OUTLINE SHEET 1.1

Command Security Program

REFERENCES

EO 12958, As Amended, Classified National Security Information (NSI)
EO 12968, Access to Classified Information
EO 10450, Security Requirements for Government Employees
EO 12829, National Industrial Security Program
DOD 5200.1-R, DOD Information Security Program
DOD 5200.2-R, DOD Personnel Security Program Regulation
SECNAVINST 5510.36A, DON Information Security Program (ISP) Instruction
SECNAV M-5510.36, DON Information Security Program (ISP) Manual, Chapters 1 and 2
SECNAVINST 5510.30B, DON Personnel Security Program (PSP) Instruction
SECNAV M-5510.30, DON Personnel Security Program (PSP) Manual, Chapters 1, 2 and Appendix C
OPNAVINST 5530.14E, Navy Physical Security and Law Enforcement
MCO P-5530.14, Marine Corps Physical Security Program Manual

OUTLINE

A. National Security Organization (ISP 1-1 thru 1-5, PSP 1-1 thru 1-3)

1. Presidential Executive Orders (EOs) – 12958, As Amended, 12968 and 10450 set standards for classifying information and granting access to classified information; 12829 sets standards for safeguarding classified information released to industry

2. Structure operates at different levels: President; National Security Council; Department of Defense; Department of the Navy; and individual USN/USMC commands

3. DON level (Director, Naval Criminal Investigative Service) – Responsible to SECNAV for effective program compliance and implementation; Guidance issued under CNO (N09N2); Responsible for maintaining a world wide web page at www.navysecurity.navy.mil for policy guidance; CMC (PP&O) provides USMC specific guidance

B. Command Security Management

1. Controlling regulations for the DON's Information and Personnel Security Program are SECNAV M-5510.36 and SECNAV M-5510.30 respectively **(ISP 1-1, PSP 1-1)**

2. CO's responsibilities **(ISP 2-1, PSP 1-5 and 2-2)**

   a. Safeguard classified information and ensure personnel security oversight through an effective Program (COs can impose more stringent requirements than SECNAV M-5510.36 and 5510.30 if the situation warrants and if they do not impact other commands nor contradict the ISP and PSP)

   b. Designate Security Manager (designation letter) and other key personnel and assistants in writing

   c. Provide a security education, training and awareness program for all assigned personnel

   d. Issue written command security instruction and emergency plans

   e. Conduct command self inspections and review/inspect subordinate commands for program effectiveness

   f. Set up an Industrial Security Program when command engages in classified procurement and or cleared DOD contractors operate within areas under their direct control

g. Apply risk management, as appropriate, for safeguarding of classified information, including use of personal electronic devices in areas where classified information is processed or stored

h. Ensure Security Manager receives formal training (Naval Security Manager Course (S-3C-0001)) and other security personnel receive training, as required, to support command security education program

i. Ensure implementation and required use of the Joint Personnel Adjudication System (JPAS)

j. Ensure Security Manager has direct access

(1) Navy SORM recommends Security Manager report to CO for functional security matters and to the XO for administrative matters

(2) Marine Corps Warfighting Pub 3-40.1 stipulates that the Security Manager report directly to the Chief of Staff or XO

k. Ensure performance rating systems of all DON military and civilian personnel whose duties significantly involve the creation, handling, or management of classified information include a critical security element on which to be evaluated

3. Components that make up a command security program:

- Security organization
- Procedures, practices, techniques
- Education
- Controls
- Information security measures
- Transmission
- Inspections
- Continuous evaluation

- Personnel security

C. Security Manager (ISP 2-2, PSP 2-3 and 2-4)

1. Submit copy of designation letter to CNO (N09N2). Preferred method, scan letter and send to cno_n09n2_24e@navy.mil with UIC/RUC and return email. (USMC send via HQMC (CMC(PP&O))

2. Identify to all members of command on organization charts, telephone listings, rosters, etc.

3. Obtain formal training

4. Following is a list of Security Manager duties (not all duties apply to every Security Manager):

   a. Advise CO

   b. Develop written command security procedures and Emergency Plan(s)

   c. Manage command security education program

   d. Coordinate with other security personnel (e.g., Security Officer, Information Assurance Manager, Public Affairs Officer)

   e. Deal with threats, compromises, and violations, to include those involving IT systems (coordinate with IAM on after-incident responses involving classified information processed on IT systems)

   f. Manage command information security program to include:

      - Accounting and control measures
      - Classification management/Marking
      - Safeguarding and storage
      - Release of classified information
      - Coordinating access for visitors, if authorized

g. Manage the Joint Clearance and Access Verification System (JCAVS) (a subset up the Joint Personnel Adjudication System (JPAS)), ensuring personnel security investigations, clearances and access are properly documented in JCAVS

h. Manage other requirements of the personnel security program to include:

- Ensuring personnel are appropriately cleared prior to being assigned access
- Assigning access based on need-to-know
- Requesting personnel security investigations (PSIs), when required
- Coordinating command's continuous evaluation program
- Verifying clearance/access for visitors who require access

D. Security Organization (PSP 2-5 to 2-9, ISP 2-3 to 2-9)

1. Needs directed by command size and complexity

2. Personnel in the following positions (collateral or full-time) work *for* the Security Manager:

- Top Secret Control Officer (TSCO)
- Assistant Security Manager
- Security Assistants and/or Clerks
- Contracting Officer's Representative (COR)

3. Personnel in the following positions (collateral or full-time) may either work *with* or *for* the Security Manager:

- Security Officer
- Information Assurance Manager (IAM)
- Operations Security (OPSEC) Officer
- Electronic Key Management System (EKMS) Manager (In performance of EKMS duties – works directly for CO)
- Special Security Officer (SSO)

4. Security position requirements (see figure 1.1-1)

SECURITY POSITION REQUIREMENTS

POSITION	MINIMUM GRADE		CIT	PSI	CLEARANCE	WRITTEN DESIG
	MILITARY	CIVILIAN				
SECURITY MANAGER	OFFICER	GS-11+	U.S. citizen	*SSBI*	= ACCESS	YES
TSCO	E-7	GS-7+		*SSBI*	FINAL TS	
IAM				*SSBI*	= ACCESS	
SSO*	OFFICER	GS-9+		*SSBI*	FINAL TS	
COR					= ACCESS	
SECURITY ASSTS						
ASST SEC MGR	E-6	GS-6+		**	= ACCESS	
TS CONTROL ASST	E-5	GS-5+		*SSBI*	FINAL TS	
SECURITY CLERK					= ACCESS	NO

**** SECURITY MANAGER MAY ALSO BE SSO (SSO NAVY MUST APPROVE)***

***** ASST SEC MGR – SSBI REQUIRED IF DESIGNATED TO GRANT TEMPORARY ACCESS (INTERIM CLERANCE)***

+ FOR CIVILIAN POSITIONS SEE 5 CFR 300.605(B) FOR EQUIVALENT NSPS (NATIONAL SECURITY PERSONNEL SYSTEM) GS CONVERSION

Figure 1.1-1. Security position requirements.

E. Command Security Instruction (ISP Exhibit 2A, PSP Appendix C)

1. Form and content depend on command mission, demographic considerations, and classified information held

2. CO should sign

3. Elements of written procedures, required of each command that handles classified information (see figure 1.1-2)

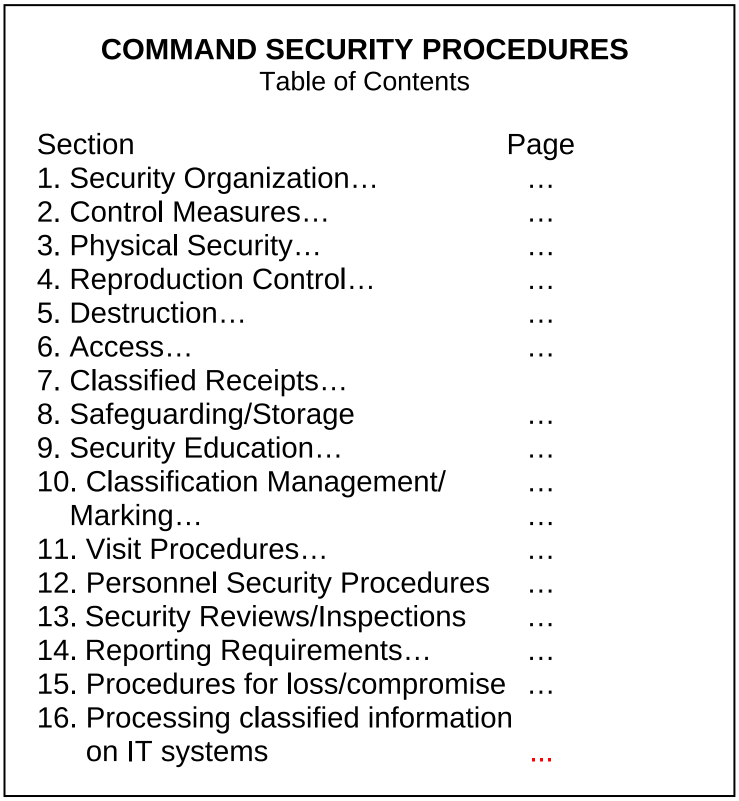

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Figure 1.1-2. Command Written Procedures.

4. Points to remember in writing security procedures (ISP, Exhibit 2A and PSP, Appendix C provide guidance):

a. Command procedures *supplement* (don’t repeat) ISP and PSP. Avoid general statements - Be specific as to what is to be done and who is to do it

b. Include, when appropriate: Controls on special types of classified and controlled unclassified information (CUI); Processing classified information on IT systems and any Security Servicing Agreements (SSAs)

F. Emergency Plans (ISP Exhibit 2B, Part One and Two)

1. Commands that handle classified information must develop an Emergency Plan to protect the information in the event of a natural disaster or civil disturbance **(Part One)**

2. Deployable commands and commands located outside the U.S. and its territories must also include an Emergency Destruction Supplement **(Part Two**) (The requirements for this will be covered in the Lesson Topic 5.2, Destruction)

3. Variables to consider:

   - Command's risk posture
   - Local situation (e.g., command mission, capabilities, and environmental, political, and physical conditions)
   - Classified holdings: (e.g., amount; disposition and sensitivity; command/control considerations; and impact of any)

4. Factors to include:

   - Designate persons authorized to implement
   - Use of security personnel and equipment
   - Coordination with other commands/agencies
   - Means to transport classified material
   - Assessment of integrity of classified information after the emergency

5. Accommodate most sensitive material first

6. Critical aspects: Minimize risk to personnel and ensure access not denied to uncleared fire and emergency personnel

7. Ensure personnel are trained on the Emergency Plan

G. Security Servicing Agreements (SSAs) (ISP 2-10, PSP 2-11)

1. One activity performs specified security functions for another when a command is not set

up to perform certain security functions, or when it is more economical

2. Typical situations: Host-tenant, senior-subordinate, contractor located on Navy/Marine Corps installation, inter-service agreement, or when one command has greater capability or is tasked by its common support mission

3. Conditions

   - Clearly define functions to be accomplished
   - Include in command security procedures
   - Include procedure to notify command CO on command security matters

H. Combat Operations (ISP 1-5, PSP 1-9)

Commanding officers may modify the safeguarding requirements of this Manual (ISP or PSP) as necessary to meet local conditions during combat or combat-related operations. Even under these circumstances, the provisions of this Manual (ISP or PSP) shall be followed as closely as possible. This exception does not apply to regularly scheduled training exercises and operations.

I. Waivers and Exceptions (ISP 1-5, PSP 1-10)

1. Waivers or exceptions can be given to certain aspects of the regulations when circumstances warrant. Possible waivers or exceptions:

   - TSCO grade requirements
   - Classified storage requirements
   - Completed SSBI for Security Manager (however, waiver of grade requirements rarely granted)
   - Portion marking requirements

2. Definition:

   a. *Waiver* – Granted to provide temporary relief from a specific requirement pending completion of action

   b. *Exception* – Granted to accommodate a long term or permanent inability to meet a specific requirement

3. Submit requests, via admin chain of command to CNO (N09N2), when conditions exist that prevent compliance with a specific standard or cost of compliance exceeds available resources (USMC include CMC (PP&O) as last via address on request)

   If request is for a requirement set by the PSP (e.g., an administrative issue) – Submit waiver in letter format stating why requirement cannot be met and alternative procedures or protection to be provided.

   (See example on Student CD for Security Manager to perform duties while SSBI is processing)

4. If request is for a requirement set by the ISP (e.g., a physical security/equipment issue) - Submit waiver or exception request as follows:

   Each request requires an identifier –
   Examples:

N01234-W(I)-01-09	M24467-E(I)-02-09
N = Navy	*M* = Marine
01234 = UIC	*24467* = RUC
W = Waiver	*E* = Exception
(I) = Information Security	
01	*02* = Number of waiver/exception requests for CY
09 = Calendar year (CY)	

   - Include a complete description of problem and describe compensatory procedures, as appropriate, and POC information (name, rank/grade, DSN and commercial phone numbers). (For waiver requests include a Plan of Action and Milestones on when command plans on having issue fixed that waiver is being requested for to include start and completion dates)

   NOTE: Waivers and exceptions are self-cancelling at the end of the specified period, unless a renewal request is approved by CNO (N09N2)

J. Security Inspection and Reviews (ISP 2-11, PSP 2-10)

1. Important part of command security programs

2. Includes review/inspection of subordinate units and self-inspections

3. CO’s are responsible for evaluating and documenting the overall security posture of the command and subordinate commands by conducting inspections, assist visits, and reviews. (May be conducted during other scheduled inspections with the results identified as such)

4. Self-inspections are an important technique to:

   - Identify and resolve possible security weaknesses
   - Train personnel in security functions
   - Identify future security programs and resource requirements

5. Exhibit 2C (ISP) and Appendix D (PSP) are comprehensive self-inspection checklist guides

K. Echelon I and II Commands (CNO ltr 5510, ser N09N2/9U223112 of 7 May 09, Interim Policy Changes, Reminders and Clarifying Guidance to SECNAV M-5510.36)

1. Submit results of command reviews (i.e., assist visits, program reviews of specific focus area(s), or self inspection) to CNO (N09N2) NLT 30 working days after the end of each fiscal year.

2. Reports will include the following:
   (see CNO ltr 5510 ser N09N2/9U223112 of 7 May 09 for details):

   - Total number of inspections conducted (including subordinate commands)
   - Significant trends (positive and negative)
   - Corrective action(s) and anticipated completion, if significant weaknesses identified

- Challenges (i.e., policy constraints, resource issues, etc.)
- Total number of security violations (i.e., PIs/JAGMANs to include total resulting from Electronic Spillages)
- Results of random sampling of originally (if applicable) and derivatively classified (if commands have significant (100 or more)classification activity (See CNO ltr for required reporting form)
- Confirm that specialized training (as required by ISP 3-3.1.a–d)
- Confirm required review and update/cancellation Security Classification Guides (OCAs) only

L. Security Standdown (Not a SECNAV requirement but has been proved to enhance command security awareness)

1. A means to do an intensive review of all aspects of a command security program; done on a periodic basis or one-time

2. Can include:

   - Total or partial security self-inspections
   - Review adequacy of command security procedures
   - Clean-out of non-mission essential classified information
   - Inventory of accountable Top Secret information
   - Security briefings and training