

# NATO SECURITY INDOCTRINATION

This security briefing contains the minimum elements of information that must be provided to individuals upon initial indoctrination for access to NATO classified information.

This briefing is intentionally general so it may be used by all U.S. Government agencies and contractors. Agencies and contractors are encouraged to expand upon this briefing to accommodate specific situations. There is no requirement to copy this format or literary style; however, the minimum elements contained herein shall be included. Detailed procedures are contained in United States National Security Authority for NATO (USSAN) Instruction 1-07, NATO's C-M(2002) 49 "Security within The North Atlantic Treaty Organization" and its Supporting Security Directives (AC/35-D/2000 through D/2005), and the National Industrial Security Program Operating Manual (NISPOM) DoD 5220.22-M.

## NATO/ATOMAL SECURITY BRIEFING

### INTRODUCTION

You will require access to NATO classified information in pursuance of your current duties. The security standards and procedures for handling and protecting NATO information are in some cases different than those for U.S. information. This briefing explains the basic security standards and procedures for safeguarding NATO information.

### WHAT IS NATO?

NATO is an acronym for the North Atlantic Treaty Organization. Member nations have signed the North Atlantic Treaty and the NATO Security Agreement, which obligate them to comply with NATO rules. The following nations\* are members of NATO:

Belgium	Hungary	Portugal	Turkey	Bulgaria,	Slovenia
Canada	Italy	Spain	Norway	Estonia	Albania
Czech Republic	Luxembourg	United Kingdom	Iceland	Latvia	Croatia
Germany	Netherlands	United States	France	Lithuania	
Greece	Poland	Denmark	Romania	Slovakia	

The Secretary of Defense is the United States National Security Authority for NATO. As such, he is responsible for ensuring that NATO security requirements are implemented throughout the Executive Branch of the United States Government.

## WHAT IS NATO INFORMATION?

NATO information is information that has been generated by or for NATO, or member nation national information that has been released into the NATO security system. The protection of this information is controlled under the NATO security regulations, and access within NATO is determined by the holder, unless restrictions are specified by the originator at the time of release to NATO.

Material received by an agency direct from another NATO member nation may contain either NATO information generated by a NATO element or national information generated by a NATO member nation. If it has been marked "NATO" by the originating nation, it must be assumed to contain information released to NATO, and it is controlled under the NATO Security Program. If the material has a national classification marking and is not marked "NATO" by the originator, DO NOT apply a NATO marking unless you are informed in writing by the originator that the material is intended for NATO and is to be protected under the NATO Security Program. Moreover, the material or the information therein shall not be released into the NATO system without the prior written consent of the originator.

"RELEASABLE TO NATO" statements on U.S. material indicate that the information contained therein has been authorized under applicable disclosure policies for release to NATO and may be discussed within the NATO community. ONLY the copies that are being released to NATO shall be marked with a NATO marking. They are to be dispatched and controlled in the NATO registry system or in accordance with guidance provided by the supporting subregistry or control point. The remaining copies shall continue to be controlled as U.S. information. There must be a record, however, that the information has been authorized for release to NATO.

## CLASSIFICATION MARKINGS AND CATEGORIES OF NATO INFORMATION

NATO has four levels of classified information: COSMIC TOP SECRET, NATO SECRET, NATO CONFIDENTIAL, and NATO RESTRICTED. Certain NATO information is further classified in a specific category as ATOMAL which can be either RESTRICTED DATA (RD) or FORMERLY RESTRICTED DATA (FRD). NATO also distinguishes official, unclassified information. The markings and categories of NATO information are described below.

**COSMIC TOP SECRET (CTS)** - This security classification is applied to information the unauthorized disclosure of which would cause exceptionally grave damage to NATO. (NOTE: The marking "COSMIC" is applied to TOP SECRET material to signify that it is the property of NATO. The term "NATO TOP SECRET" is not used.)

**NATO SECRET (NS)** - This security classification is applied to information the unauthorized disclosure of which would cause serious damage to NATO.

**NATO CONFIDENTIAL (NC)** - This security classification is applied to information the unauthorized disclosure of which would be damaging to the interests of NATO.

**NATO RESTRICTED (NR)** - This security classification is applied to information the unauthorized disclosure of which would be disadvantageous to the interests of NATO. (NOTE:

UNCLASSIFIED

Although the security safeguards for NATO RESTRICTED material are similar to those of FOR OFFICIAL USE ONLY, OFFICIAL USE ONLY, or SENSITIVE, BUT UNCLASSIFIED information, "NATO RESTRICTED" is a security classification.)

**ATOMAL** - ATOMAL information can be either U.S. Restricted Data or Formerly Restricted Data that is classified pursuant to the Atomic Energy Act of 1954, as amended, or United Kingdom ATOMIC information that has been officially released to NATO. ATOMAL information is marked either COSMIC TOP SECRET ATOMAL (CTSA), NATO SECRET ATOMAL (NSA), or NATO CONFIDENTIAL ATOMAL (NCA).

**NATO UNCLASSIFIED (NU)** - This marking is applied to official information that is the property of NATO, but does not meet the criteria for classification. Access to the information by non-NATO entities is permitted when such access would not be detrimental to NATO. In this regard, it is similar to U.S. Government official information that must be reviewed prior to public release.

(As of mid-2002, NATO has required its classified information to be portion-marked, i.e. with a classification marking applied to each paragraph heading, etc.)

### ACCESS AUTHORIZATION

**NATO Classified Information.** Your security official will inform you of your level of access to NATO classified material and whether you are authorized access to ATOMAL information (see below). Additionally, your agency should maintain a list indicating the levels of access for each assigned individual who is authorized access to NATO information for you to verify NATO access authorizations for other employees. As with U.S. information, access is NOT based on duty position, rank, or level of clearance. Access is based on need-to-know, the proper level of U.S. clearance, and an access briefing for a specific level and type of NATO/ATOMAL information. Remember, IT IS YOUR RESPONSIBILITY to ensure that an individual is authorized access to a particular type and level of classified NATO or/and ATOMAL information BEFORE you provide access. This responsibility applies to all modes of transmission, e.g., oral, written, visual and electronic. If in doubt, seek assistance from your security officer or NATO subregistry or control point. NATO information is provided to non-NATO nationals and entities only with the approval of the originator of the information. That approval is gained through the appropriate NATO committee.

**ATOMAL Information.** An employee of the Department of Defense or its contractors may be granted access to ATOMAL information only if the employee has a need-to-know to perform his or her job and has been appropriately cleared and briefed for access to Restricted Data. An employee of NASA may be granted access to ATOMAL information concerning aeronautical and space activities, if the individual is cleared for access to Restricted Data. All other individuals, and NASA employees requiring access to ATOMAL information other than that covering aeronautical and space matters, shall have a "Q" clearance issued by the Department of Energy. Interim clearances shall not be accepted as the basis for access to ATOMAL information.

## THE REGISTRY SYSTEM

A Central Registry has been established by each NATO member nation to ensure proper control and accountability of NATO classified documents. The Central United States Registry (CUSR) is located in Arlington, Virginia. As an official representative of the U.S. Security Authority for NATO, the CUSR oversees the administration of the U.S. registry system. The CUSR establishes all U.S. subregistries to execute the accountability and security management of NATO and ATOMAL material at various U.S. locations throughout the world. Based on location and volume of material, control points may be established to assist in these operations.

## ACCOUNTING FOR NATO CLASSIFIED MATERIAL

**COSMIC TOP SECRET, NATO SECRET, and all ATOMAL.** Receipts and logs shall be maintained on the receipt, disposition, destruction, and dispatch of COSMIC TOP SECRET, NATO SECRET, and all ATOMAL material. In addition, each individual is required to execute a disclosure record upon acquiring access to each item of CTS/CTSA material, or ATOMAL with special limitation restrictions.

**NATO CONFIDENTIAL and NATO RESTRICTED.** You are required to maintain administrative control of NATO CONFIDENTIAL and NATO RESTRICTED material adequate to preclude unauthorized access. Specific accounting records are not necessary unless they are required by the originator.

## MARKING AND ACCOUNTING FOR U.S. DOCUMENTS CONTAINING NATO CLASSIFIED INFORMATION

A newly generated U.S. classified document that contains NATO classified information shall bear a U.S. classification marking that reflects the highest level of NATO or U.S. classified information it contains. Declassification and downgrading instructions shall indicate that the NATO information is exempt from downgrading or declassification without the prior consent of NATO; the reason to be cited is "foreign government information." The statement "THIS DOCUMENT CONTAINS NATO CLASSIFIED INFORMATION" will be affixed to the front cover or first page, if there is no cover. Portions that contain NATO classified information shall be marked to identify the information (e.g., NS). The document shall be accounted for, safeguarded and controlled as specified for NATO documents of the same classification.

If a record is required for the NATO classification information, a U.S. document containing the NATO information will be logged, accounted for and handled in the same manner as required for the NATO information. However, NATO reference numbers are not required. A record shall be maintained of source NATO documents, as required for derivatively classified U.S. documents. Existing U.S. documents that do not meet this requirement shall be marked and handled according to these procedures when they are removed from the files for use.

AIS storage media shall be handled as described in C-M(2002)49 and its Supporting Directives and in the USSAN 1-07, Para. 7.11, 1-2)

## SAFEGUARDING NATO MATERIAL

**General.** The physical security requirements for material marked NATO CONFIDENTIAL and above are the same as for U.S. material of the same level of classification. NATO RESTRICTED material may be stored in a locked filing cabinet, book case, desk or other such container, or in a room or building that is locked during non-duty hours, provided access to the room or building is controlled so that only authorized personnel can gain access to the information. All personnel with access to a security container that is used to store NATO information must be briefed and authorized access to the level and type of NATO information that is stored in that container.

**Segregation.** You are required to ensure that NATO and non-NATO material are filed separately. ATOMAL material must be filed separately from non-ATOMAL material. This may be accomplished by using a separate security container or, to conserve storage space, by using separate drawers or file dividers in the same security container holding U.S. classified material. Additionally, you are required to segregate ATOMAL control records from non-ATOMAL control records.

**Combinations.** Combinations to security containers containing NATO classified material must be changed at least annually, upon departure of an individual with access to the combination, or if the combination has been or is suspected of having been compromised.

**Transmission.** The national or international transmission of CTS and CTSA material shall be through the registry system using a cleared government courier service; for example, diplomatic pouch or military courier service. The national and international transmission of NS, NSA, NC, and NCA shall be by cleared courier, or by appropriately cleared and briefed employees who possess courier identification and authorization, or by U.S. registered mail using the same provisions as prescribed for U.S. classified material. Receipts are required for CTS, NS and all ATOMAL material. NC may also be sent by U.S. First Class mail between U.S. Government activities within the United States. In urgent situations, the United States Postal Service Express Mail may be used to transmit material NS and below within the United States, its Territories, and the District of Columbia. However, there are restrictions on the use of Express Mail; guidance should be sought from your security officer or subregistry or control point. NR material may be sent by U.S. First Class mail within the United States and to an APO/FPO or NATO address through the U.S. or NATO member nation postal service.

**Automated Information Systems (AIS).** Systems must be accredited specifically to handle NATO classified information. Organizations with AIS systems accredited for handling NATO classified information must issue instructions for processing, handling and accounting for NATO classified information. Be sure you receive a copy of those instructions and apply them.

**Destruction.** The destruction of CTS, CTSA, NS, NSA, and NCA material will be accomplished only by registry system personnel using a destruction certificate and a method approved for the destruction of U.S. material of the same level of classification. NATO RESTRICTED and NATO CONFIDENTIAL shall be destroyed by any means authorized for U.S. CONFIDENTIAL material.

**Reproduction.** COSMIC documents shall be reproduced by the Central US Registry and COSMIC Subregistries which must report the number of copies made to the CUSR. Reproduction of ATOMAL (CTSA, NSA and NCA) shall be made only by the CUSR, ATOMAL Subregistries and ATOMAL Control Points. Reproduction of NATO Secret and below may be produced by the addressee under strict need-to-know principle and provided that the originator has not restricted reproduction. Reproduced copies shall be accounted for and safeguarded in the same manner as the original.

## SECURITY VIOLATIONS AND POSSIBLE

### LOSS/COMPROMISE OF NATO CLASSIFIED MATERIAL

**General.** NATO guidelines are very similar to those used for U.S. material. However, the servicing subregistry or control point must be informed of the incident, in addition to the responsible security or counterintelligence officials.

**Procedures.** If you find NATO material unsecured and unattended, immediately contact your security officer or registry system official. Stay with the material and wait for the security officer or registry official to arrive. Do not disturb the area or material. Do not allow anyone else to disturb the area or allow unauthorized personnel to have access to the material.

If it is necessary that you leave the area before your security officer or registry system official can assume custody, place the material in a security container and lock the container. If the container is already locked, and you are not authorized access, or there is no container, take the material directly to an appropriately cleared security or registry system official, explain the circumstances, and obtain a receipt for the material.

**Espionage, Sabotage, Terrorism, and Deliberate Compromise.** Information concerning a deliberate compromise of NATO/ATOMAL material, attempted or actual espionage directed against NATO/ATOMAL information, or actual or planned terrorist or sabotage activity against facilities or users of NATO classified material, shall be reported promptly to your security officer or to your agency's counterintelligence officer or the Federal Bureau of Investigation. The following are typical reportable situations:

1. Attempts by unauthorized persons to obtain classified information concerning NATO or U.S. facilities, activities, personnel, or material through questioning, elicitation, bribery, threats, or coercion, either by direct or indirect contacts or correspondence.
2. Attempts by unauthorized persons to obtain classified information through photographing, wiretapping, eavesdropping, observation, or by any other means.
3. Attempts by persons with known, suspected, or possible foreign intelligence backgrounds, associations, or activities to establish a friendship or a social or business relationship, or to place you under obligation through special treatment, favors, gifts, money, or other means.

4. Information concerning terrorist plans and activities posing a direct threat to U.S. or NATO facilities, activities, personnel or material.

5. Known or suspected acts or plots to harm or destroy U.S. or NATO property by sabotage.

Anyone with access to NATO classified information could be a potential target. If you become aware of activities such as those as described above, or someone approaches you directly to engage in such activities, remember the following:

1. **STAY CALM.** You are not at fault because they chose to target you.
2. **BE NONCOMMITTAL.** Be ambiguous as to whether or not you will provide them with material or information.
3. **REPORT IT PROMPTLY.** Even if it seems purely coincidental or insignificant, a small detail may be the key to identifying and countering espionage or sabotage or a terrorist act. Do not discuss the incident with friends, family, co-workers, etc., unless directed to by your security officer or counterintelligence representative.
4. **IT IS NEVER TOO LATE!** If you have provided material or information to an unauthorized recipient, **REPORT IT.**

## **FOREIGN TRAVEL**

Your personal travel will not be limited based solely on the fact that you have access to NATO classified information. There are, however, risks involved in travel to certain countries. Check with your security officer for advice and assistance. If you choose to travel to high-risk countries, you are required to coordinate with your leave/travel order granting authority and security office and obtain a travel security briefing. Upon your return, you should report any incident that may have been an attempt to collect sensitive information.

## **WHERE DO I GO FOR MORE HELP?**

If problems or specific questions arise concerning NATO classified information, your security officer and subregistry/control point can assist you. Further information is also available to users in .mil and .gov domains on the Central U.S. Registry website.

NIPRNET website is <https://secureweb.hqda.pentagon.mil/cusr>

SIPRNET website is <http://classweb.hqda-s.army.smil.mil/cusr>.