

Transmission and Transportation for Industry IS107v4

Student Guide

April 2023

Center for Development of Security Excellence

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Lesson 1: Course Introduction

Course Information

Welcome to the Transmission and Transportation for Industry Course.

Purpose: Provide a thorough understanding of the National Industrial Security Program (NISP) policy requirements for transmitting and transporting classified information.

Audience: Facility Security Officers and others with security responsibilities in the NISP.

Pass/Fail: 75%

Estimated Completion Time: 120 minutes

Course Overview

Working with classified materials carries significant responsibilities.

Companies and individuals who handle classified information are charged with keeping it safe from accidental or intentional compromise.

This responsibility becomes especially important when you need to transfer classified material from one location to another.

Specific policies govern how classified information can be transferred and should be considered throughout the transmission and transportation process.

This course is about the factors you need to consider and the specific procedures you must follow in order to safeguard classified information that, if disclosed, could damage the national security of the United States.

Course Objectives

Here are the course objectives. Take a moment to review them.

- Identify the policy documents that govern transmission and transportation of classified information
- Based on classification level, identify the authorized methods for transmission and transportation of classified information
- Identify the procedures to hand carry classified information
- Identify the procedures to escort classified information
- Identify the procedures to prepare classified material for transmission and transportation
- Identify the dissemination requirements for special types of information

Course Structure

This course is organized into the lessons listed here.

- Course Introduction
- Transmission and Transportation Basics
- Selecting an Authorized Transmission/Transportation Method
- Hand carrying, couriering and escorting Classified Materials
- Preparing Materials for Transmission and Transportation
- Dissemination of Special Types of Information
- Course Summary

Lesson 2: Transmission and Transportation Basics

Lesson Introduction

Lesson Objectives

Because protecting classified information from unauthorized disclosure is so critical, there are specific policies and procedures that govern how it can be transmitted or transported. These procedures apply to all phases of the transfer process, from the point of origin to the final destination.

You must be familiar with these procedures and know where to look for guidance so you can successfully implement and execute them at your facility.

Here are the lesson objectives. Take a moment to review them.

- Identify the sources of policy guidance for transmitting and transporting classified material
- Identify key issues to consider prior to transmission/transportation
- Identify the procedures to follow upon receipt of a classified shipment

Definitions

The term transmission and transportation refers not only to the physical transfer of classified material from an authorized sender to an authorized recipient, but also to the transmission of classified information over approved communications Security (COMSEC) circuits.

Today's technological environment presents increasing challenges, as the material that is transported may also include portable computing devices and media.

Classified materials are vulnerable to compromise while they are being transferred, because they are not protected within an authorized storage container or location. They must be continuously protected to prevent unauthorized access.

Vigilance and strict adherence to transmission and transportation policy and procedures are the keys to providing that protection.

Policy

The primary source of guidance on transmitting and transporting classified material for industry is the 32 Code of Federal Regulations (CFR) Part 117, the National Industrial Security Program Operating Manual (NISPOM).

It contains specific procedures for the transportation and transmission of classified information.

The goal of this policy is to minimize the risk of compromising highly sensitive information in a cost-effective manner. Most of the guidance you will need appears in the NISPOM. Your facility's Standard Practice Procedures (SPP) may provide additional procedures for implementing the guidance in the NISPOM.

Contractors with computer systems authorized to process classified information will use their System Security Plan (SSP) for transmission and transportation procedures. Your contract may also include provisions with more specific guidance on how to transport and transmit classified material.

You can access the NISPOM on the Course Resources for more information.

Considerations

The process of transmitting or transporting classified material has several phases.

First, the sender of the information has to determine whether it is appropriate to transmit the materials at all. There are some important considerations you need to think about before you decide to send classified information. For example:

- Do you have authority to disclose the information?
- Is the intended recipient authorized to receive it?

Then, you need to make some advance preparations before the transmission. For example, you have to select which method you can use to transmit the information. And you will need to prepare the materials properly before they can be transported.

Once the materials are on their way, there may be some special handling procedures you need to be aware of.

Finally, the recipient has certain responsibilities once the materials arrive at their destination.

In this lesson, you will learn about the responsibilities of the sender and the receiver at the beginning and ending phases of this process. You will learn details about the rest of the process in the other lessons in this course.

Sender Responsibilities

The NISPOM includes procedures for both sending and receiving classified materials. Since facilities that send classified materials also receive them, you must understand the responsibilities on both ends of the transmission.

Let's look at the sender's responsibilities first.

Before transmitting or transporting classified materials, the sender must ensure that it is appropriate to do so. The sender must ensure that the receiver will be able to safeguard the materials. This means making sure the receiver has an appropriate continued entity eligibility determination for access to classified information, also referred to as a Facility Clearance (FCL) and adequate secure storage. The sender must also verify the receiver's classified address. Some facilities have a specific mailing address for classified materials. The sender should make sure the address has not changed recently. Finally, the sender should verify the receiver's availability to receive the materials. This is especially important if the delivery will occur outside of normal business hours.

As a sender, once you have satisfied all of these responsibilities, you can proceed with preparing your materials for transfer.

When?

Transmission and transportation of classified materials is appropriate when:

- The sender has the authority, based on contract or government authorization, to share the material
- The receiver has a legitimate need to know, clearance, and appropriate secure storage for the material

How?

Here are some ways to ensure the receiver's ability to protect the classified information:

- To ascertain the facility clearance and storage capability of a contractor facility:
 - Review contractor data in the Facility Clearance, or FCL, System of Record
 - Contact the Defense Counterintelligence and Security Agency (DCSA) Field Office that oversees the recipient facility
 - Contact the recipient's Facility Security Officer (FSO) or security staff for large shipments
- To determine the storage capability at a U.S. government facility, contact the facility in advance.

Receiver Responsibilities

Now let's look at the receiver's responsibilities at the end of the transfer process.

The receiver must have procedures in place to ensure that only authorized personnel receive classified packages, regardless of how they arrive. When a classified package arrives, authorized personnel should inspect it immediately for any damage that may have occurred in transit and for signs of tampering.

If the package is intact, with no sign of tampering, an inventory of the materials will be conducted.

If the inventory indicates no discrepancies, the receiver then enters the materials into its own classified information management system as required by the NISPOM.

The receiver is obligated to safeguard the materials.

The receiver will ensure timely acknowledgement of the receipt of TOP SECRET and SECRET information.

If, when the receiver inspects the package, there are signs of tampering – or – when the receiver conducts an inventory of the package contents there is a discrepancy the receiver should:

- contact the sender immediately
- record the received classified contents into the classified IMS
- safeguard the classified material
- acknowledge receipt of the material received, and
- initiate an inquiry to ascertain whether any classified information has been lost or compromised.

If the preliminary conclusion of the inquiry is that a compromise, or suspected compromise occurred, or that someone attempted to gain unauthorized access to classified information then the Facility Security Officer (FSO) at the receiving facility must send an initial report to the Cognizant Security Office (CSO) in accordance with the NISPOM.

Once the initial report is sent to the CSO, the inquiry continues. At the conclusion of the inquiry, a final report is issued to the CSO, in accordance with the NISPOM. If the conclusion of the inquiry is that there was not a possible compromise, suspected compromise or attempt to gain unauthorized access to classified information, no further action is necessary.

Note this process only applies when transmitting and receiving classified between US and US territorial entities, and that there may be additional responsibilities levied upon the receiver by the Government Contracting Activity, or by your DCSA approved SPP.

Review

Activity 1

Select all that apply; then check your answers against the answer key at the end of the Student Guide.

1. Which of the following are sources of policy guidance for transmitting and transporting classified material in industry?
 - DoD Manual 5200.01 DOD Information Security Program
 - 32 CFR Part 117, The National Industrial Security Program Operating Manual (NISPOM)
 - The facility Standard Practice Procedures (SPP)
 - The contract drawn up between the government and a cleared contractor

Activity 2

Select all that apply; then check your answers against the answer key at the end of the Student Guide.

2. Which of the following are you responsible for doing before you decide to send classified materials?
 - Making sure you are authorized to send them
 - Making sure the person you are sending them to is cleared to receive them
 - Making sure the facility where you are sending the materials to can store them securely
 - Double-checking the receiver's classified mailing address

Activity 3

Select all that apply; then check your answers against the answer key at the end of the Student Guide.

3. If you are a Facility Security Officer and someone in your organization receives a classified package that appears to have been opened en route, what should you do?
 - Contact the sender immediately
 - Initiate a preliminary inquiry
 - Contact the FBI
 - Contact the U.S. Postal Inspector

Summary

In this lesson, you learned about the sources of policy guidance for transmitting and transporting classified material.

Sender responsibilities before deciding to transmit/transport:

- Make sure the transfer is appropriate
- Make sure the receiving will be able to protect the material
- Verify the receiver's address
- Verify the receiver's availability

Receiver Responsibilities upon receipt:

- Make sure authorized personnel are available
- Inspect the materials
- Inventory the materials
- Safeguard materials
- Acknowledge receipt of material

You learned about the key issues to consider before you transmit or transport classified material, and you learned about the procedures to follow upon receipt of classified material.

Lesson 3: Selecting an Authorized Transmission/Transportation Method

Lesson Introduction

Introduction

When you have a need to transfer classified materials from one location to another, a variety of authorized methods are available to you. The method you choose should minimize the risk of compromising the information, yet still be cost-effective.

This lesson will help you understand the factors you need to take into account when sending classified information, and how to decide what method to use.

Here are the lesson objectives. Take a moment to review them.

- Identify the factors affecting the choice of authorized method for transmission/transportation of classified material
- Based on classification level, identify the authorized transmission/transportation methods
 - Define Hand Carrier
 - Define Courier
 - Define Escort
 - Identify when hand-carrying classified information is authorized
 - Recognize when a classified shipment requires an Escort

Selecting an Authorized Method

Relevant Factors

The National Industrial Security Program Operating Manual, (NISPOM), contains the specific procedures authorized for the transmission and transportation of classified information. Multiple factors affect the decision of which transmission or transportation method is most appropriate for a given situation. The primary factor you need to consider when selecting a method is the classification level of the information you need to send.

Classification level – that is, whether information is Top Secret, Secret, or Confidential – is so important because it is based on the degree of damage that would be done to national security if that information was compromised.

For this reason, you must select a transmission method that is authorized for the classification level of the material you are seeking to send. For each classification level, there are several authorized methods.

Then, when you are trying to decide which of those methods to use, you can take the other factors into account to help narrow your choices. These include the nature of the information to be transmitted – that is, whether it is especially sensitive or is a special type of information.

The size, weight, and type of material may also affect which transmission method is best. For example, although Secret materials are authorized to be sent via U.S. Postal Service Registered Mail, a large object might be too big or too heavy to be sent that way, so you will need to use a different authorized method.

Other factors you need to take into account are geographic considerations, time constraints, and whether there are any restrictions on disseminating the information.

If, after taking all of these factors into account, there is still more than one appropriate authorized method of transmission, you should use the most cost-effective one.

Policy Guidance

The NISPOM defines the specific methods that are authorized for transmitting classified information based on its classification level. As you might expect, as the sensitivity of the information increases, there are fewer authorized methods you can use to send it. This is because the more protection the information needs, the stricter the requirements are for safeguarding it during transmission.

Methods authorized for sending Top Secret information are always authorized for sending information of a lesser classification level; that is, Secret or Confidential materials.

And methods authorized for sending Secret information are always authorized for sending Confidential materials.

Now let's look in detail at the authorized methods by classification level for transmission and transportation within and directly between the United States and its territorial areas.

Refer to the NISPOM for transmission outside of the U.S and its territories.

Transmission Methods

METHOD	TOP SECRET	SECRET	CONFIDENTIAL
USTRANSCOM	X	X	X
Designated Courier, Hand Carrier or Escort	X	X	X
CSA-approved secure communications	X	X	X
USPS Express Mail		X	X
USPS Registered Mail		X	X
Cleared commercial carrier		X	X
Cleared commercial messenger service		X	X
CSA-approved commercial delivery company		X	X
Other methods approved by GCA		X	X
USPS Certified Mail			X

Secret Information

The NISPOM identifies three methods that can be used to transmit Top Secret information within and directly between the United States and its territorial areas. These methods are: the United States Transportation Command, Defense Courier Division, when it is authorized; a designated Courier, Hand Carrier, or Escort cleared for access to Top Secret information; and electronically, over secured communications security circuits approved by the Cognizant Security Agency (CSA).

Defense Courier Service

Department of Defense (DOD) Instruction (DoDI) 5200.33, assigns the Defense Courier mission to the United States (U.S) Transportation Command (USTRANSCOM) to provide secure, timely, and efficient end-to-end global distribution of classified and sensitive material for the U.S. and its allies.

Within USTRANSCOM, the Defense Courier Division (DCD), oversees operational activities and requirements for Defense Courier personnel. Couriered material can include TOP SECRET information, Sensitive Compartmented Information (SCI) and other approved material.

All DOD components, agencies, and activities are authorized users of this courier service.

Additional users include Non-DOD agencies and activities of the U.S. Government, U.S. Government contractors, North Atlantic Treaty Organization (NATO) and foreign governments (when used for combined operations) seeking to ship qualified, classified and sensitive material through the Defense Transportation System (DTS).

Contractors must have specific authorization and requirements from their Government Contracting Agency, or GCA, to use the services of DCS.

Couriers of the DCD transport classified material under the provisions of DoDI 5200.33, Defense Courier Operations. This instruction contains information about the DCD regarding establishing an account, material authorized for shipment, prohibited material, locations, and preparing material for shipment.

For more information, refer to the Course Resource Page.

Defense Courier Division

The following material is not authorized for entry into the Defense Courier Division system, regardless of classification or other qualifying criteria:

- Contraband, including controlled substances (particularly narcotics and dangerous drugs)
- Unclassified material not considered sensitive
- Personal property
- Explosives, ammunition, firearms, and their components
- Radioactive material, etiological, or other material hazardous to personnel
- Perishable materials requiring refrigeration or icing (e.g., blood and vaccines)
- Hazardous materials of any kind
- Liquids of any kind
- Batteries if regulated as hazardous materials. Batteries are authorized for shipment only when contained within a device or component/part of an otherwise non-hazardous item (power source). Loose/uninstalled batteries are prohibited.
- Currency, military payment certificates, bonds, securities, precious metals, jewels
- Postage stamps or other negotiable instruments

Designated Courier/Hand carrier/Escort

There are three ways that individuals may transmit or transport classified material from one location to another: via a designated courier, a hand carrier, or an escort. To act in this capacity, all individuals must be cleared employees.

A courier is an employee designated by the contractor whose principal duty it is to physically transmit classified material to its destination.

A hand carrier is also an employee designated by the contractor, who occasionally physically transmits or transports classified material. Unlike a courier, however, it is not his or her principal duty.

An escort is a cleared employee who accompanies a shipment of classified material to its destination. The conveyance in which the classified material is transported remains under the constant observation and control of the escort. Escorts are normally used to transmit bulk or crated items. In another lesson, you will learn detailed procedures for using couriers, hand carriers, and escorts to transmit and transport classified information.

CSA-Approved Secure Communications

Electronic transmission of classified information has the advantage of providing secure, real-time delivery. To be authorized, electronic transmission of classified information must be processed through a CSA-approved secure communication or cryptographic device. This requirement applies to voice, data, message, and facsimile transmissions. Common cryptographic devices include the Secure Terminal Equipment (STE) secure telephones.

These devices are also used as secure interfaces for fax machines when classified information is transmitted in this manner. Computers can also be used to send classified data. They use cryptographic data networks as authorized by the CSO pursuant to the NISPOM. If you have any type of cryptographic equipment at your facility, a Communications Security (COMSEC) custodian has been appointed and can provide additional guidance.

Your COMSEC custodian may also be a source for identifying emerging secure communications technology.

How

Before using a secure telephone to transmit classified information, you must ensure:

- Classification level of discussion matches device classification level
- Sender and receiver both have appropriate clearance and need to know the information being transmitted
- Equipment is secure
- Ability exists to control access to physical location

Review

Activity 1

Select the best answer; then check your answers against the answer key at the end of the Student Guide.

1. A cleared employee who may, on occasion, transmit classified material is:
 - A Hand Carrier
 - A Courier
 - An Escort

Activity 1b

Select the best answer; then check your answer against the answer key at the end of this student guide.

2. A cleared employee whose principal duty is to transmit classified information is:
 - A Hand Carrier
 - A Courier
 - An Escort

Authorized Methods by Classification Level

Secret Information

All of the methods you just learned about for sending Top Secret materials can also be used to transmit Secret materials. The NISPOM identifies five additional methods that can be used to transmit Secret information within and directly between the United States and its territorial areas.

You can use two services from the U.S. Postal Service (USPS):

- Express Mail
- Registered Mail.

You can transmit Secret materials via:

- a cleared commercial carrier
- a cleared commercial messenger service.

You can also use a CSA-approved commercial delivery company.

Finally, you may use any other method as directed in writing by the GCA.

USPS Express Mail and Registered Mail

Express Mail is the fastest USPS service for delivery of time-sensitive material.

Within the NISP, use of Express Mail is authorized for transmission of Secret material only within the fifty states, the District of Columbia, and the Commonwealth of Puerto Rico.

USPS Registered Mail is the most secure service the USPS offers. It incorporates a system of receipts to monitor the movement of mail from the point of acceptance to delivery.

Registered Mail provides the sender with a mailing receipt and allows for electronic verification of delivery or delivery attempts. Remember, however, this receipt system can only validate that the package was physically received. It does not ensure that the material inside it reached the intended recipient and was properly safeguarded.

Registered Mail service is available within the 50 states, the District of Columbia, and the Commonwealth of Puerto Rico.

Army Post Office (APO) and Fleet Post Office (FPO) locations worldwide are also serviced by USPS Registered Mail, although users must verify the mail remains under U.S. control.

USPS - How?

Procedures for using USPS Express Mail:

- NEVER execute Block 11-B of label (Waiver of Signature and Indemnity)
- A cleared employee must give the parcel directly to USPS personnel (use of street-side boxes is prohibited)
- To be sure your parcel will be back under control in a timely manner, it is recommended to transmit materials on a day that will ensure the recipient will be available to receive it on the following day

Cleared Commercial Carrier

Commercial carriers may be used for delivery of Secret bulk material if they meet certain conditions.

The commercial carrier must be cleared under the NISP, be approved by the CSA, and provide a protective security service (PSS).

Using a cleared commercial carrier is authorized only within and between the 48 contiguous states, the District of Columbia, and the Commonwealth of Puerto Rico. It is also authorized wholly within Alaska, Hawaii, or a U.S. territory.

What?

The Protective Security Service is a transportation protective service provided by a cleared commercial carrier qualified by the Surface Deployment and Distribution Command (SDDC) to transport Secret shipments

General requirements:

- Carrier must provide continuous attendance and surveillance of the shipment by qualified carrier representatives
- Carrier must maintain a signature and tally record

Air movement requirements:

- If shipment is NOT accessible to an unauthorized person, observation is not required

If the shipment IS accessible to an unauthorized person, it must remain under the constant surveillance of a cleared escort or qualified carrier representative

Cleared Commercial Messenger Service

Secret information may be transmitted by a commercial messenger service that has a security clearance provided under the NISP. However, this method can only be used for same-day intra-city or local delivery of classified material.

CSA-Approved Commercial Delivery Company

Qualified commercial delivery companies approved for overnight domestic express delivery of Secret information may also be used to send Secret material. These companies do not require a facility clearance, but other requirements apply to their use. These companies must be current holders of the General Services Administration (GSA) carrier contract for overnight delivery and which provide nation-wide, overnight service with computer tracking and reporting features.

You can access a list of the companies currently approved by the CSAs and holding GSA contracts for domestic overnight express delivery services on the Course Resources Page.

Contractors who wish to use the companies identified must establish procedures and follow specific requirements.

How

Procedures and Requirements for Using a CSA-Approved Commercial Delivery Service:

- Any such delivery service shall be U.S. owned and operated, provide automated in-transit tracking of the classified information, and ensure package integrity during transit.
- The contract shall require cooperation with government inquiries in the event of a loss, theft, or possible unauthorized disclosure of classified information.
- The sender is responsible for ensuring that an authorized person will be available to receive the delivery and verification of the correct mailing address.
- The package may be addressed to the recipient by name.
- The release signature block on the receipt label shall not be executed under any circumstances.
- The use of external (street side) collection boxes is prohibited.
- Classified Communications Security Information, NATO, and foreign government information shall not be transmitted in this manner.

Review

Activity 2

Select all that apply; then check your answer against the answer key at the end of this student guide.

3. Which of the following are authorized methods for transmitting Secret material?

- USPS Registered Mail
- Hand carrier
- Cleared commercial messenger service
- USPS Certified Mail
- Cleared commercial carrier
- Secure telephone

Authorized Methods by Classification Level

Confidential Information

All of the methods you have learned about for sending Top Secret and Secret materials can also be used to transmit Confidential materials. Confidential information may also be transmitted via USPS Certified Mail. In addition, when the recipient is a U.S. Government facility, the Confidential information may be transmitted via U.S. First Class Mail. However, Confidential information shall not be transmitted to government contractor facilities via first class mail.

When first class mail is used, the envelope or outer wrapper shall be marked to indicate that the information is not to be forwarded, but is to be returned to the sender. The use of street side mail collection boxes is prohibited.

USPS Certified Mail is an authorized method for sending Confidential information. It provides proof of mailing to the sender at the time of mailing. It provides tracking of the package en route, and the recipient's post office maintains a record of delivery.

MORE

NISPOM: National Industrial Security Program Operating Manual

SECRET authorized methods:

- USTRANSCOM
- Designated Courier / Hand Carrier / Escort
- CSA-approved secure communications
- USPS Express Mail/Registered Mail
- Cleared commercial carrier
- Cleared commercial messenger service
- CSA-approved commercial delivery company
- Other GCA-approved methods

TOP SECRET authorized methods

- USTRANSCOM
- Designated Courier / Hand Carrier / Escort
- CSA-approved secure communications

Review

Activity 3

Select all that apply, then check your answer against the answer key at the end of this student guide

4. USPS Certified Mail is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Activity 4

Select all that apply, then check your answer against the answer key at the end of this student guide

5. USTRANSCOM is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Activity 5

Select all that apply, then check your answer against the answer key at the end of this student guide

6. USPS Registered Mail is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Activity 6

Select all that apply, then check your answer against the answer key at the end of this student guide

7. A CSA-approved commercial delivery company is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Activity 7

Select all that apply, then check your answer against the answer key at the end of this student guide

8. Escorts are an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Activity 8

Select True or False; then check your answer against the answer key at the end of this student guide

9. All methods authorized to send Secret information may also be used to transmit Top Secret Information.

- True
- False

Activity 9

Select True or False; then check your answer against the answer key at the end of this student guide

10. The classification level of information is the primary factor that determines the method for sending it.

- True
- False

Activity 10

Select True or False; then check your answer against the answer key at the end of this student guide

11. The urgency of the need for classified information may affect the transmission method.

- True
- False

Activity 11

Select True or False; then check your answer against the answer key at the end of this student guide

12. All methods authorized to send Secret information may also be used to transmit Confidential information.

- True
- False

Activity 12

Read the following scenario, select which method is appropriate in the situation described and then check your answer against the answer key at the end of this student guide.

13. A cleared employee at your facility has wrapped a package containing hardware classified Secret. The package measures 2" x 4" x 14" and weighs 5 pounds. To meet a contractual requirement, the material must arrive at its destination within 24 hours. You are located within the United States, and the destination of the package is also within the United States.

- USPS First Class Mail
- USPS Registered Mail
- USPS Express Mail

Activity 13

Read the following scenario, select which method is appropriate in the situation described and then check your answer against the answer key at the end of this student guide.

14. You are tasked to transmit a legal-size envelope containing a Confidential memorandum. Your facility is located within the United States and the destination is the cleared facility of the prime contractor with which your company has a classified contract.

- USPS First Class Mail
- USPS Certified Mail
- Commercial Carrier
- Overnight Domestic Express Delivery

Activity 14

Listed are methods which are not approved in this situation, and methods which may be used with GCA approval. Select all methods which may be used with GCA approval, then check your answer against the answer key at the end of this student guide.

15. You are required to transmit Top Secret information to your government contracting activity.

- USPS Express Mail
- Designated Courier or Escort
- Secure Fax
- Commercial Carrier

Activity 15

Select the appropriate method for the situation described; then check your answer against the answer key at the end of this student guide.

16. Your facility is within Washington DC and you have a contractual requirement to expedite the delivery of 25 copies of a 100-page Secret document to the offices of the GCA within the same geographical area. The GCA urgently requires this information for a high-level briefing by 10:00am the next day, and the information must be ready for immediate dissemination to attendees.

- USTRANSCOM
- CSA-approved secure communications
- Hand-carry by cleared U.S. military, civilian employee or contractor
- USPS Certified Mail

Activity 16

Which method is most appropriate for the situation described? Select one; then check your answer against the answer key at the end of this student guide.

17. A cleared employee at your facility has wrapped a package containing hardware classified Secret. The package measures 14" x 16" x 16", and weighs 72 pounds. To meet a contractual requirement, you must transmit the material to arrive at its destination within 24 hours. You are located within the United States, and the destination of the package is also within the United States.

- USPS First Class Mail
- USPS Registered Mail
- USPS Express Mail
- GSA Contract Holders for Overnight Delivery

Summary

In this lesson, you learned about how to select an authorized method for transmitting or transporting classified materials, and where to find guidance for doing so. You learned about the factors that you must take into account in making that decision, the most important of which is classification level.

Finally, you learned which methods are authorized for sending Top Secret, Secret, and Confidential information within and directly between the United States and its territorial areas.

Lesson 4: Hand Carrying and Escorting Classified Materials

Lesson Introduction

Introduction

Mission requirements, sensitive materials, and time constraints sometimes make the use of a designated Courier, a Hand Carrier, or an Escort the preferred method for transmitting or transporting classified materials. These methods pose special risks, even when experienced personnel use them routinely.

To mitigate the risks posed by these methods, the National Industrial Security Program Operating Manual (NISPOM) specifies certain requirements and procedures. This lesson will help you understand those requirements and procedures.

Here are the lesson objectives. Take a moment to review them.

- Identify the purpose of a Hand Carrier or Courier briefing
- Identify requirements for hand carrying classified materials
- Identify requirements for escorting classified materials

Requirements

Overview

The NISPOM defines Couriers, Hand Carriers and Escorts as follows:

A Courier is a cleared employee designated by the contractor whose principle duty is to transmit classified material to its destination, ensuring that the classified material remains under their constant and continuous protection and that they make direct point to point delivery.

A Hand Carrier is a cleared employee, designated by the contractor, who occasionally hand carries classified material to its destination in connection with a classified visit or meeting.

The classified material remains in the personal possession of the Hand Carrier except for authorized overnight storage.

An Escort is a cleared person, designated by the contractor, who accompanies a shipment of classified material to its destination.

The classified material does not remain in the personal possession of the escort but the conveyance in which the material is transported remains under the constant observation and control of the escort.

These definitions are available as the Lesson 4 Job Aid on the Course Resources Page.

Depending upon a number of factors it may be desirable to make use of one of these approved methods for transporting classified information from one point to another. In order to use one of these methods it is important to understand the general requirements levied by the NISPOM.

First, we will discuss the requirements contractors who designate employees as Couriers or Hand Carriers and then later in the lesson we will discuss the requirements to escort material.

The NISPOM specifies general requirements for contractors who designate employees as Couriers and Hand Carriers.

The first requirement is that all Couriers and Hand Carriers be informed of their security responsibilities before they transmit or transport classified materials. This requirement is met through a briefing. This briefing provides appropriate plans and procedures to the personnel who are entrusted with the protection of classified materials. The briefing should address what these personnel should do before the trip, during the trip, after the trip, and in unexpected or emergency situations. The briefing also helps to maintain the integrity of classified materials while in transit. Never gloss over or skip this briefing.

The second requirement specified in the NISPOM is that all Couriers and Hand Carriers have an identification card or badge that includes the contractor's name, the employee's name, and a photograph of the employee.

Thirdly, the NISPOM requires that Couriers and Hand Carriers retain the classified material for which they are responsible in their possession at all times, while Consolidated Federal Regulation (CFR) 2001.46(b)(2) requires that classified material must remain under their protection at all times.

For more information reference the NISPOM and the CFR on the Course Resources Page.

If required, arrangements must be made in advance of departure for overnight storage at a U.S. Government installation or at a cleared contractor facility that has appropriate storage capability.

Finally, the NISPOM requires that an inventory of the material be conducted prior to departure and upon their return.

The Courier or Hand Carrier will carry a copy of the inventory with them.

Now, let's look more closely at the procedures for hand carrying and escorting classified materials.

Pre-Trip Considerations

Remember that a cleared employee contractor who transports classified is either a Hand Carrier or a Courier. Both maintain personal possession, or 'hand carry', classified from the point of origin to the point of destination.

An Escort, on the other hand, accompanies shipments. Escorts do not 'hand carry' material but maintain continual surveillance and control of the shipment.

There are situations when the transport of classified material may require overnight storage.

In this lesson, these cases are referred to as "trips". The requirements and procedures for transporting classified materials, in such cases, do not start when the contractor employee leaves the building with the classified material; or when Escort(s) leaves the loading dock with the shipment.

There are many pre-trip considerations.

Before leaving a secure facility with classified materials these personnel should make sure all necessary documents are in order. Depending on the task, travel documentation may include written authorizations, passports, medical records, travel itineraries, or other documents. It is the individual's responsibility to ensure that his or her personal travel documents are complete, valid, and current.

The system for keeping track of the classified materials begins before the materials leave the facility.

Hand Carriers and Couriers need an inventory of the classified materials. Hand Carriers and Couriers should be knowledgeable about the regulatory requirements for packaging classified materials for transmission or transport. You will learn more about packaging classified materials in another lesson.

If it will be necessary to stop overnight, appropriate arrangements for the overnight storage of classified materials must be made in advance.

In order to maintain constant observation and control of a large shipment of classified material – or during long transportation of classified material – more than one escort may be required. Plans should be made in advance for sufficient personnel to appropriately protect the classified while in transit.

Since escorting classified shipments are more complex than hand carrying classified packages, the NISPOM specifies that the shipment must have a sufficient number of escorts to ensure continuous surveillance and control over the shipment while in transit.

Specific instructions and operating procedures will be given to escorts in writing prior to shipping.

What

Specific written instructions and operating procedures provided to escorts must include the following:

- Name and address of persons, including alternates, to whom the classified material is to be delivered
- Receipting procedures
- Means of transportation and the route to be used
- Duties of each escort during movement, during stops en route, and during loading and unloading operations
- Emergency communication procedures

En Route Considerations

During the trip, Couriers, Hand Carriers and Escorts are responsible and liable for the material they are transporting. For Couriers and Hand Carriers, this means keeping the classified materials in their personal possession at all times. For escorts, it means keeping the classified materials and the adjacent areas under surveillance at all times. All Couriers, Hand Carriers and Escorts must protect the materials in emergency situations.

If it is necessary for a trip to include an overnight stop, Couriers, Hand Carriers and Escorts must store the classified materials at a prearranged U.S. military facility, U.S. government facility, U.S. embassy, or cleared U.S. contractor facility in a manner appropriate for the classification level of the materials.

While en route, these individuals should promptly report to Cognizant Security Officials any suspicious contacts or any act or incident that might jeopardize or compromise the security of the classified materials.

Escorts may need to contact local law enforcement if the safety or security of the classified cargo is threatened at any stage of the process.

Finally, the complex job of escorting requires a lot of coordination. Escorts must coordinate and communicate with drivers, railroad personnel, and others involved in the actual movement of the material.

There are some things that Couriers, Hand Carriers and Escorts should not do while transmitting classified materials. They should not discuss classified material in public. They should not open the materials en route. They should not deviate from the authorized travel route or schedule.

Nor should they ever, under any circumstances, leave classified materials unattended or unsecured.

During overnight stops, they must not store classified materials in hotel rooms, hotel safes, private

residences, public lockers, unattended vehicles, or in any other unauthorized container.

Couriers, Hand Carriers and Escorts are not finished with their tasks until the classified materials have been accounted for at their point of origin. If a Courier or Hand Carrier is returning the materials to the original facility, then he or she must return them in a properly sealed package. The materials will be re-inventoried to make sure they are all there.

These are baseline requirements. International travel, passenger airline travel, and other circumstances may require additional safeguards.

Commercial Passenger Airline Considerations

It is sometimes necessary for a Courier or Hand Carrier to take classified materials on a commercial passenger aircraft. Since employees carrying classified materials are subject to routine processing by airline security agents, this mode of transporting classified information presents special risks and challenges.

The NISPOM provides specific guidance on how to handle these challenges, including special pre-trip planning considerations and issues to consider at the airport.

Pre-Trip Considerations

A Courier or Hand Carrier taking classified material onto a commercial passenger aircraft must have a written authorization letter in addition to his or her contractor-issued identification badge. The NISPOM clearly specifies the information that must be included in this letter. Couriers and Hand Carriers preparing to take classified materials onto a commercial aircraft, should minimize the likelihood that their parcels will raise a security concern at the airport by not including items prohibited by the Transportation Security Administration (TSA). Visit the TSA's website to obtain a current list of prohibited items.

Although it is best not to draw attention to the fact that an employee is hand carrying classified materials, there are some circumstances that may require making special arrangements in advance.

Consider making advance arrangements if a classified parcel would be compromised or damaged by routine airport security processing, if it is likely that a classified package would have to be examined visually in order to be screened, or if classified material is in specialized containers that cannot be processed routinely.

Local TSA offices can provide guidance to facilitate processing through airline ticketing, security screening, and boarding in these circumstances.

What?

Couriers or Hand Carriers transporting (or 'hand carrying') classified material on commercial aircraft must carry written authorization, to include:

- Name, date of birth, height, weight, and signature of the traveler
- Statement authorizing traveler to transmit classified material
- Description of the type of identification the traveler carries
- Description of the material being hand carried
- Request for exemption from opening
- Points of departure, destination, and known transfer points
- Name, telephone number, and signature of the FSO
- Location and telephone number of the cognizant security authority (CSA)

En Route Considerations

Couriers or Hand Carriers who have not made advance arrangements with the airline should proceed through normal airline ticketing and boarding procedures. They should offer classified packages for routine inspection without drawing attention to the fact that they are transporting classified material.

If an employee hand carrying classified material is asked by airport security personnel to open the classified package for visual examination, the employee should discreetly tell the screener that the package contains U.S. Government classified information and cannot be opened.

The Courier Authorization Letter may be produced at this time. Neither the individual transporting the classified, nor the airport security personnel should open the classified package, unless required by customs or other government officials.

Review

Activity 1

Select the best answer; then check your answer against the answer key at the end of the student guide.

1. Which of the following best describes the purpose of a Courier briefing?
 - To ensure that all Couriers and Hand Carriers are properly qualified before they receive a Courier Authorization Letter
 - To ensure that all Couriers and Hand Carriers traveling on commercial passenger aircraft remain in compliance with NISPOM
 - To ensure that all Couriers and Hand Carriers have contingency plans for emergencies
 - To ensure that all Couriers and Hand Carriers, are informed of their security responsibilities before they transmit or transport classified materials

Activity 2

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

2. Ensuring that personnel travel documents are complete, valid, and current.
 - Escort
 - Hand Carrier

Activity 3

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

3. Carrying an inventory of the classified materials being transmitted/transported.
 - Escort
 - Hand Carrier

Activity 4

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

4. Having advance arrangements for secure overnight storage if an overnight stay is necessary.
 - Escort
 - Hand Carrier

Activity 5

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

5. Having written instructions that include details about the trip and emergency procedures.

- Escort
- Hand Carrier

Activity 6

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

6. Maintaining personal possession of the classified materials.

- Escort
- Hand Carrier

Activity 7

Select True or False; check your answer in the answer key at the end of the student guide.

7. Hotel safes are considered secure containers for classified materials.

- True
- False

Activity 8

Select True or False; check your answer in the answer key at the end of the student guide.

8. A Courier or Hand Carrier may make a detour for personal reasons when he is en route with classified materials, as long as he arrives on schedule at his destination.

- True
- False

Activity 9

Select True or False; check your answer in the answer key at the end of the student guide.

9. No more than three escorts may be assigned to one shipment because of the complex coordination required.

- True
- False

Activity 10

Select True or False; check your answer in the answer key at the end of the student guide.

10. All Couriers and Hand Carriers, must have a photo identification.

- True
- False

Lesson Conclusion

Summary

In this lesson, you learned about the basic requirements for Couriers, Hand Carriers, and Escorts of classified materials, including the importance of Courier briefings in safeguarding classified materials.

You learned about the requirements for Couriers and Hand Carriers, including those who must carry classified materials on a commercial passenger aircraft, and you learned about the requirements for escorting classified materials.

Lesson 5: Preparing Materials for Transmission and Transportation

Lesson Introduction

Introduction

No matter which authorized method of transmission or transportation you use, you must take steps to protect classified materials from unauthorized access during transit.

The National Industrial Security Program Operating Manual (NISPOM) includes requirements for packaging, addressing, and tracking classified materials in preparation for transmission and transportation.

In this lesson, you will learn the baseline requirements for preparing classified material for transmission and transportation. Some facilities or contracts may have more stringent requirements than those presented here.

Here are the lesson objectives. Take a moment to review them.

- Identify the purpose of and the basic concepts involved in properly preparing classified material for transmission and transportation
- Identify the requirements for wrapping envelopes and parcels that contain classified material
- Identify how proper packaging requirements are met when using alternate forms of wrapping materials.

Basic Packaging Concepts

Purpose

Classified packages must be prepared for transmission and transportation by packaging and sealing them in a way that minimizes the risk of accidental exposure and facilitates the detection of deliberate tampering.

Overview of Procedures

You can minimize the risk of exposure and facilitate the detection of tampering by following some basic packaging procedures. As you know, the sender is responsible for verifying certain information before transmitting the package. Once all the information has been verified, the classified material must be enclosed in two layers, both of which provide reasonable evidence of tampering and which conceal the contents.

- Verify *BEFORE* transmitting:
 - Recipient facility clearance
 - Recipient secure storage capabilities
 - Recipient address
 - Recipient availability
- Enclose in TWO layers

Two layers or double wrapping ensures that the classified material is not exposed if the outer wrapper is damaged in transit or opened by someone other than the intended recipient. It is not necessary to double-wrap materials that are being transmitted within a facility but the material should be protected adequately to prevent its unauthorized disclosure.

Let's look more closely at procedures for double-wrapping classified materials that are small enough to fit in an envelope or a small parcel.

Applying Packaging Concepts

Envelopes and Small Parcels: Inner Wrapper

Inner wrappers provide the first layer of protection for classified information being transmitted or transported, but if classified text comes in direct contact with the inner wrapper, there is a risk of exposure through image transfer or the surreptitious use of technology that can render the wrapper translucent.

You can prevent classified text from coming in contact with the inner wrapper by placing something between the document and the envelope or by folding the document in on itself. It is important to mark the inner wrapper properly because at some government activities and cleared contractor facilities, the outer wrapper may be removed by someone other than the intended recipient.

The inner wrapper or enclosure must clearly identify the address of both the sender and the intended recipient, the highest classification level of the contents, and any appropriate warning notices such as Restricted Data (RD) or NATO. It is recommended that these markings appear on all sides of the inner wrapper.

To facilitate timely delivery, it is recommended that inner wrappers include the name of the intended recipient. The NISPOM does not dictate how to seal the inner wrapper. However, to facilitate the detection of tampering and to prevent accidental exposure that may occur during transit, the use of reinforced tape is recommended.

How

To avoid direct contact between classified text and inner wrapper:

- Use:
 - Document cover sheets (SF 703, 704, 705) – available from the Course Resources Page
 - Transmittal letters
 - Opaque paper
 - Cardboard
 - Fold the document in on itself

Envelopes and Small Parcels: Outer Wrapper

The outer wrapper or enclosure is the second layer of protection for classified information being transmitted. It is also the first line of defense against a potential threat.

Once the classified package is in transit, the only physical protection of the material inside is the integrity of its wrapping. The size of the outer wrapper should minimize the movement of the inner wrapper. This prevents the weight of the inner wrapper from shifting and compromising the seams of the outer wrapper.

The outer wrapper or enclosure will be the same as the as the inner wrapping or enclosure except that no markings to indicate that the contents are classified will be visible.

Intended recipients will be identified by name only as part of an attention line. The outer wrapper should not bear any classification markings or special handling instructions indicating that its contents are classified. Like the inner wrapper, the outer wrapper should be sealed to prevent accidental exposure during transit.

The use of reinforced tape is recommended.

Now that you understand the basic requirements for wrapping classified materials, let's consider some alternate ways that these requirements can be met.

Hand Carried Materials: Briefcases and Pouches

When classified materials are being hand carried locked briefcases may be used as the outer wrapper. Although a briefcase does not need to be addressed in the same way that a package does, the sender's mailing address should be on a luggage tag attached to the handle to facilitate its return if it is misplaced.

To avoid drawing attention to the material during transit, don't place markings, seals, or labels on the briefcase that identify its affiliation with the Department of Defense.

Reference the NISPOM for exceptions to the outer wrapper or enclosure.

Large, Bulky Items

Even when classified material is of a size, weight, or nature that precludes the use of standard wrappers or containers, the materials used for packaging must still be strong and durable enough to ensure the necessary protection while the material is in transit.

A satellite array or a weapons system could be securely draped with a tarp, canvas shroud, or similar covering. Specialized shipping containers, including closed cargo transporters, the igloos used by United States Transportation Command (USTRANSCOM), Defense Courier Division for air transport, or palletized containers for military air cargo shipments may be considered the outer wrapping for this type of shipment. In these circumstances, the mode of transport becomes very important. Additional safeguards, such as Escorts, may be needed.

Review

Activity 1

Select all that apply; then check your answers against the answer key at the end of the student guide.

1. Which procedures are necessary for preparing to transmit and transport all SECRET materials?
 - Verify the recipient's address.
 - Verify the recipient's facility clearance
 - Verify the recipient's secure storage capability
 - Verify recipient's availability
 - Wrap the material in two layers.

Activity 2

Select all that apply; then check your answers against the answer key at the end of the student guide.

2. You need to send a Confidential document from Ft. Eustis to Jennifer Brady, who works at the Pentagon. Which of the following items will you include on the Inner Layer Envelope?
 - Ft. Eustis address
 - A Pentagon Address
 - ATTN line to Ms. Jennifer Brady
 - CONFIDENTIAL
 - SECRET
 - TOP SECRET

Activity 3

Select all that apply; then check your answers against the answer key at the end of the student guide.

3. You need to send a Confidential document from Ft. Eustis to Jennifer Brady, who works at the Pentagon. Which of the following items will you include on the Outer Layer Envelope?
 - Ft. Eustis address
 - A Pentagon Address
 - ATTN line to Ms. Jennifer Brady
 - CONFIDENTIAL
 - SECRET
 - TOP SECRET

Activity 4

Select all that apply; then check your answers against the answer key at the end of the student guide.

4. Your inner and outer layers are properly marked, including classification marking on the inner envelope and a verified address on both layers. You have prepared a receipt, and you have plenty of reinforced tape. Which of the following would be appropriate before you package your Confidential document?
- Fold your document in on itself before you put it in the inner wrapper.
 - Prevent the text on your document from coming in direct contact with the inside of the inner wrapper.
 - Insert something between classified material and the wrapper such as, a cover sheet, transmittal form/letter, piece of opaque paper, or piece of cardboard.

Activity 5

Select True or False; then check your answers against the answer key at the end of the student guide.

5. Classified documents must be double-wrapped inside a locked briefcase when they are hand carried.
- True
 - False

Activity 6

Select True or False; then check your answers against the answer key at the end of the student guide.

6. Large, bulky items are exempt from double-wrapping requirements for transmission and transportation.
- True
 - False

Lesson Conclusion

Summary

In this lesson, you learned about the purpose of and basic procedures for properly preparing classified material for transmission and transport; you learned the baseline requirements for wrapping envelopes and parcels that contain classified materials; and you learned how these requirements can be met with alternate wrapping materials.

Lesson 6: Dissemination of Special Types of Information

Lesson Introduction

Introduction

In addition to the basic requirements for the transmission and transportation of classified information based on its classification level, there are additional, special dissemination requirements for certain types of information. It is important to be aware of these types of information and their associated special requirements.

Here are the lesson objectives. Take a moment to review them.

- List the special types of information with dissemination controls prior to transmission and transportation
- Identify the sources of guidance for the transmission and transportation of special types of information

Information Types and Guidance

Overview of Special Information Types

Special information types you need to be aware of include: Communications Security (COMSEC) information; intelligence information; critical nuclear weapon design information (CNWDI); and certain kinds of information related to international programs.

The nature of certain kinds of information may require enhanced protection, special handling restrictions, or limitations on how it can be disseminated. In all cases, contractors must obtain authorization from the Government Contracting Activity (GCA) before disseminating this information. We will now look at each of these kinds of information in detail.

COMSEC

COMSEC is a program designed to deny unauthorized individuals information of value that they might derive from possessing or studying telecommunications, and to ensure that such communications are authentic. COMSEC includes cryptosecurity, emission security, transmission security, and physical security of COMSEC material and information. Contractors should refer to their specific contracts, because they may require additional safeguards for COMSEC material.

Finally, contractors must follow the guidance from their Central Office of Record (COR) on transmitting and transporting accountable COMSEC materials.

Intelligence Information

Intelligence information is under the jurisdiction and control of the Director of National Intelligence (DNI) who establishes security policy for the protection of intelligence information, sources, methods, and analytical processes. Intelligence information may include sensitive compartmented information (SCI) and special access program (SAP) information.

Contractors will follow Intelligence Community directives, policy guidance, standards, and specifications for the protection of classified national intelligence and SCI.

CNWDI

Critical Nuclear Weapon Design Information (CNWDI) is a DOD category of Top Secret or Secret research and development that reveals the theory of operation or design of the components of a thermonuclear or fission bomb, warhead, demolition munitions, or test device.

Critical Nuclear Weapon Design Information is highly sensitive, so special rules apply to its dissemination. These rules are designed to ensure that the fewest possible number of employees have access to it. Within the Department of Defense, controls on the transmission or transportation of CNWDI are established by DOD Instruction (DoDI) 5210.02, Access to and Dissemination of Restricted Data and Formerly Restricted Data.

Contractors must get approval from the Government Contracting Activity before transmitting CNWDI outside their facility.

Finally, before transmitting CNWDI to another cleared facility, contractors must also verify with the Cognizant Security Agency (CSA) that the receiving facility has been authorized to access the CNWDI. When transmitting CNWDI to another cleared facility, the inner wrapping will be addressed to the personal attention of the FSO or FSO's designee, and in addition to any other prescribed markings, the inner wrapping will be marked: "*Critical Nuclear Weapon Design Information-DoD Instruction 5210.02 Applies.*"

International Programs

As international cooperation becomes an increasing part of our everyday life, providing high-quality security for sensitive information and technologies is a real and growing challenge. The issues involved in the security management of international programs are often difficult and subtle. The potential consequences for our national security are significant, and the laws and policy documents that establish the requirement are many and complex. For this reason, contractors should involve the GCA as early as possible during the deliberations leading to the international transfer of classified

material.

Control of classified material must be maintained until it is officially transferred to the intended recipient government. This does not happen until the designated government representative (DGR) actually receives the material. International transfers of classified material must take place through government-approved channels.

Finally, contractors must prepare written transmission instructions for all transfers of classified material, and develop a transportation plan. A Sample Transportation Plan can be found on the Course Resources Page. Detailed guidance on international transfers appears in the NISPOM.

Now let's look in more detail at two types of international transfers of sensitive or classified information: Foreign Government Information (FGI) and North Atlantic Treaty Organization (NATO) classified information.

Foreign Government Information

Foreign Government Information (FGI) is classified information that the U.S. receives from a foreign government or international organization or that the U.S. produces as a result of a joint arrangement with a foreign government or international organization. A special section of the NISPOM contains requirements for protecting FGI.

When awarded a contract by a foreign interest that will involve classified information, contractors must notify the CSA. On behalf of the foreign government, the CSA provides oversight of the information and ensures that the contract's security requirements are implemented.

This includes establishing channels for the transfer of classified material. Contractors must not disclose FGI to nationals of a third country or any third party, nor may they use it for a purpose other than the one for which it was provided unless the originating foreign government provides prior written consent.

To transfer FGI within the U.S. and its territories, use the same channels as for U.S. classified information of an equivalent classification, with one important exception. Never use non-cleared express overnight carriers.

NATO Classified Information

As a member of NATO, the U.S. has agreed to protect NATO classified information in accordance with the mandatory security principles, standards, and procedures in NATO security policy documents.

The NISPOM contains specific handling procedures for NATO classified materials. It is important to be familiar with these, as procedures for handling NATO classified information vary from those used for classified U.S. national security information.

Individuals requiring access to NATO classified information must receive a security briefing on how to protect it and must complete a statement acknowledging receipt of the briefing.

Before sending out NATO classified information, contractors must ensure the recipients are authorized to receive it. The contractor will not release or disclose NATO classified information to a third party or outside the contractor's facility for any purpose without the prior written approval of the contracting agency.

Classified NATO information can be transmitted only through government-to-government channels unless both the sending and receiving governments agree in writing to an alternative.

Finally, contractors need to make sure that the markings on NATO classification information ensure it receives the degree of protection that the originator of the information requires.

Review

Activity 1

Select all that apply; then check your selection against the answer key

1. Which of the following types of information have special dissemination requirements?

- CUI
- CONFIDENTIAL
- Critical Nuclear Weapon Design Information (CNWDI)
- Communications Security (COMSEC)
- TOP SECRET
- NATO Classified Information
- Foreign Government Information
- SECRET
- Intelligence Information

Activity 2

Make your selection then check your selection against the answer key

2. Sensitive Compartmented Information: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Activity 3

Make your selection then check your selection against the answer key

3. Unclassified COMSEC materials: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Activity 4

Make your selection then check your selection against the answer key

4. Top Secret aircraft capabilities data: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Activity 5

Make your selection then check your selection against the answer key

5. NATO Classified Information: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Activity 6

Select all that apply then check your answer against the answer key at the end of this student guide

6. FGI Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Activity 7

Select all that apply then check your answer against the answer key at the end of this student guide

7. COMSEC Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Activity 8

Select all that apply then check your answer against the answer key at the end of this student guide

8. CNWDI Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Lesson Conclusion

Summary

In this lesson, you learned about some special types of information that have additional protection requirements.

All of these require coordination and authorization by a designated official prior to dissemination.

You also learned about some of the documents that define the procedures for the transmission and transportation of these kinds of information.

Lesson 7: Course Conclusion

Course Summary

Summary

The transmission and transportation of classified materials involves many considerations at all phases of the process – from the preliminary decision about whether to send the information in the first place, until storage at its final destination.

You should now know the factors you need to consider and the procedures you need to follow in order to send and receive classified information. You should also know the sources of guidance you can refer to for greater detail about specific situations.

Course Objectives

You should now be able to perform all of the listed activities.

- ✓ Identify the policy documents that govern transmission and transportation of classified information
- ✓ Based on classification level, identify the authorized methods for transmission and transportation of classified information
- ✓ Identify the procedures to hand carry classified information
- ✓ Identify the procedures to escort classified information
- ✓ Identify the procedures to prepare classified material for transmission and transportation
- ✓ Identify the dissemination requirements for special types of information

Congratulations. You have completed the Transmission and Transportation for Industry Course.

To receive course credit, you **MUST** take the Transmission and Transportation for Industry examination. Please use the STEPP system from the Center for Development of Security Excellence to register for the on-line exam

Appendix A: Answer Key

Lesson 2

Activity 1

1. Which of the following are sources of policy guidance for transmitting and transporting classified material in industry?
 - DoD Manual 5200.01 DOD Information Security Program
 - 32 CFR Part 117, The National Industrial Security Program Operating Manual (NISPOM)
 - The facility Standard Practice Procedures (SPP)
 - The contract drawn up between the government and a cleared contractor

Feedback: The PRIMARY source of policy guidance on transmitting and transporting classified material in industry is the NISPOM. The facility SPP and the contract may also provide valuable implementation guidance.

Activity 2

2. Which of the following are you responsible for doing before you decide to send classified materials?
 - Making sure you are authorized to send them
 - Making sure the person you are sending them to is cleared to receive them
 - Making sure the facility where you are sending the materials to can store them securely
 - Double-checking the receiver's classified mailing address

Feedback: The sender is responsible for all of these actions before deciding whether to transmit or transport classified materials.

Activity 3

3. If you are a Facility Security Officer and someone in your organization receives a classified package that appears to have been opened en route, what should you do?
 - Contact the sender immediately
 - Initiate a preliminary inquiry
 - Contact the FBI
 - Contact the U.S. Postal Inspector

Feedback: If a classified package appears to have been tampered with, the FSO MUST contact the sender, initiate a preliminary inquiry, and report results to the Cognizant Security Office (CSO) if the inquiry concludes a possible compromise or loss occurred.

Lesson 3

Activity 1

1. A cleared employee who may, on occasion, transmit classified material is:

- A Hand Carrier
- A Courier
- An Escort

Feedback: A cleared employee who may, on occasion, transmit classified material is a Hand Carrier.

Activity 1b

2. A cleared employee whose principal duty is to transmit classified information is:

- A Hand Carrier
- A Courier
- An Escort

Feedback: A cleared employee whose principal duty is to transmit classified information is a Courier.

Activity 2

3. Which of the following are authorized methods for transmitting Secret material?

- USPS Registered Mail
- Hand carrier
- Cleared commercial messenger service
- USPS Certified Mail
- Cleared commercial carrier
- Secure telephone

Feedback: The correct selection is: USPS Registered Mail, Handcarrier, Cleared commercial messenger service, Cleared commercial carrier, and Secure telephone.

Activity 3

4. USPS Certified Mail is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Feedback: USPS Certified Mail may be utilized for transmission of Confidential material only.

Activity 4

5. USTRANSCOM is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Feedback: USTRANSCOM may be utilized to transmit Confidential, Secret or Top Secret material.”

Activity 5

6. USPS Registered Mail is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Feedback: USPS Registered Mail is an authorized method for sending Confidential or Secret material only.

Activity 6

7. A CSA-approved commercial delivery company is an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Feedback: A CSA-approved commercial delivery company may be utilized to transmit only Confidential, or Secret material.”

Activity 7

8. Escorts are an acceptable transmission method for which of the following:

- Top Secret
- Secret
- Confidential

Feedback: Escorts may be utilized to transmit Confidential, Secret or Top Secret material.

Activity 8

9. All methods authorized to send Secret information may also be used to transmit Top Secret Information.

True

False

Feedback: While *SOME* of the methods used to transmit Secret information may be appropriate for sending Top Secret information, not *ALL* of them are. Remember that the higher the classification level, the fewer methods you can use to transmit it.

Activity 9

10. The classification level of information is the primary factor that determines the method for sending it.

True

False

Feedback: The classification level of information is the primary factor that determines the method for sending it. You *MUST* use a method authorized for the classification level of the information you wish to transmit.”

Activity 10

11. The urgency of the need for classified information may affect the transmission method.

True

False

Feedback: Time constraints are one of several factors that play into the decision of which authorized method to use to send classified information.

Activity 11

12. All methods authorized to send Secret information may also be used to transmit Confidential information.

True

False

Feedback: *ALL* of the methods used to transmit Secret information are authorized for sending Confidential information. You can always use transmission/transportation methods authorized for sending information of a higher classification level.

Activity 12

13. A cleared employee at your facility has wrapped a package containing hardware classified Secret. The package measures 2" x 4" x 14" and weighs 5 pounds. To meet a contractual requirement, the material must arrive at its destination within 24 hours. You are located within the United States, and the destination of the package is also within the United States.

- USPS First Class Mail
- USPS Registered Mail
- USPS Express Mail

Feedback: USPS Express Mail is the preferred method for transmitting a small package like this. Keep in mind that the material must be delivered directly to USPS personnel. Using street-side collection boxes is prohibited.

Activity 13

14. You are tasked to transmit a legal-size envelope containing a Confidential memorandum. Your facility is located within the United States and the destination is the cleared facility of the prime contractor with which your company has a classified contract.

- USPS First Class Mail
- USPS Certified Mail
- Commercial Carrier
- Overnight Domestic Express Delivery

Feedback: USPS Certified Mail is the preferred method for transmitting Confidential material, and would be the most cost-effective method for transmitting this type of envelope.

Activity 14

15. You are required to transmit Top Secret information to your government contracting activity.

- USPS Express Mail
- Designated Courier or Escort
- Secure Fax
- Commercial Carrier

Feedback: Designated Courier or Escort and Secure Fax may be used with GCA approval in this situation, while the other methods are not appropriate.

Activity 15

16. Your facility is within Washington DC and you have a contractual requirement to expedite the delivery of 25 copies of a 100-page Secret document to the offices of the GCA within the same geographical area. The GCA urgently requires this information for a high-level briefing by 10:00am the next day, and the information must be ready for immediate dissemination to attendees.

- USTRANSCOM
- CSA-approved secure communications
- Hand-carry by cleared U.S. military, civilian employee or contractor
- USPS Certified Mail

Feedback: Hand-carry by cleared U.S. military, civilian employee, or contractor. This method is the best authorized method to meet the mission requirement.

Activity 16

17. A cleared employee at your facility has wrapped a package containing hardware classified Secret. The package measures 14" x 16" x 16", and weighs 72 pounds. To meet a contractual requirement, you must transmit the material to arrive at its destination within 24 hours. You are located within the United States, and the destination of the package is also within the United States.

- USPS First Class Mail
- USPS Registered Mail
- USPS Express Mail
- GSA Contract Holders for Overnight Delivery

Feedback: GSA Contract Holders for Overnight Delivery. This is the preferred method. Keep in mind, the delivery service must deliver the material to an authorized person.

Lesson 4

Activity 1

1. Which of the following best describes the purpose of a Courier briefing?
 - To ensure that all Couriers and Hand Carriers are properly qualified before they receive a Courier Authorization Letter
 - To ensure that all Couriers and Hand Carriers traveling on commercial passenger aircraft remain in compliance with NISPOM
 - To ensure that all Couriers and Hand Carriers have contingency plans for emergencies
 - To ensure that all Couriers and Hand Carriers, are informed of their security responsibilities before they transmit or transport classified materials

Feedback: The requirement for the briefing for all Couriers and Hand Carriers is stated clearly in the NISPOM. To ensure that all Couriers and Hand Carriers, are informed of their security responsibilities before they transmit or transport classified materials.

Activity 2

2. Ensuring that personnel travel documents are complete, valid, and current.
 - Escort
 - Hand Carrier

Feedback: Couriers, Hand Carriers, and Escorts are individually responsible for ensuring that their personal travel documents are complete, valid, and up-to-date.

Activity 3

3. Carrying an inventory of the classified materials being transmitted/transported.
 - Escort
 - Hand Carrier

Feedback: Carriers must carry a copy of the inventory of the classified materials they are carrying. Escorts are not required to carry an inventory; their shipments are tracked with a receipt.

Activity 4

Decide whether the task displayed below is required for employees who hand carry (H) classified, escort (E) shipments, or both. Then check your answer in the answer key at the end of the student guide.

4. Having advance arrangements for secure overnight storage if an overnight stay is necessary.

Escort

Hand Carrier

Feedback: If it will be necessary to stay overnight while transporting classified materials, then Couriers, Hand Carriers and Escorts must make arrangements for secure, appropriate storage overnight.

Activity 5

5. Having written instructions that include details about the trip and emergency procedures.

Escort

Hand Carrier

Feedback: Couriers and Hand Carriers are not required to have written instructions for the trip.

Because escorting is more complicated, the NISPOM requires escorts to have written instructions.

Activity 6

6. Having written instructions that include details about the trip and emergency procedures.

Escort

Hand Carrier

Feedback: Couriers and Hand Carriers must maintain personal possession of the classified materials they are transporting. Escorts must maintain surveillance of the materials they are transporting.

Activity 7

7. Hotel safes are considered secure containers for classified materials.

True

False

Feedback: Hotel safes are NOT appropriate for storing classified materials. When an overnight stay is required, classified material must be stored at a prearranged U.S. military facility, U.S. government facility, U.S. embassy, or cleared U.S. contractor facility in a manner appropriate for the classification level of the materials.

Activity 8

8. A Courier or Hand Carrier may make a detour for personal reasons when he is en route with classified materials, as long as he arrives on schedule at his destination.

True

False

Feedback: Couriers and Hand Carriers should stick to the official route and schedule when they are transmitting classified materials.

Activity 9

9. No more than three escorts may be assigned to one shipment because of the complex coordination required.

True

False

Feedback: Security should assign as many escorts as are required to ensure constant surveillance of the classified materials and the adjacent areas.

Activity 10

10. All Couriers and Hand Carriers, must have a photo identification.

True

False

Feedback: The requirement for photo identification is specified in the NISPOM.

Lesson 5

Activity 1

1. Which procedures are necessary for preparing to transmit and transport all SECRET materials?

- Verify the recipient's address.
- Verify the recipient's facility clearance
- Verify the recipient's secure storage capability
- Verify recipient's availability
- Wrap the material in two layers.

Feedback: To prepare any classified material for transmission, you must verify the recipient's address, facility clearance, secure storage capabilities, availability and wrap the material in two layers.

Activity 2

2. You need to send a Confidential document from Ft. Eustis to Jennifer Brady, who works at the Pentagon. Which of the following items will you include on the Inner Layer Envelope?

- Ft. Eustis address
- A Pentagon Address
- ATTN line to Ms. Jennifer Brady
- CONFIDENTIAL
- SECRET
- TOP SECRET

Feedback: The inner layer should contain both sender and receivers addresses, an attention line for the recipient and the appropriate classification stamp.

Activity 3

3. You need to send a Confidential document from Ft. Eustis to Jennifer Brady, who works at the Pentagon. Which of the following items will you include on the Outer Layer Envelope?

- Ft. Eustis address
- A Pentagon Address
- ATTN line to Ms. Jennifer Brady
- CONFIDENTIAL
- SECRET
- TOP SECRET

Feedback: The outer layer should contain both sender and receivers addresses, and an attention line for the recipient. The outer layer does not contain a classification stamp.

Activity 4

4. Your inner and outer layers are properly marked, including classification marking on the inner envelope and a verified address on both layers. You have prepared a receipt, and you have plenty of reinforced tape. Which of the following would be appropriate before you package your Confidential document?

- Fold your document in on itself before you put it in the inner wrapper.
- Prevent the text on your document from coming in direct contact with the inside of the inner wrapper.
- Insert something between classified material and the wrapper such as, a cover sheet, transmittal form/letter, piece of opaque paper, or piece of cardboard.

Feedback: It is important that you prevent the text on your document from coming in direct contact with the inside of the inner wrapper. You need to insert something between classified material and the wrapper such as, a cover sheet, transmittal form/letter, piece of opaque paper, or piece of cardboard. Alternatively, you could fold your document in on itself before you put it into the inner wrapper.

Activity 5

5. Classified documents must be double-wrapped inside a locked briefcase when they are hand carried.

- True
- False

Feedback: Materials do not need to be double-wrapped inside a locked briefcase when they are hand carried. The briefcase constitutes the outer wrapper.

Activity 6

6. Large, bulky items are exempt from double-wrapping requirements for transmission and transportation.

True

False

Feedback: Classified materials must be enclosed in two durable, opaque layers. If the item is large and bulky, it may be necessary to use a special type of shipping container as the outer layer.

Lesson 6

Activity 1

1. Which of the following types of information have special dissemination requirements?

- CUI
- CONFIDENTIAL
- Critical Nuclear Weapon Design Information (CNWDI)
- Communications Security (COMSEC)
- TOP SECRET
- NATO Classified Information
- Foreign Government Information
- SECRET
- Intelligence Information

Feedback: Make sure you understand what each type is, so you can recognize when to look for additional guidance on its transmission and transportation

Activity 2

2. Sensitive Compartmented Information: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Feedback: SCI is a type of intelligence information. Special handling requirements may appear in a specific contract, and disclosure requires written authorization of the releasing agency.

Activity 3

3. Unclassified COMSEC materials: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Feedback: The NISPOM contains special procedures for transporting both classified and unclassified COMSEC material. Individual contracts may also contain special procedures.

Activity 4

4. Top Secret aircraft capabilities data: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Feedback: Even though the material is classified Top Secret, standard transmission and transportation procedures for material with that classification level apply.

Activity 5

5. NATO Classified Information: Do standard transmission and transportation procedures apply or are there additional special procedures?

- Standard Procedures
- Special Procedures

Feedback: The NISPOM contains special handling procedures for NATO classified materials.

Activity 6

6. FGI Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Feedback: The CSA establishes the channels for transferring FGI. The NISPOM contains specific requirements that apply to the transfer of FGI.

Activity 7

7. COMSEC Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Feedback: Before transmitting or transporting COMSEC materials, you should check with the COR for guidance. You should also refer to your contract to see if it contains additional safeguards.

Activity 8

8. CNWDI Package: Which sources would you consult for guidance on transmitting and transport?

- GCA
- COR
- CSA
- Contract
- NISPOM
- DoDI 5210.02

Feedback: Because CNWDI is so sensitive you need GCA approval before transmission, and you need to verify with CSA that the receiving facility has authorization. DoDI 5210.02 provides specific guidance on transmission and transportation of CNWDI.