DEPARTMENTS OF THE ARMY AND THE AIR FORCE
National Guard Bureau
Washington, DC 20310-2500
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National Guard Regulation (AR) 380-15/
National Guard Regulation (AF) 205-43

Security

SAFEGUARDING AND HANDLING OF NORTH ATLANTIC TREATY ORGANIZATION (NATO) CLASSIFIED MATERIAL AND INFORMATION

Summary. This is a new regulation. It establishes responsibilities and procedures for safeguarding and handling of NATO classified material and information.

Applicability. This regulation applies to the National Guard (NG) (Army and Air Force) in the 54 States and Territories, the District of Columbia, User Offices, and control points (CP) (if applicable) who handle NATO classified material and information.

Supplementation. Supplementation is not authorized without prior approval of National Guard Bureau (NGB-AD-PA), Washington, DC 20310-2500.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by the Executive, NGB. Users will destroy interim changes on their expiration dates, unless sooner superseded or rescinded.

Suggested Improvements. The proponent for this regulation is NGB-AD-PA. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to NGB-AD-PA, Washington, DC 20310-2500.

1. Purpose

This regulation establishes responsibilities, procedures, policy, guidance, interpretation, advice and assistance, and to reemphasize some of the NATO (COSMIC TOP SECRET/NATO SECRET/NATO SECRET ATOMAL/NATO CONFIDENTIAL/NATO CONFIDENTIAL ATOMAL/NATO RESTRICTED) classified material handling procedures for the National Guard Bureau (NGB) Subregistry, User Offices, and Control Points (CP) for the NGB (Army and Air Force), if applicable.

2. References

a. AR 380-5 *(Department of the Army Information Security Program (U)).*

b. AR 380-15 *(Safeguarding Classified NATO Information (NC)).*

c. AFR 205-1 *(Information Security Program Regulation (U)).*

d. AFR 205-43 *(Safeguarding NATO Classified Information (FOUO)).*

e. United States Security Authority for NATO Affairs *(USSAN)* Instruction I-169 *(NC).*

3. Explanation of abbreviations and terms

a. Abbreviations.

(2) ***CUSR*** - Central U.S. Registry.
(3) ***GSA*** - General Services Administration.
(4) ***NATO*** - North Atlantic Treaty Organization.
(5) ***NGB*** - National Guard Bureau.
(6) ***SOP*** - Standing Operating Procedures.
(7) ***USSAN*** - United States Security Authority for NATO Affairs.

b. Terms.

(1) ***ATOMAL*** - A term used exclusively by NATO. ATOMAL Information is that information designated as "RESTRICTED DATA" or "Formerly Restricted Data" (Atomic Information), which is provided by the Government of the United States to NATO; or "UK ATOMIC Information" which is provided by the Government of the United Kingdom to NATO.

(2) ***COSMIC*** - A NATO marking and designation which is synonymous with TOP SECRET and is applied exclusively to all copies of TOP SECRET documents prepared for circulation within NATO.

4. Responsibilities

Army and Air Force National Guard Control Points *(CPs)* of the 54 States and territories, if applicable,

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will ensure that all personnel who have access to NATO classified material have the appropriate NATO access level and are familiar and comply with the provisions of this regulation.

5. Procedures

a. NGB Subregistry. The NGB Subregistry is located in NGB-AD-PA, Room 2C360, Pentagon, Washington, DC 20310-2500. The NGB Subregistry will--

(1) Establish CPs in NGB offices *(Army and Air Force)* and the 54 States and territories *(Army and Air Force),* if applicable.

(2) Establish an accountability system for NATO classified material.

(3) Conduct yearly inspections of the CPs and user offices to ensure proper implementation of Army and Air Force Regulations.

b. Control Points (CPs). The CPs account for and control all NATO classified material.

(1) NGB offices (Army and Air Force).

(a) NGB user offices. These offices will provide the NGB Subregistry with a primary and alternate(s) NATO control officer, office symbol, telephone numbers, and telefax number *(if applicable).*

(b) Access rosters. Individuals who have NATO access and store NATO documents will be provided an access roster. A list of NGB user offices will be provided at least twice a year.

(c) Compromises/security violations. Possible compromises of NATO classified information will be reported immediately to the NGB Security Manager.

(d) Reproduction. Reproduction and translations of NATO SECRET material and below may be produced by the NGB user office under strict observation of the need-to-know principle. Security measures laid down for the original document will be applied to such reproductions and/or translations. The NGB Subregistry assigns a control number to the copies made. Therefore, NGB user offices will coordinate with the NGB Subregistry at the time of reproduction.

(2) State/territories (Army and Air Force, if applicable).

(a) Establishment of CP or Subregistry in States. The NGB Subregistry determines, depending on the amount of NATO documents processed/ received, if it warrants establishing a CP or Subregistry in the States. A written request will be sent to the NGB Subregistry requesting establishment as a CP.

(b) DA Form 2543 (Briefing/Rebriefing/ Debriefing Certificate)/AF Form 2583 (Request for Personnel Security Action). Forward all DA Forms 2543 or AF Forms 2583 to NGB Subregistry showing proof that NATO access has been granted to the individual(s) responsible for accountability of NATO classified material. Forward the form with the request for establishment to receive NATO classified material. A new form is required to be submitted when any change occurs *(i.e., change of primary or alternate control officer).* A copy of the debriefing for the outgoing individual will be forwarded along with new individual's form. If the CP no longer receives NATO, forward a letter to NGB NATO Subregistry requesting disestablishment and copies of NATO material destruction certificates along with the debriefing form.

(c) Establishment of NGB CP at the highest level. All NGB CPs will be established at the highest level of NATO classified received. There may be as many alternates as deemed appropriate to accomplish the mission. However, DA Form 2543/AF Form 2583 *is* only to be submitted to the NGB Subregistry for the primary and main alternate control points. The forms will be kept on file in the NGB Subregistry indicating access to NATO classified. Submit a new form when any change occurs i..e., change of personnel, *(new Primary or Alternate control officer),* and when personnel are debriefed.

(d) State Control Points (CP). The State CPs will have a Standing Operating Procedures *(SOP)* for handling NATO classified documents *(emergency evacuation plan should be included in the SOP).* Send a copy of the SOP to the NGB Subregistry to be kept on file.

(e) Authorized channels. The CPs list *(indicating current personnel authorized to receive NATO classified material)* will be provided twice a year to the States concerned. Forward a complete list containing mailing address (primary and alternate), office symbol/attention line, telephone numbers, and telefax number, to NGB Subregistry, Pentagon, Washington, DC, 20310-2500, to keep the CPs list updated. CPs are authorized to send documents directly to other CPs *(NATO SECRET and below only)* on the list.

(f) Forwarding documents. Any document that has been forwarded to CPs from the NGB Subregistry will be on the NGB Subregistry file. Therefore, it is required that upon destruction or transfer of material a copy of receipt/destruction certificate/form be forwarded to the NGB Subregistry.

(g) Maintaining accountability records. If for your accountability records you desire to assign internal control numbers they must maintain a cross reference/correlation to subregistry control number.

Subregistry control number, serial copy number, date of material, and NATO reference number are the identifying elements for maintaining accountability records.

(h) ***Reproduction.*** Reproduction and translations of NATO SECRET material and below may be produced by the addressee under strict observation of the need-to-know principle. Security measures laid down for the original material will be applied to such reproductions and/or translations. If classified NATO SECRET, they must be marked with identifying copy numbers. The number of reproductions and/or translations of NATO SECRET material and their copy numbers must be recorded.

c. Transmittal/accountability for NATO classified material.

(1) ***DA Form 3964/AF Form 310.*** For accountability purposes, although not required, use DA Form 3964 *(Classified Document Accountability Record)*/AF Form 310 *(Document Receipt and Destroying Certificate)* for NATO CONFIDENTIAL material. When mailing CONFIDENTIAL NATO material through the US Mail System or when the CONFIDENTIAL NATO material leaves the control point, even if it is within the State or NAG, a DA Form 3964/AF Form 310 should be attached. NATO SECRET/NATO SECRET ATOMAL/COSMIC TOP SECRET/COSMIC TOP SECRET ATOMAL material will have a DA Form 3964/AF Form 310 attached. The person signing the DA Form 3964/AF Form 310 for NATO material must have the proper NATO access. Complete the DA Form 3964/AF Form 310 in quadruplicate. Forward the original and two copies with the material when mailing out. The fourth copy is kept for sender's records until the original is returned indicating the material has been received by the addressee. DA Form 3964 and AF Form 310 for NATO CONFIDENTIAL and NATO SECRET will be kept for two years after destruction or permanent transfer of material.

(2) ***COSMIC TOP SECRET documents.*** For COSMIC TOP SECRET documents, attach a DA Form 969 *(TOP SECRET Document Control)*/AF Form 144 *(TOP SECRET Access Record and Cover Sheet),* identifying all persons having access to the information and the date of the disclosure *(this form will have printed name and signature).* Only one such notation is required on the disclosure record by an individual. Continuous receipting is required. DA Form 3964/AF Form 143 and DA Form 969/AF Form 144 must be kept for 10 years after destruction or permanent transfer of material.

(3) ***Transmittal.*** The requirement for the transmittal of NATO SECRET and NATO CONFIDENTIAL information to, from, and within the US and APO/EPO destinations is the same as for US classified except that NATO CONFIDENTIAL is required to be sent via US Registered Mail versus First Class mail. NATO RESTRICTED may be mailed single-wrapped via US First Class Mail with the following notation on the envelope: *"Return to Sender, if Undeliverable"*. COSMIC TOP SECRET material will only be sent via courier service.

(4) ***Transmittal - Telefax.*** Telefax only NATO unclassified through the telefax machine at this time.

d. Couriers. Approval authority for the couriering of NATO material is the same as for US material of the same level of classification. Remember, COSMIC TOP SECRET/COSMIC TOP SECRET ATOMAL material may not be couriered across international borders, unless by an authorized courier service, i.e., Defense Courier Service or via a military aircraft/vessel. Before deciding to courier material, ensure that the material is not already available at or near the destination and there is not sufficient time to send that material. Couriering of NATO SECRET material should be the last resort. Hand carrying of classified NATO material on commercial aircraft should be kept to a minimum. However, if it does become necessary to hand carry NATO classified material that should not be x-rayed or pass through any detection device at an airport as magnetic tapes, disks, etc.; you are required to coordinate with the airport Federal Aviation Administration official and the Airline a few days in advance of the scheduled flight. They will require the identity of the courier and description of the exterior container that is to be exempt from x-raying an internal search. The dimensions of the material should be limited to those that allow them to be hand carry on board. If you hand carry material that is subject to x-raying, you should not include any metal binders, clips or other metal objects that would create a problem or questioned if x-rayed.

e. Classification markings. Material having classification markings smaller than the print of text, is difficult to see, and is buried in the text *(e.g., maps and charts)* will be stamped/marked at least on the cover/ front and the back page of the material with print larger than that of the print of text. This will prevent the loss and report of possible compromise or an inadvertent disclosure due to overlooked classified NATO material.

f. Exercise messages. You are not required to formally control NATO SECRET exercise messages provided that they are not maintained over 30 days after the end of the exercise. If held beyond 30

days, destruction certificates are required. All ATOMAL and COSMIC TOP SECRET exercise messages must be controlled and destroyed as any other ATOMAL or COSMIC TOP SECRET material. Separate logs should be maintained for exercise messages.

g. Emergency Evacuation/Destruction Plan.

(1) The NGB Subregistry, user offices *(Army and Air Force),* and CPs are required to have an emergency evacuation/destruction plan for NATO/ COSMIC/ ATOMAL material. This plan need not be elaborate, but it does need to be consistent with the other emergency and contingency planning and incorporated into the emergency evacuation/ destruction plan for US material.

(2) Procedures are needed for fire, flood, natural disaster, civil disturbance, and transition to war.

h. Combinations.

(1) Change the combinations to security containers used to store NATO CONFIDENTIAL and above material, every six months, upon departure of an individual with access to the combination, or if the combination has been or is suspected of having been compromised. This includes the security containers at the CP and user offices, as well as the Subregistry. SF 700, part 2 and 2A will be marked with the classification and access(es). If the container secures only NATO/COSMIC/ATOMAL, the combination will be NATO classified, marked with the appropriate level, and controlled as such. If the container also contains US material, the combination will be classified, marked and controlled as the highest classification expressed in US terms and that NATO/COSMIC/ATOMAL Access (as appropriate) is required.

(2) Combinations to the safes will be stored in a separate safe container or can be stored in the same General Services Administration *(GSA)* approved container having the highest level of US classified. NATO and US classified material must be distinctly segregated if in the same safe. Individuals who have access to any safe containing NATO material should be read on for NATO.

i. Annual reviews. You are required to establish a system to ensure that the material is reviewed AT LEAST annually to purge the system of material that is no longer required or has been superseded. We encourage coordination between the CPs and user officers. This is not to say that you should reduce holdings purely on a quantitative basis, but rather ensure that a quantitative review is accomplished. If you continually receive certain types of material that are of no value to you, please contact the sender/originator and this Subregistry to discontinue such shipments. You are to post changes on a daily basis and destroy residue.

j. COSMIC and ATOMAL material. The NGB Subregistry is the office of record for COSMIC and ATOMAL material. Destruction is done at the NGB Subregistry. Original destruction certificates/forms will be kept at the NGB Subregistry.

k. Establishment of a COSMIC TOP SECRET ATOMAL subregistry and/or CP. The Central U.S. Registry (CUSR) makes the final approval for the establishment of a COSMIC TOP SECRET ATOMAL subregistry and/or CP. Coordination from the NGB Subregistry would be necessary for establishment of a COSMIC TOP SECRET/COSMIC TOP SECRET ATOMAL CP (Army and Air Force , if applicable).

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