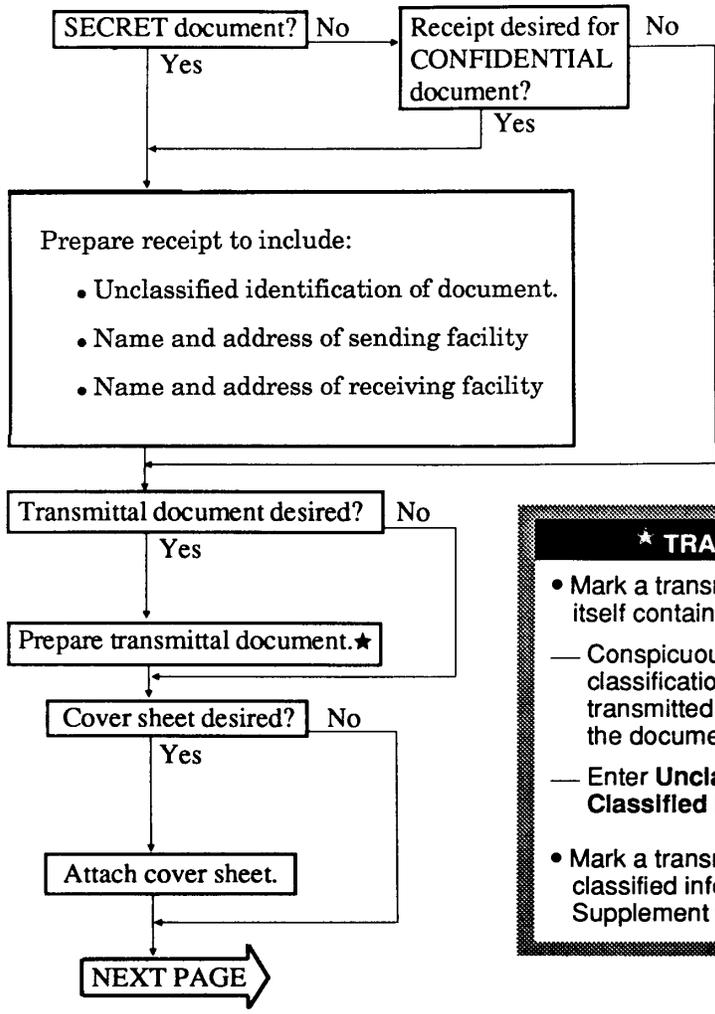
NOTE: Requirements for transmitting or releasing accountable COMSEC (includes CRYPTO) documents are *not* included in these charts.



TRANSMISSION

SECRET AND CONFIDENTIAL DOCUMENTS

U.S. MAIL OR EMPLOYEE COURIER



★ TRANSMITTAL DOCUMENTS

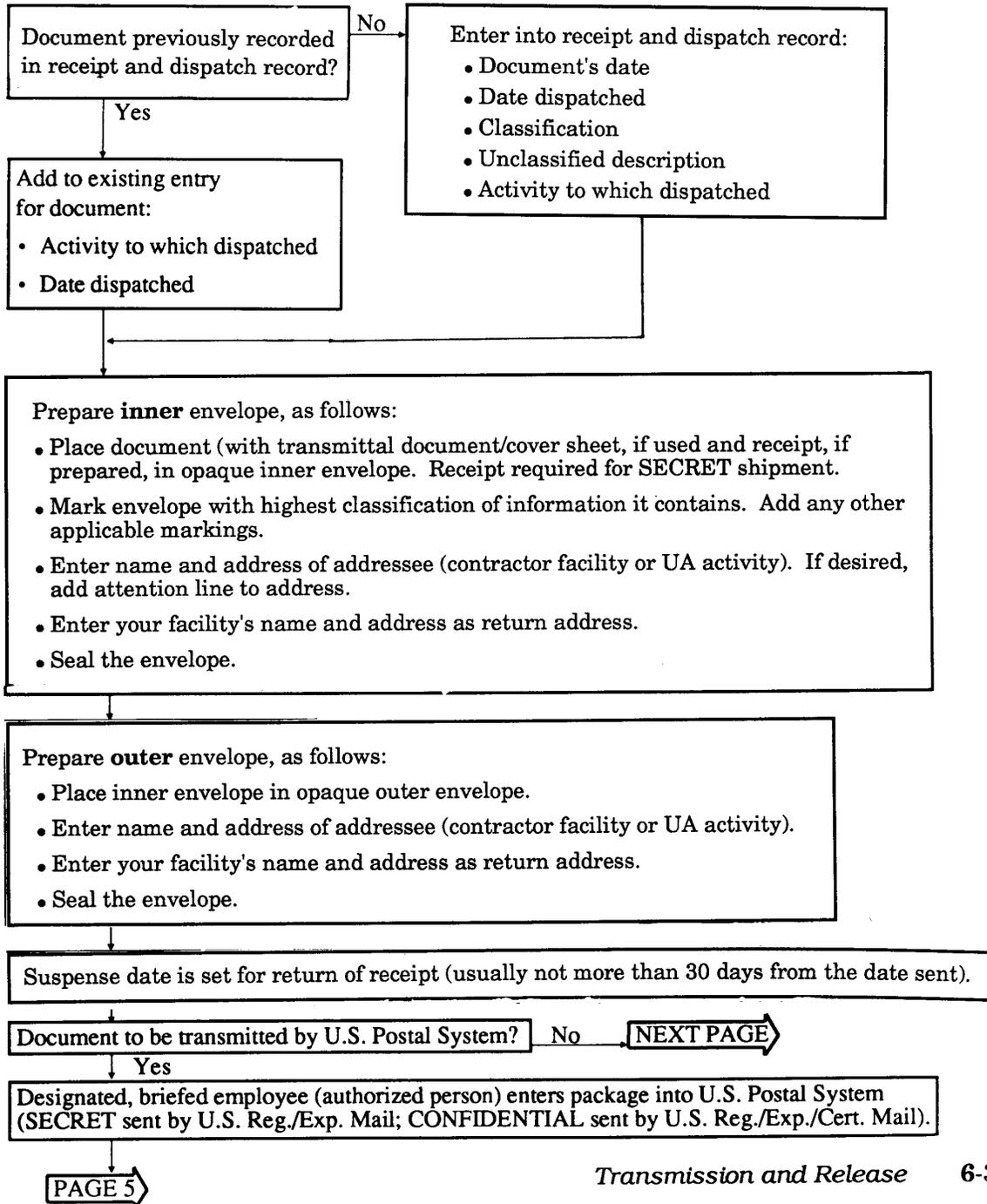
- Mark a transmittal document that does not itself contain classified information as follows:
 - Conspicuously mark the highest classification level of the information transmitted by it at the top and bottom of the document.
 - Enter **Unclassified when Separated from Classified Enclosures.**
- Mark a transmittal document that contains classified information as shown in Marking Supplement to NISPOM.

3

TRANSMISSION

SECRET AND CONFIDENTIAL DOCUMENTS

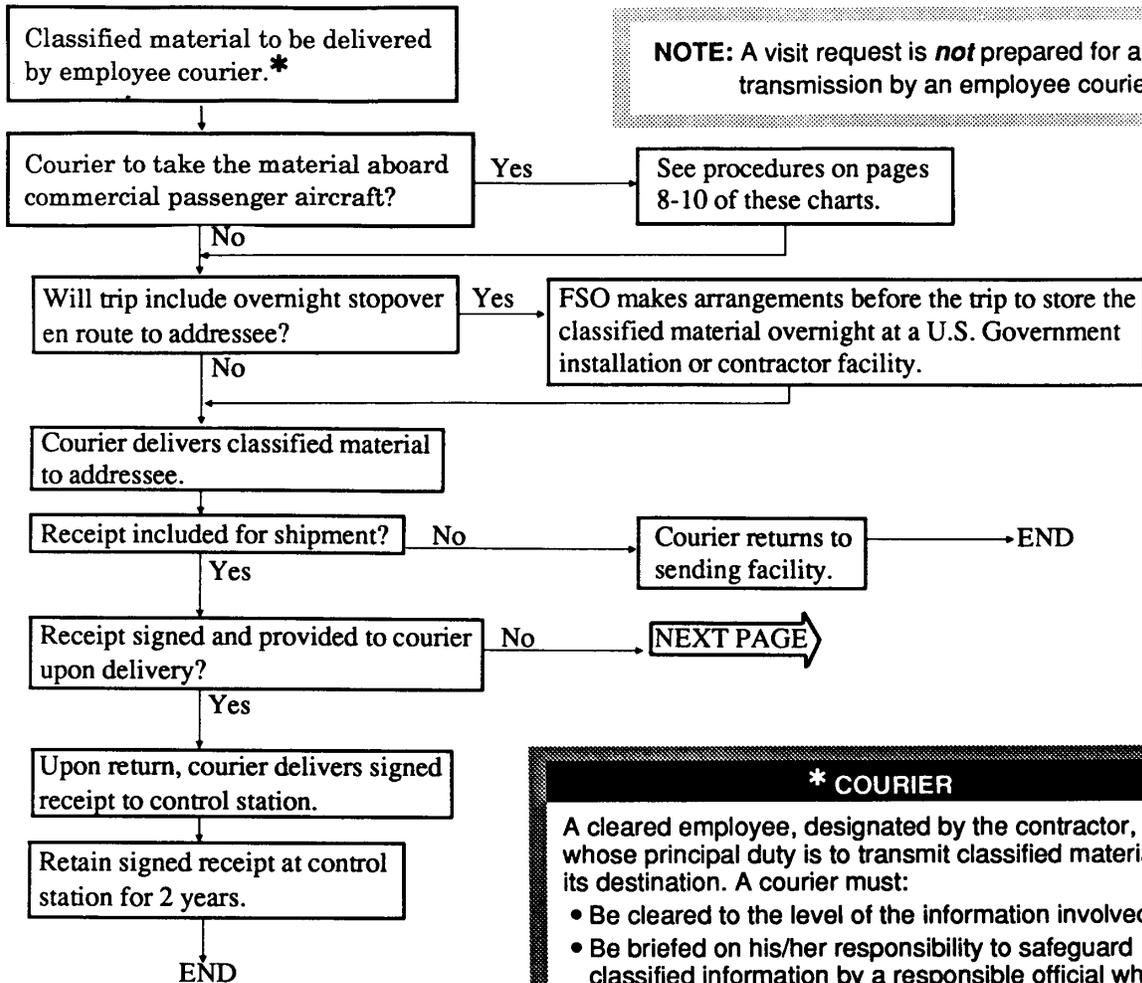
U.S. MAIL OR EMPLOYEE COURIER



TRANSMISSION

SECRET AND CONFIDENTIAL DOCUMENTS

U.S. MAIL OR EMPLOYEE COURIER



NOTE: A visit request is *not* prepared for a transmission by an employee courier.

NOTE: The handcarrying of classified material must not be authorized when there is doubt as to whether the material can be properly handled and protected.

*** COURIER**

A cleared employee, designated by the contractor, whose principal duty is to transmit classified material to its destination. A courier must:

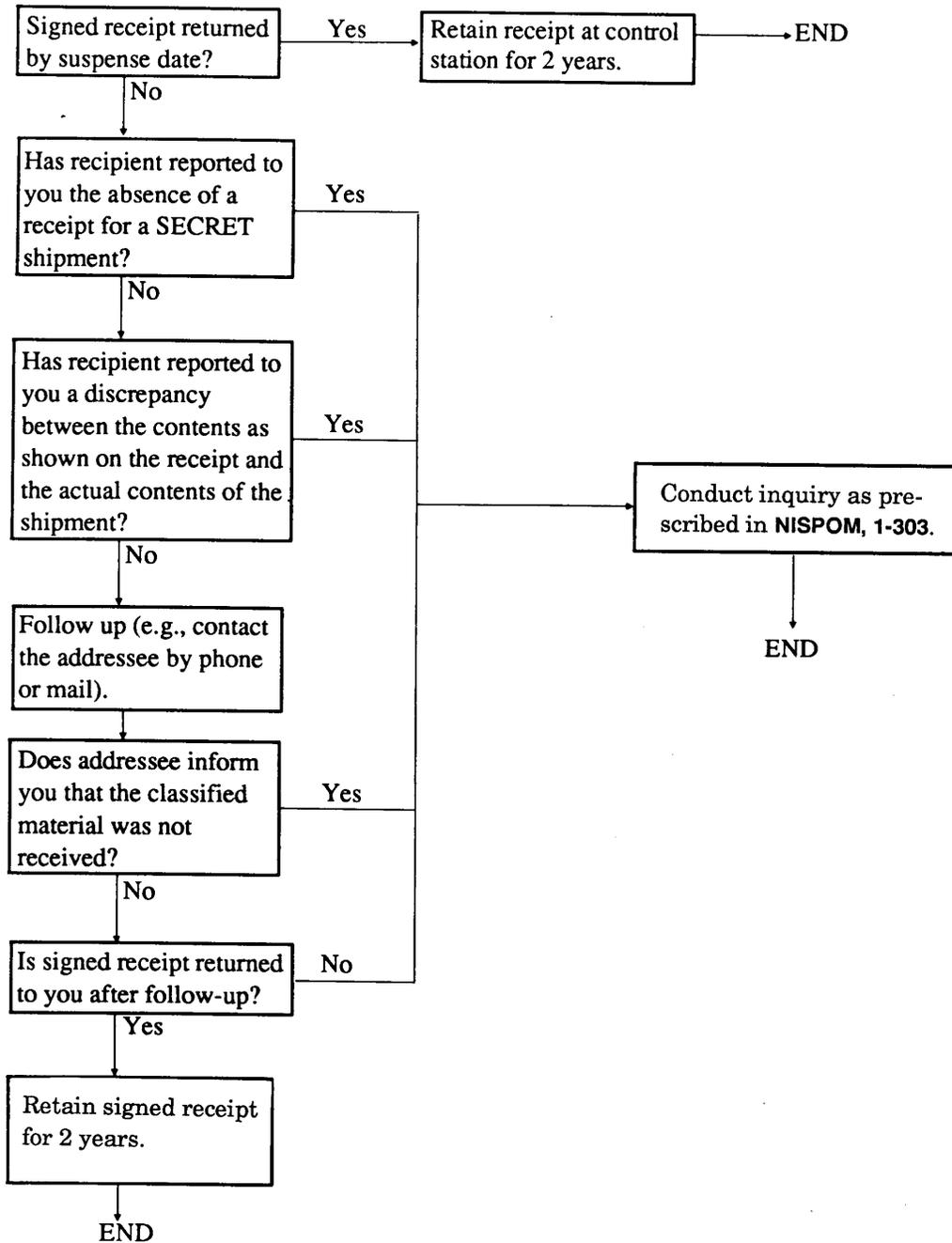
- Be cleared to the level of the information involved
- Be briefed on his/her responsibility to safeguard classified information by a responsible official who is delegated authority in such matters
- Possess an identification card or badge, issued by the contractor, which contains, as a minimum:
 - contractor's name
 - courier's name and photograph
- Retain the classified material in his/her personal possession at all times except for authorized overnight storage at a U.S. Government installation or at a cleared contractor's facility that has appropriate safeguarding capability

5

TRANSMISSION

SECRET AND CONFIDENTIAL DOCUMENTS

U.S. MAIL OR EMPLOYEE COURIER

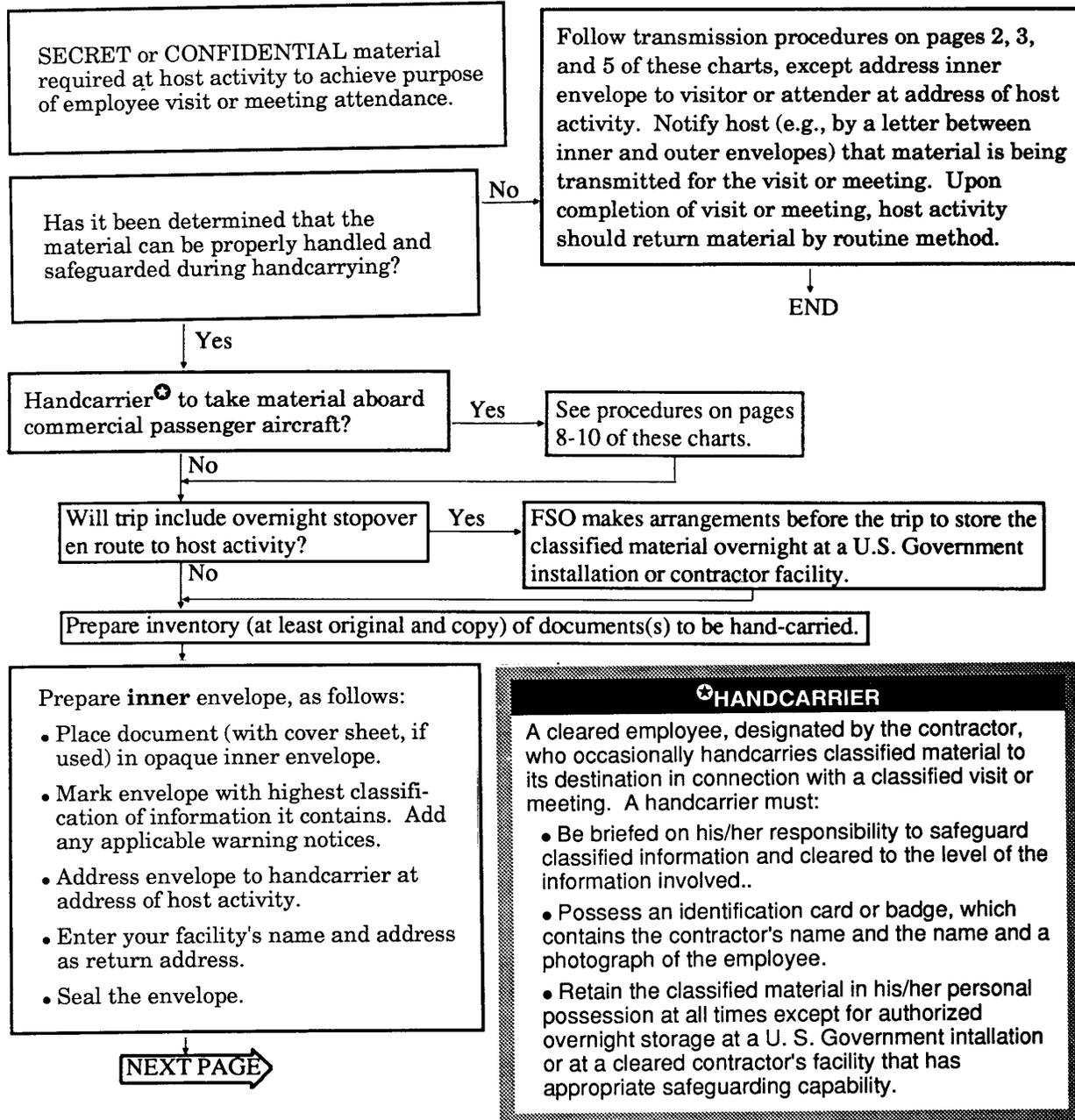


6

TRANSMISSION & RELEASE FOR VISIT OR MEETING

SECRET AND CONFIDENTIAL DOCUMENTS

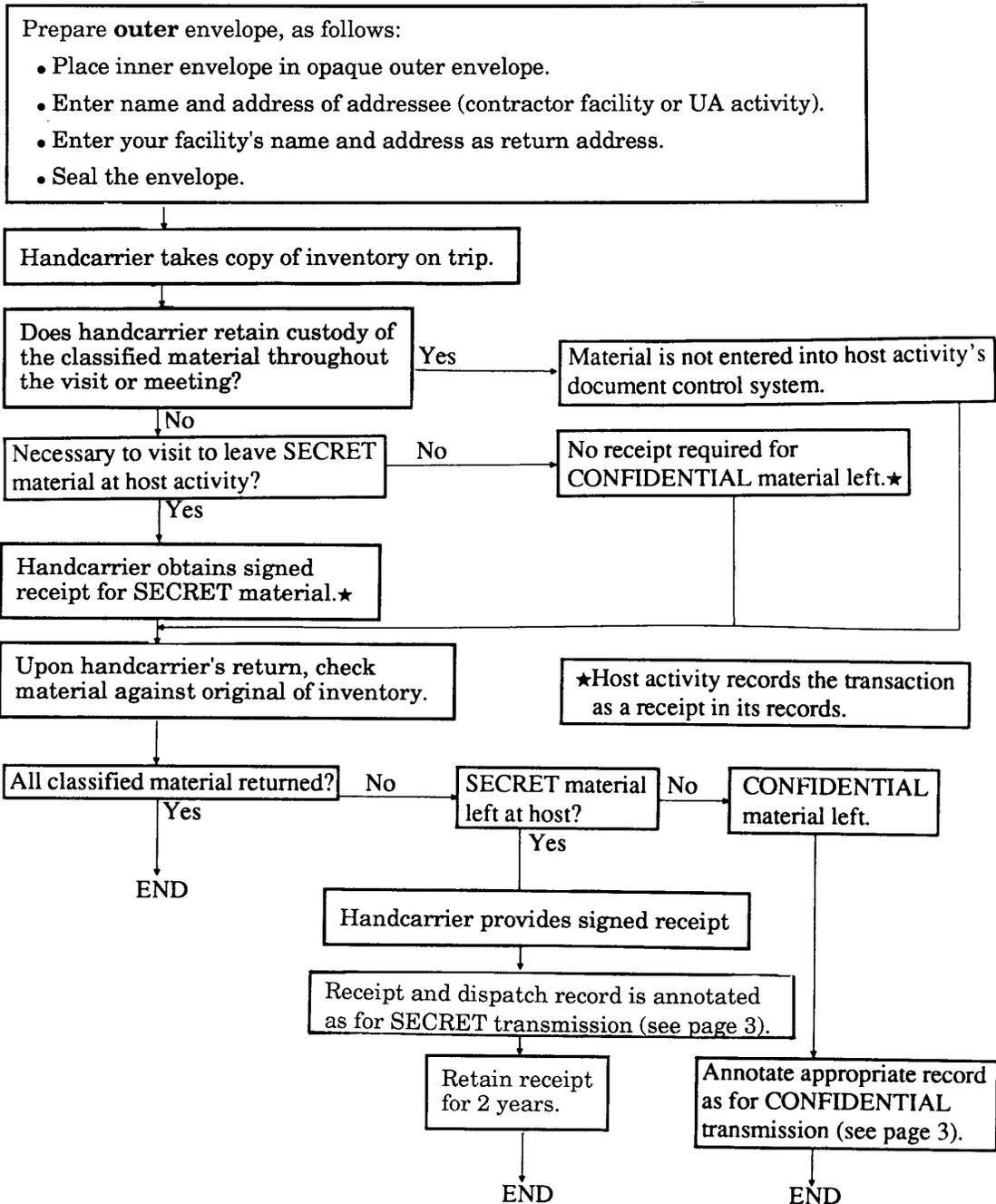
ROUTINE METHODS & HANDCARRIER



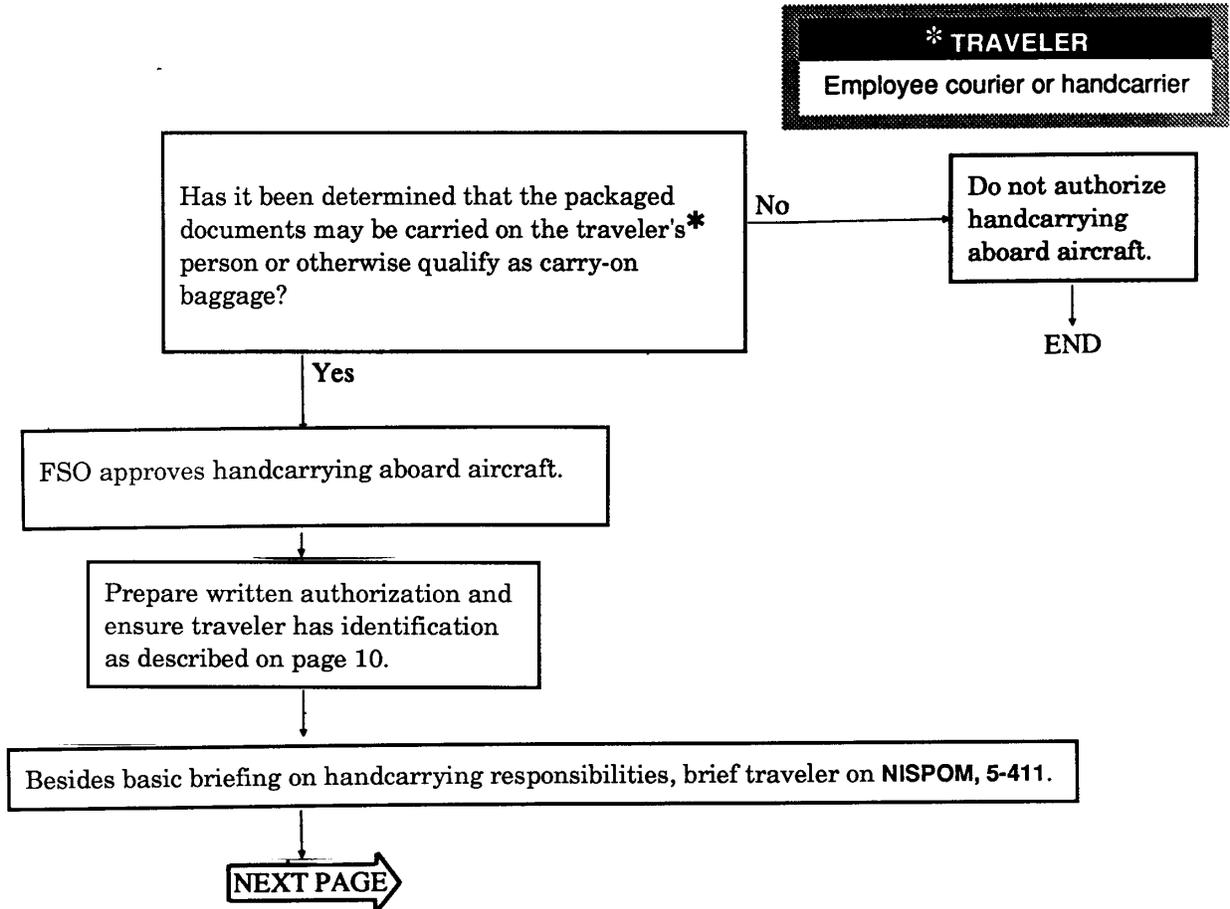
7

RELEASE FOR VISIT OR MEETING SECRET AND CONFIDENTIAL DOCUMENTS

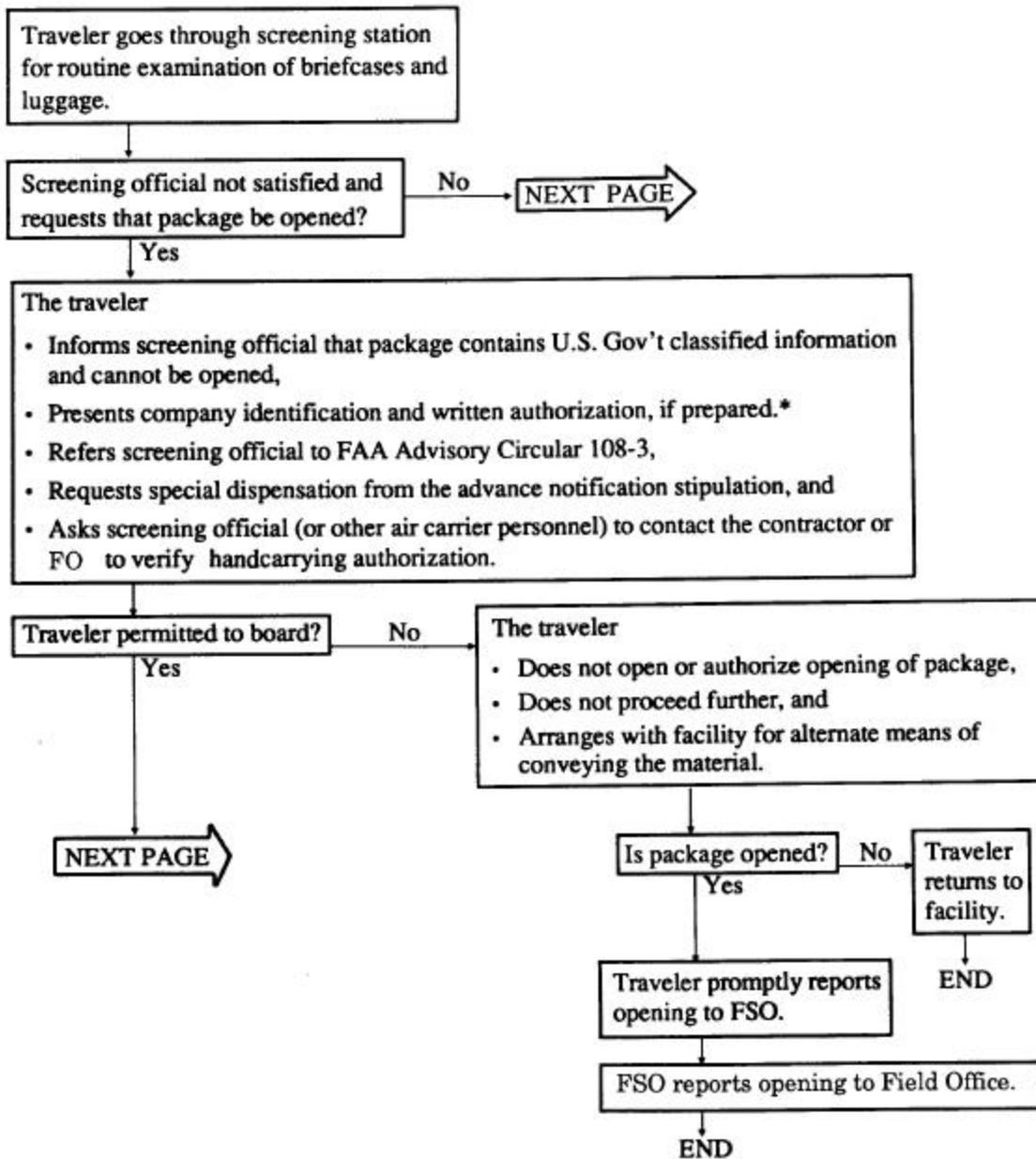
HANDCARRIER



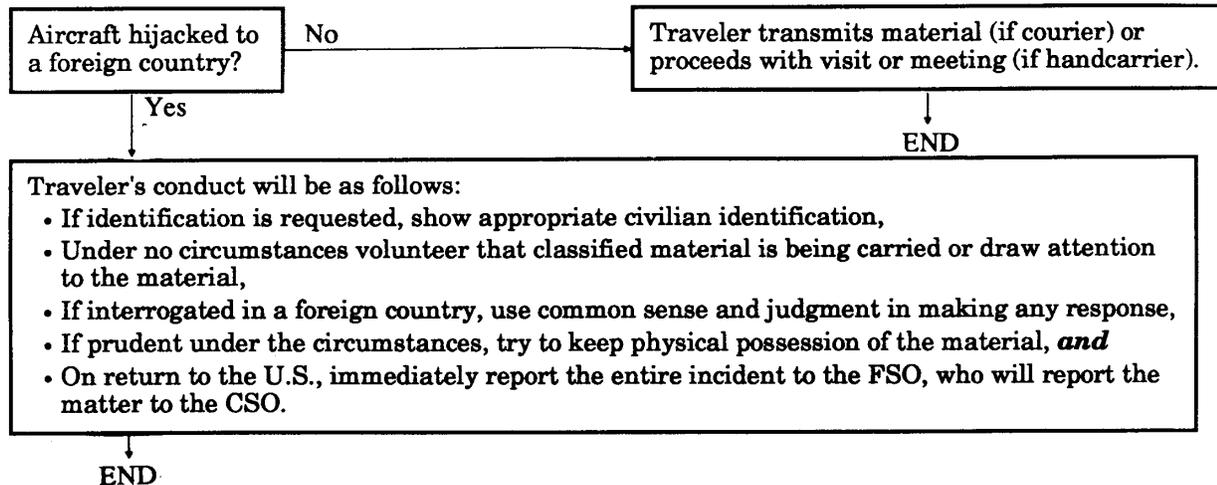
**HANDCARRYING ABOARD
COMMERCIAL PASSENGER AIRCRAFT
SECRET AND CONFIDENTIAL DOCUMENTS**



HANDCARRYING ABOARD COMMERCIAL PASSENGER AIRCRAFT SECRET AND CONFIDENTIAL DOCUMENTS



HANDCARRYING ABOARD COMMERCIAL PASSENGER AIRCRAFT SECRET AND CONFIDENTIAL DOCUMENTS



AUTHORIZATION LETTER

Traveler must have written authorization which shall:

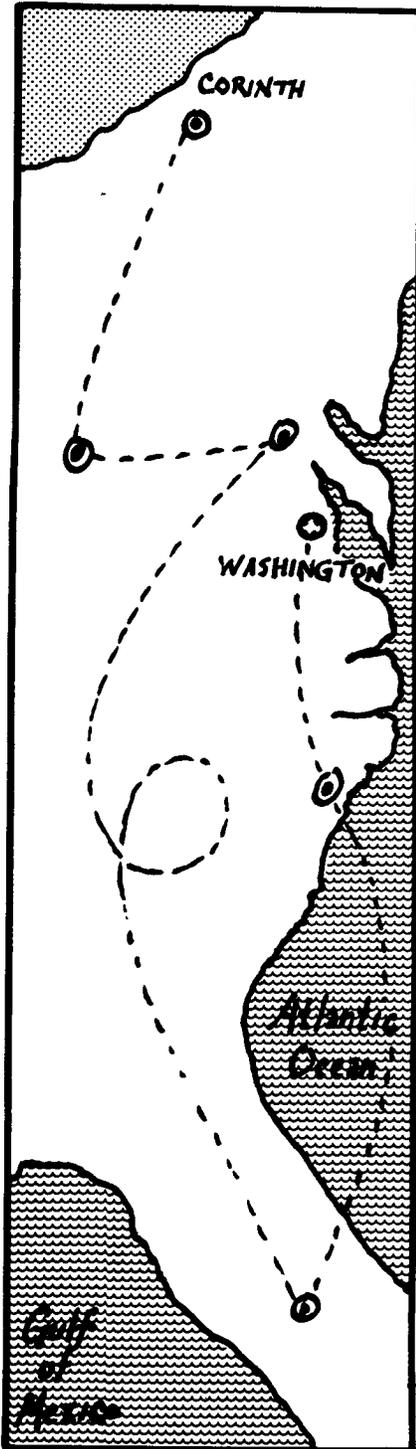
- Provide the full name, date of birth, height, weight, and signature of the traveler, and state that he or she is authorized to transmit classified material.
- Describe the type of identification the traveler will present on request (e.g., ABC Corporation picture badge, No. 1234).
- Describe the material being handcarried and request that it be exempt from opening (e.g., three sealed packages, 9¹/₂ x 12¹/₂ x 2").
- Identify the points of departure, destination, and known transfer points.
- Include the name, telephone number, and signature of the FSO, and the location and telephone number of the Field Office.

IDENTIFICATION

The identification card or badge for the traveler must contain the

- Contractor's name.
- Name and a photograph of the employee.

SUMMARY



**BUZZ'S SCHEDULED 1:00
FLIGHT TO WASHINGTON**

When transmitting or releasing SECRET and CONFIDENTIAL documents outside your facility, you must obtain the contracting officer's authorization or determine that the transmission or release qualifies as an exception. If the recipient is a contractor, you must verify that the contractor has an FCL and safeguarding capability at or above the level of the material involved. For a transmission, a receipt is prepared for SECRET documents, a letter of transmittal and/or a cover sheet may be attached, and the document is logged out in the receipt and dispatch records. The inner envelope is addressed, return addressed, and marked with the highest classification level of the material and with any applicable warning notices. The document and receipt form (if required) are inserted in the envelope, which is then sealed. The outer envelope is addressed and return addressed and sealed. The outer envelope is not marked. A SECRET package can then be transmitted by U.S. Express Mail or U.S. Registered Mail, while a CONFIDENTIAL package can be transmitted by U.S. Express Mail, U.S. Registered Mail, or U.S. Certified Mail. Packages containing classified material may also be transmitted by a designated, briefed courier, who is cleared to the level of the material to be transmitted and carries a company identification card or badge. The courier must keep the material in his/her possession at all times during the trip. However, if the courier must make an overnight stopover, the FSO must arrange for storage of the material at a UA installation or a contractor facility with approved storage capability at or above the level of the material. Other approved transmission methods may also be used. Delivery of SECRET transmissions must be monitored and, if necessary, followed up. Signed receipts are kept for at least 2 years. The employee must carry a company identification card or badge and must be cleared to the

highest level of the documents involved and briefed on his/her security responsibilities. Such documents must be inventoried, properly packaged, and charged to the employee before he or she departs for the visit or meeting. The handcarrier must keep the material in his/her personal possession at all times during the trip. If, however, the handcarrier must make an overnight stopover, arrangements must be made as in the case of a courier for suitable storage. The handcarrier must obtain a receipt for any SECRET document left at the host facility. Upon the handcarrier's return, the material is checked against the original of the inventory and received, together with any receipt obtained. Handcarrying classified documents aboard commercial passenger aircraft requires the approval of the FSO. An authorization letter and identification for the traveler must be provided. Before departure, the traveler must be briefed on **NISPOM, 5-411**. Care should be taken in packaging the material for airport screening. Special procedures must be followed if the screening official requests to open the package containing the material, if the traveler is not permitted to board the aircraft, or if the aircraft is hijacked to a foreign country.

6 Review Exercises

Complete the following exercises for review and practice.

Multiple-choice questions may have one or more correct choices.

1. The general rule when SECRET and CONFIDENTIAL material is to be transmitted or released is that the _____ the _____ approval must be obtained before the material is sent.

2. Which two of the following exceptions to the general rule usually permit a cleared contractor to transmit or release SECRET and CONFIDENTIAL material without having to obtain prior approval?
 - () a. The transmission or release is in regard to prime contractor/subcontractor, MFO, and parent-subsidiary relationships as authorized by the NISPOM.
 - () b. The transmission or release is required for performance of the contract.
 - () c. The transmission or release is required by the specific terms of the contract.
 - () d. The transmission or release is in connection with pre-contract negotiations with prospective subcontractors in furtherance of an existing contract.
 - () e. The transmission or release is otherwise authorized by the NISPOM.

3. When the proposed recipient is another contractor the facility transmitting or releasing the classified material must verify that the recipient has
 - a. _____

 - b. _____

4. _____ - _____ issues the verification, which is valid for a period of _____
_____ .

5. Complete the following procedures for preparing a document for transmission:
 - a. Prepare a r_____ for S_____ documents.
 - b. Prepare a t_____ d_____ (optional).
 - c. Attach a c_____ s_____ (optional).
 - d. L_____ o_____ the document.
 - e. Prepare the i_____ e_____ .
 - f. Prepare the o_____ e_____ .

6. The three items required on a receipt when it is sent are
 - a. _____
 - b. _____
 - c. _____

7. Only an o _____ receipt is required for SECRET transmissions.

8. How is a transmittal letter that does not itself contain classified information to be marked?
 - a. _____
 - b. _____

9. For a document for which there is already a record of its receipt what two additional entries are made when the document is transmitted (dispatched)?
 - a. _____
 - b. _____

10. What information needs to be entered in a receipt and dispatch record when a SECRET or CONFIDENTIAL document generated by your facility (original or copy) is transmitted?

a. _____

b. _____

c. _____

d. _____

e. _____

11. For each of the following steps in preparing a transmission or release, enter 1E for "Inner Envelope" and/or OE for "Outer Envelope."

a. _____ Mark with highest classification of information that it contains.

b. _____ Enter the name and address of the recipient activity or host activity.

c. _____ Seal envelope.

d. _____ If appropriate, specify **"TO BE OPENED BY ADDRESSEE ONLY. Postmaster - Do Not Forward. If undeliverable to addressee, Return to Sender."**

e. _____ Add any applicable markings.

f. _____ Add an attention line if desired, stating the office code or name of particular employee of the receiving facility or UA.

g. _____ name and address of sending facility.

h. _____ Enter name of visitor or attender recipient.

12. For each of the following methods of transmitting enter S if the method is authorized for SECRET documents, and/or C if the method is authorized for CONFIDENTIAL documents.

a. _____ Employee courier.

b. _____ U.S. Express Mail.

c. _____ U.S. Registered Mail.

d. _____ U.S. Certified Mail.

13. Which of the following apply to a receipt for SECRET material?

a. _____ It may contain classified information in certain cases.

b. _____ A duplicate copy of the receipt must be retained by the sending facility in a suspense file until the signed copy is returned.

c. _____ The sending facility have a suspense system to track transmitted documents until the signed receipt is returned.

d. _____ If the sending facility has followed up and a signed receipt is not returned or if the addressee indicates that the SECRET material was not received, or reports to you the absence of a receipt for the SECRET shipment or a discrepancy between the contents and the receipt, the sending facility must conduct an inquiry as prescribed in **NISPOM, 1-303**.

e. _____ A copy of the signed receipt must be retained at the sending facility's control station for at least 2 years.

14. For each of the following NISPOM requirements, enter EC if the requirement applies to an employee courier, and/or EH if the requirement applies to an employee handcarrying classified information for a classified visit or meeting.
- a. _____ Must have a clearance at or above the classification level of the material to be conveyed.
 - b. _____ Must be briefed on his/her responsibilities to safeguard classified information.
 - c. _____ Visit authorization letter for employee is sent to employee's destination.
 - d. _____ Must carry a copy of an inventory of the classified material being conveyed.
 - e. _____ For a daytime trip, must keep the material in his/her personal possession at all times.
 - f. _____ For a trip with an overnight stopover, must store the classified material overnight at a U.S. Government installation or at a cleared contractor facility with safeguarding capability at or above the level of the classified material.
 - g. _____ Classified material routinely left at destination.
 - h. _____ Classified material left at destination only when necessary.
 - i. _____ Classified material inventoried a second time when employee returns to sending facility.
 - j. _____ Must possess an identification card or badge that contains the contractor's name and the employee's name and photograph.

15. Which of the following apply when classified material is to be handcarried aboard a commercial passenger aircraft?
- a. _____ The packaged documents may be carried on the traveler's person or otherwise qualify as carry-on baggage.
 - b. _____ The traveler must carry written authorization and company identification.
 - c. _____ A record of approval must be retained for 2 years.
 - d. _____ The packaged classified material should lend itself to airport screening inspection without opening.
 - e. _____ The packaged classified material should not contain metal that might activate detection devices.
 - f. _____ Film must be shielded with lead foil.
 - g. _____ The traveler must be briefed on his/her overall responsibility to safeguard classified information and on the contents of **NISPOM, 5-411**.
 - h. _____ The traveler may open or authorize the opening of the package(s) as provided for in FAA Advisory Circular 108-3.



1. Contracting officer. (p. 6-3)(NISPOM, 5-502,503, and 50g)
2. b. and c. (p. 6-3)
3. a. an FCL at the same or higher level than the material to be sent.
b. adequate safeguarding capability. (p. 6-3)(NISPOM, 5-400 and 509)
4. DIS-CVA, three years (p. 6-3)
5. a. receipt, SECRET; b. transmittal document; c. cover sheet; d. Log out; e. inner envelope; f, outer envelope. (p. 6-4-7)(NISPOM, 4-211; 5-202, 401, and 406)
6. a. Unclassified short title or abbreviation.
b. Name and address of sending facility (addressor).
c. Name and address of receiving facility (addressee).
(pp. 6-4)(NISPOM, 5-202)
7. Original. (p. 6-4)(NISPOM, 5-401a.)
8. a. Conspicuously mark the highest classification level of the information transmitted by it at the top and bottom.

b. Enter "**Unclassified when Separated from Classified Enclosures.**"
(p. 6-5)(NISPOM, 4-211)
9. a. Activity to which dispatched.
b. Date dispatched. (p. 6-5)(NISPOM, 5-202)

10. a. Document's date.
 b. Date of dispatch.
 c. Classification.
 d. Unclassified description.
 e. Activity to which dispatched. (p. 6-6)(NISPOM, 5-202)
11. a. IE d. OE g. IE, OE
 b. IE, OE e. IE h. IE
 c. IE, OE f. IE
 (p. 6-6-7, 12)(NISPOM, 5-406)
12. a. S,C; b.S,C; c.S,C; d.C. (p.6-8)(NISPOM,5-403)
13. c. d., and e. (pp. 6-4, 10)(NISPOM, 1-3021 and 303; 5-401)
14. a. EC,EH f. EC, EH
 b. EC,EH g. EC
 c. EH h. EH
 d. EH i. EH
 e. EC, EH j. EC, EH
 (pp. 6-9-10, 11-13)(NISPOM, 5-400 and 401a)
15. a.,b.,d.,e.,g. (pp.6-13-14)(NISPOM,5-411)