

APPENDIX Y**GUIDELINES FOR ASSESSING PROTECTION AND CONTROL OF CLASSIFIED INFORMATION IN A MULTINATIONAL NON-NATO COOPERATIVE DEFENSE PROGRAM****MULTINATIONAL INDUSTRIAL SECURITY WORKING GROUP**

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**GUIDELINES
FOR ASSESSING PROTECTION AND CONTROL OF
CLASSIFIED INFORMATION IN A
MULTINATIONAL NON-NATO COOPERATIVE DEFENCE PROGRAM**

PURPOSE: These guidelines are intended to assist government industrial security specialists (national inspectors) in the assessment of security measures which must be in place at contractor facilities to safeguard classified information in support of multinational non-NATO cooperative defense programs.

A. PROGRAM BACKGROUND INFORMATION:

1. IDENTIFICATION OF PROGRAM ELEMENTS THAT INVOLVE INDUSTRY. Is there a non-NATO cooperative defense program agreement that authorizes contractor involvement? (If so, the report should identify and briefly describe the program or project.) What is the legal basis for contractor involvement in the program? Has the government program office provided information to cognizant industrial security authorities on the contractor security arrangements associated with the program? Have the security arrangements been included in the contract documents?

2. PARTICIPATING COUNTRIES. Which countries and national organizations are parties (or signatories) to the program?

3. PARTICIPATING CONTRACTORS. Which contractors are identified as program participants?

4. AUTHORITY FOR RELEASE OF CLASSIFIED INFORMATION TO PROGRAM SUB-CONTRACTORS TO THE PROGRAM. Under what authority is the contractor permitted to release classified information to other contractors who are involved in the program? Has the contractor been informed of release procedures and restrictions?

5. AUTHORITY FOR RELEASE OF CLASSIFIED INFORMATION TO THIRD PARTIES TO THE PROGRAM. Under what authority is the contractor permitted to release classified information to third parties. Has the contractor been informed of approval channels? (Procedures should be checked if releases have been made.)

6. CLASSIFICATION GUIDANCE/SECURITY CLAUSES. Does the pertinent contract, license or agreement include classification guidance and/or contract clauses describing the procedures to classify, mark and provide access to information? Is there a Program Security Instruction (PSI) or other document containing security procedures approved by the governments? Has the lead or prime contractor included in the appropriate subcontract classification guidance and/or contract clauses describing the procedures for classifying, marking and providing access to classified information?

B. PROGRAM-SPECIFIC CONTRACTOR ACTIVITY:

1. SECURITY EDUCATION/AWARENESS. Does the contractor have a security education/awareness program in place that covers the specific security requirements outlined in the program contract or PSI (above and beyond national requirements)?

2. VISITS (ONE TIME OR RECURRING VISITS). Do foreign government officials and/or contractor representatives visit the contractor facility? Has the contractor received visitors from third parties? If so, were the access restrictions identified in the PSI followed? Has the contractor established on-site visit control procedures to limit visitor access to only that information authorized for release under the contract or other export authorization? Is the information identified in a PSI?

3. VISITS (EMERGENCY VISITS). Has the company used the emergency visit procedures? Were the procedures properly observed in all cases? Were copies of the visit request provided to the appropriate government disclosure authorities?

4. INTERNATIONAL TRANSMISSION OF CLASSIFIED INFORMATION. Are transmission channels approved by the participating governments being used? Has hand carriage by company employees or other non-government persons been approved? Has a transportation plan been prepared?

- **HAND CARRIAGE.** Have the responsible NSAs/DSAs approved the hand carriage scheme? Has the hand carriage scheme been used? If so, were procedures followed?

- **TRANSPORTATION PLAN.** Has the plan been used? If so, were procedures followed? Is the paperwork on hand which verifies the transmission (including receipts)?

5. FOREIGN GOVERNMENT INFORMATION. Does the contractor have any foreign government program classified information on hand? Is the information accounted for and marked in accordance with the PSI or a separate classification guideline? Is foreign government information being stored properly in accordance with applicable security instructions from the originating foreign government or the contract or PSI?

6. AUTOMATED INFORMATION SYSTEMS. Has authorization been given to create, process, store or distribute classified information using ADP systems? Are program personnel (employees/visitors) aware of the extent of the authorization? Does the ADP system employ safeguards to limit access to foreign government program information?

7. VIOLATIONS. Have reports of unauthorized disclosures of classified program information been forwarded to the appropriate cognizant security and program authorities? Were appropriate corrective actions taken to prevent further unauthorized disclosures to include security education?