

INFORMATION

SECURITY

PROGRAM

January 1997

THE ASSISTANT SECRETARY OF DEFENSE FOR COMMAND, CONTROL, COMMUNICATIONS, AND INTELLIGENCE



ASSISTANT SECRETARY OF DEFENSE WOO DEFENSE PENTAGON WASHINGTON, DC 20301-6000



January 14, 1997

FOREWORD

This Regulation is issued under the authority of DoD Directive 5200.1, "DoD Information Security Program, "December 13, 1996. It prescribes procedures for implementation of Executive Order 12958, "Classified National Security Information,"

April 20, 1995, within the Department of Defense.

DoD 5200.1-R, "DoD Inf ormat ion Security Program, " June 1986, is hereby canceled.

This Regulation applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Inspector General of the Department of Defense, the Uniformed Services University of the Health Sciences, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

This Regulation is effective immediately and is mandatory for use by all the DoD Components. The Heads of the DoD Components may issue implementing instructions when necessary to provide for internal administration of this Regulation within their respective Components.

Send recommended changes to this Regulation through channels to:

Principal Director, Information Warfare, Security and Counterintelligence
Office of the Assistant Secretary of Defense
Command, Control, Communications, and Intelligence
6000 Defense Pentagon
Washington, DC 20301-6000

The DoD Components may obtain copies of this Regulation through their own publication channels. This Regulation will be published in Title 32, Code of Federal Regulations (CFR), Part



159. The CFR is available in all Government Depository Libraries. Federal Agencies and the public may obtain copies of this Regulation from the U.S. Department of Commerce, National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161.

Emmett Paige, Jr.

TABLE OF CONTENTS

	<u>Page</u>
Foreword	i
Table of Contents	iii
CHAPTER 1: POLICY AND PROGRAM MANAGEMENT	
Section 1: Policy	
1-100 Purpose and Scope 1-101 Policies	1-1 1-1
Section 2: Program Management	
1-200 Department of Defense 1-201 DoD Components 1-202 Senior AgencyOfficials	1-2 1-2 1-2
Section 3: Special Types of Information	
1-300 Restricted Data 1-301 Sensitive Compartmented Information (SCI) and Communications Security	1-3 1-3
 (COMSEC) Information 1-302 Special Access Program Information 1-303 North Atlantic Treaty Organization and Other Foreign Government Information 	1-3 1-3
Section 4: Exceptional Situations	
1-400 Military Operations 1-401 Waivers to Requirements	1-3 1-3
Section 5: Corrective Actions and Sanctions	
1-500 General1-501 Sanctions1-502 Reporting of Incidents	1-4 1-4 1-4
Section 6: Reporta	
1-600 Reporting Requirements	1-4
Section 7: Self-Inspection	
1-700 Self-Inspection	1-5
CHAPTER 2: ORIGINAL CLASSIFICATION	
Section 1: General Provisions	
Section 2: Original Classification Authority	
2-200 Policy 2-201 Delegation of Authority	2-1 2-1

	<u>Page</u>
2-202 Required Training	2-1
Section 3: The Original Classification Process	
2-300 Overview	2-2
2-301 Eligibility for Classification	2-2
2-302 Possibility of Protection	2-2
2-303 The Decision to Classify	2-2
2-304 Level of Classification	2-2 2-3
2-305 Duration of Classification	2-3
2-306 Communicating the Decision	2 3
Section 4: Special Considerations	
2-400 Compilation	2-3
2-401 The Acquisition Process	2-3
2-402 Limitations and Prohibitions	2-3
Section 5: Security Classification and/or Declassification Guides	
2-500 Policy	2-4
2-501 Content	2-4
2-502 Approval, Distribution and Indexing	2-4
2-503 Review, Revision and Cancellation	2-4
Section 6: Information from Private Sources	2.5
2-600 Policy	2-5 2-5
2-601 Classification Determination	2-3 2-5
2-602 Patent Secrecy Act	2 3
CHAPTER 3: DERIVATIVE CLASSIFICATION	
Section 1: Policy and General Requirements	
3-100 The Nature of the Process	3-1
3-101 Authority and Responsibility	3-1
3-102 Policy	3-1
Section 2: Procedures	
3-200 General	3-1
3-201 Special Cases	3-2
CHAPTER 4: DECLASSIFICATION AND REGRADING	
Section 1: General	
4-100 Policy	4-1
4-101 Declassification Systems	4-1
4-102 Declassification Authority	4-1
4-103 Exceptions	4-1
Section 2: Declassification Decisions by Original Classifiers	
4-200 Requirement	4-1
4-201 The "Ten-Year Rule"	4-1

	<u>Page</u>
4-202 Exemption from the 10 Year Rule 4-203 Extension of Ten-Year Declassification Periods	4-2 4-2
Section 3: Automatic Declassification at 25 Years	
4-300 The Automatic Declassification System 4-301 Exemption of Specific Information	4-2 4-3
Section 4: Mandatory Review for Declassification	
4-400 General 4-401 Responsibilities and Procedures	4-4 4-4
Section 5: Systematic Review for Declassification	
4-500 General	4-5
Section 6: Downgrading	
4-600 Purpose and Authority4-601 Downgrading Decisions During Original Classification4-602 Downgrading at a Later Date	4-5 4-5 4-5
Section 7: Upgrading	
4-700 General	4-5
Section 8: Foreign Government Information	
4-800 Policy and Procedures 4-801 Communications with Foreign Governments	4-6 4-6
Section 9: Challenges to Classification	
4-900 Classification Challenges	4-6
CHAPTER 5: MARKING	
Section 1: General Provisions	
5-100 Marking and Designation Rules5-101 Exceptions5-102 Marking Classified Documents and Other Material	5-1 5-1 5-1
Section 2: Specific Markings on Documents	
5-200 Overall Classification Marking 5-201 Agency, Office of Origin, and Date 5-202 Source(s) of Classification 5-203 Reason for Declassification 5-204 Declassification Instructions	5-2 5-2 5-2 5-2 5-3
5-205 Downgrading Instructions5-206 Identification of Specific Classified Information	5-5 5-5

	Page
5-207 Page Marking	5-6
5-208 Special Control and Similar Notices	5-6
Section 3: Marking Special Types of Documents	
5-300 Documents With Component Parts	5-7
5-301 Transmittal Documents	5-7
5-302 Classification by Compilation	5-7
5-303 Translations	5-8
5-304 Information Transmitted Electronically	5-8
5-305 Documents and Material Marked for Training Purposes	5-8
5-306 Files, Folders, and Groups of Documents	5-8
5-307 Printed Documents Produced by AIS Equipment	5-8
Section 4: Marking Special Types of Materials	
5-400 General Policy Statement	5-8
5-401 Blueprints, Schematics, Maps, and Charts	5-9
5-402 Photographs, Negatives, and Unprocessed Film	5-9
5-403 Slides and Transparencies	5-9
5-404 Motion Picture Films and Videotapes	5-9
5-405 Sound Recordings	5-9
5-406 Microforms	5-9
5-407 Removable AIS Storage Media	5-9
5-408 Fixed and Internal AIS Storage Media	5-10
5-409 Standard Form (SF) Labels	5-10
5-410 Intelligence Information	5-10
Section 5: Changes in Markings	
5-500 Downgrading and Declassification in Accordance with Markings	5-10
5-501 Downgrading and Declassification Earlier Than Scheduled	5-11
5-502 Upgrading	5-11
5-503 Posted Notice on Bulky Quantities of Material	5-11
5-504 Extensions of Duration of Classification	5-11
Section 6: Remarking and Using Old Classified Material	
5-600 Old Markings Can Remain	5-11
5-601 Earlier Declassification and Extension of Classification	5-11
Section 7: Foreign Government Information/Equivalent U.S. Classification Designation	
5-700 General	5-12
5-701 Marking NATO Documents	5-12
5-702 Marking Other Foreign Government Documents	5-12
5-703 Marking of Foreign Government and NATO Information in DoD Documents	5-12
5-704 Marking for Transfer to Archives	5-13

	Page
IAPTER 6: SAFEGUARDING	
Section 1: Control Measures	
6-100 General 6-101 Working Papers	6-1 6-1
Section 2: Access	
6-200 Policy	6-1
6-201 Access by Persons Outside the Executive Branch 6-202 Visits	6-1 6-3
Section 3: Safeguarding	
6-300 General Policy	6-3
6-301 Care During Working Hours	6-3
6-302 End-of-Day Security Checks	6-3
6-303 Emergency Planning	6-3
6-304 Telephone Conversations	6-4
6-305 Removal of Classified Storage Equipment	6-4
6-306 Residential Storage Arrangements	6-4
6-307 Classified Meetings and Conferences	6-4
6-308 U.S. Classified Information Located in Foreign Countries	6-5
6-309 Information Processing Equipment	6-5
Section 4: Storage	
6-400 General Policy	6-6
6-401 Standards for Storage Equipment	6-6
6-402 Storage of Classified Information	6-6
6-403 Procurement of New Storage Equipment	6-7
6-404 Equipment Designations and Combinations	6-7
6-405 Repair of Damaged Security Containers	6-8
6-406 Maintenance and Operating Inspections	6-9
Section 5: Reproduction of Classified Material	
6-500 Policy	6-9
6-501 Approval for Reproduction	6-9
6-502 Control Procedures	6-9
Section 6: Foreign Government Information	
6-600 General	6-10
6-601 Foreign Government Top Secret, Secret and Confidential Information	6-10
6-602 Foreign Government Restricted Information Provided in Confidence	6-10
6-603 Third-Country Transfers	6-10
6-604 Storage	6-10
Section 7: Disposition and Destruction of Classified Material	
6-700 Policy	6-11
6-701 Methods and Standards	6-11

	<u>Page</u>
Section 8: Alternative or Compensatory Control Measures	
6-800 General	6-11
6-801 Special Access Controls	6-12
CHAPTER 7: TRANSMISSION AND TRANSPORTATION	
Section 1: Methods of Transmission or Transportation	
7-100 Policy	7- I
7-101 Top Secret Information	7-1
7-102 Secret Information	7-1
7-103 Confidential Information	7-2
7-104 Transmission of Classified Material to Foreign Governments 7-105 Shipment of Freight	7-3 7-3
Section 2: Preparation of Material for Transmission	7-3
7-200 Envelopes or Containers 7-201 Addressing	7-3 7-4
Section 3: Escort or Hand-Carrying of Classified Material	
7-300 General Provisions	7-4
7-301 Documentation	7-5
7-302 Hand-carrying or Escorting Classified Material Aboard Commercial Passenger Aircraft	7-5
CHAPTER 8: SPECIAL ACCESS PROGRAMS	
8-100 Policy	8-1
8-101 SAP Procedures	8-1
8-102 Control and Administration	8-2 8-2
8-103 Establishment of DoD SAPS 8-104 Reviews of SAPS	8-5
8-104 Reviews of SAPS 8-105 Annual Reports and Revalidation	8-6
8-106 Interim Reports	8-6
8-107 Changes in Classification	8-6
8-108 Termination and Transitioning of SAPS	8-7
CHAPTER 9: SECURITY EDUCATION AND TRAINING	
Section 1: Policy	
9-100 General Policy	9-1
9-101 Methodology	9-1
Section 2: Initial Orientation	
9-200 Cleared Personnel 9-201 Uncleared Personnel	9-1 9-2
Section 3: Special Requirements	
9-300 General	9-2

	<u>Page</u>
 9-301 Original Classifiers 9-302 Delcassification Authorities Other Than Original Classifiers 9-303 Derivative Classifiers, Security Personnel and Others 9-304 Others 	9-2 9-2 9-2 9-3
Section 4: Continuing Security Education/Refresher Training	
9-400 Continuing Security Education 9-401 Refresher Training	9-3 9-3
Section 5: Termination Briefings	
9-500 General	9-4
Section 6: Program Oversight	
9-600 General	9-4
CHAPTER 10: ACTUAL OR POTENTIAL COMPROMISE OF CLASSIFIED	INFORMATION
10-100 Policy 10-101 Reporting 10-102 Inquiry/Investigation 10-103 Results of the Inquiry/Investigation 10-104 Verification, Reevaluation, and Damage Assessment 10-105 Debriefings in Cases of Unauthorized Access 10-106 Management and Oversight 10-107 Additional Investigation 10-108 Unauthorized Absences	10-1 10-1 10-2 10-2 10-3 10-3 10-4 10-4
APPENDIX A: REFERENCES	A-1
APPENDIX B: DEFINITIONS	B-1
APPENDIX C: CONTROLLED UNCLASSIFIED INFORMATION	c-1
APPENDIX D: SPECIAL PROCEDURES FOR USE IN SYSTEMATIC	D-1
AND MANDATORY REVIEW OF CRYPTOLOGIC	
INFORMATION	
APPENDIX E: CONTROL OF DISSEMINATION OF INTELLIGENCE	E-1
INFORMATION (to be provided at a later date)	
APPENDIX F: EQUIVALENT FOREIGN SECURITY CLASSIFICATIONS	F-1
APPENDIX G: PHYSICAL SECURITY STANDARDS	G-1
APPENDIX H: TRANSMISSION TO FOREIGN GOVERNMENTS	H-1
APPENDIX I: SPECIAL ACCESS PROGRAM DOCUMENTATION	I-1