

*USAREUR Regulation 380-15

Security

Safeguarding Classified NATO Information

30 November 1999

*This regulation supersedes USAREUR Regulation 380-15, 2 July 1991.

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Summary. This regulation provides--

- Procedures for handling classified NATO information in USAREUR.
- Guidance on other aspects of NATO information security.

Applicability. This regulation applies to USAREUR NATO subregistries and control points and to USAREUR organizations that receive NATO material.

Supplementation. Commanders will not supplement this regulation without CG, USAREUR/7A (AEAGB-CI-S), approval.

Forms. This regulation prescribes AE Form 380-15A-R (Verification of ATOMAL Inventory and Report) and AE Form 380-15B-R (Verification of Semiannual and/or Annual COSMIC Inventory). Only -R forms may be reproduced locally on 8½- by 11-inch paper through the servicing forms management office. Other forms will not be reproduced; they will be ordered by the unit or organization publications officer from the United States Army Publications and Distribution Center, Europe, or as stated in the prescribing directive.

Suggested Improvements. The proponent of this regulation is the Office of the Deputy Chief of Staff, Intelligence, HQ USAREUR/7A (AEAGB-CI-S, 370-7088/7574). Users may send suggestions to improve this regulation on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, USAREUR/7A, ATTN: AEAGB-CI-S, Unit 29351, APO AE 09014.

Distribution. This regulation is available only in the Electronic Library of USAREUR Publications and AE Forms.

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1. PURPOSE

This regulation--

a. Provides guidance on--

- (1) Receiving, controlling, transmitting, storing, reproducing, and destroying classified NATO information.
- (2) NATO personnel-security procedures.
- (3) NATO security briefings.
- (4) Emergency removal and destruction (ERD) planning.
- (5) Reporting and investigating procedures when classified NATO material is compromised.

b. Shows the control of NATO subregistries and control points exercised by the CG, USAREUR/7A (AEAGB-CI-S).

2. REFERENCES

- a. AR 15-6, Procedures for Investigating Officers and Boards of Officers.
- b. AR 380-5 and US 1, Department of the Army Information Security Program.
- c. AR 380-10, Technology Transfer, Disclosure of Information and Contacts with Foreign Representatives.
- d. AR 380-15, (C) Safeguarding Classified NATO Information (U).

3. EXPLANATION OF ABBREVIATIONS AND TERMS

a. **Abbreviations.** The alphabetical glossary on the left side of the screen defines abbreviations.

b. Terms.

ATOMAL

The NATO classification given to--

a. U.S. Restricted Data or Formerly Restricted Data.

b. United Kingdom atomic nuclear-energy information released to NATO. (United Kingdom atomic nuclear-energy information should not be confused with NATO Restricted information.)

COSMIC

The NATO classification for Top Secret information.

information releasable to NATO

U.S. information that may be released to NATO as NATO information. When a U.S. document is produced, a determination is made as to whether or not the document may be released to NATO. Copies of the document that are released to NATO will be marked as NATO documents. Copies that stay in U.S. channels will be marked "NATO Releasable".

NATO information

Classified or unclassified information generated by NATO-member countries and releasable to other NATO-member countries as NATO information, except for information released in bilateral exchanges between countries. (AR 380-5 provides information on handling information exchanged bilaterally.)

NATO Restricted information

Information with the fourth and lowest classification used by NATO. This classification is equal to the U.S. caveat "For Official Use Only"; information with this classification will be safeguarded and handled as such. NATO Restricted information may be stored in key-locked file cabinets or desks. No security clearance is required for access to NATO Restricted information.

U.S. documents containing NATO information

U.S. documents may include extracts from NATO documents. USAREUR policy (to which there are no exceptions) is that these extracts may not be more than 30 percent of the newly created document. Including NATO extracts in U.S. documents will be done sparingly and judiciously.

4. RESPONSIBILITIES

a. The Office of the Deputy Chief of Staff, Intelligence (ODCSINT), HQ USAREUR/7A, will--

(1) Conduct staff evaluations of NATO subregistries and control points during scheduled oversight-evaluation visits.

(2) Schedule and conduct staff-assistance visits (SAVs) when organizations submit written requests for SAVs.

(3) Coordinate and conduct unannounced staff evaluations of organizations that have acute, systemic problems revealed through HQDA staff evaluations.

(4) Review the categories in (a) through (h) below during SAVs and unannounced staff evaluations ((2) and (3) above to ensure the organization meets applicable standards and requirements for safeguarding classified NATO information. Appendix A provides the format for evaluation checklists.

(a) Physical security.

(b) Administration.

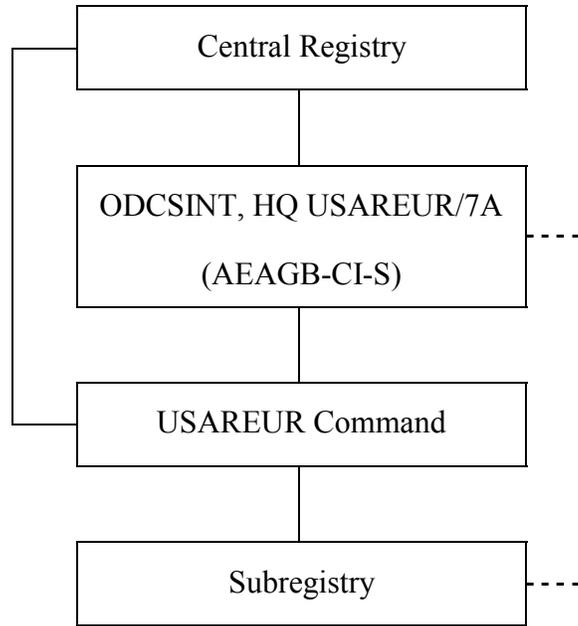
(c) Personnel security.

(d) Storage.

(e) Accountability.

- (f) Emergency planning.
- (g) Security awareness.
- (h) Telecommunications.

b. Commanders of USAREUR commands (UR 10-5, app A) are the proprietors of NATO subregistries and their subordinate control points. However, the USAREUR NATO Security Manager (AEAGB-CI-S, 370-7088/7574) directs and manages policy guidance and interpretations of NATO security matters. The NATO Security Program Structure (fig 1) describes direct reporting and coordination of program responsibilities.



———— Direct reporting chain for program responsibilities

----- Coordination between staff elements concerning local and HQDA policy and procedures

Figure 1. NATO Security Program Structure

c. Chiefs of NATO subregistries will--

- (1) Provide guidance on NATO security matters to their control points.
- (2) Conduct and document annual evaluations of their control points using the format in appendix A. These evaluations will be integrated with the command-inspection program of the respective organization as much as possible.
- (3) Ensure an individual in the rank of sergeant first class, grade GS-7, or higher is appointed as Top Secret control officer (TSCO). Staff sergeants may serve as TSCOs with a waiver from the Security Countermeasures Branch, ODCSINT.

d. NATO classified-material control officers, NATO classified-material custodians, and NATO subregistry and control-point personnel will enforce AR 380-15 and this regulation. The USAREUR NATO Security Manager (b above) and chiefs of NATO subregistries (c above) will provide assistance in interpreting these regulations.

e. Security managers will--

(1) Monitor the operation of their NATO subregistries and control points.

(2) Conduct staff evaluations of NATO subregistries and control points yearly and document evaluations using the format in appendix A.

(3) Assess storage-capability adequacy before granting authorization for establishing control points.

5. ACCOUNTABILITY

a. COSMIC Top Secret (CTS), NATO Secret ATOMAL, and NATO Confidential ATOMAL documents are subject to continuous and administrative accountability (CAA) using--

(1) DA Form 969 (Top Secret Document Record) (app B). This form will be used as a disclosure record for CTS and COSMIC Top Secret ATOMAL (CTSA) documents. This form must include the full signature of individuals accessing the CTS and CTSA documents.

(2) DA Form 3964 (Classified Document Accountability Record) (app C).

b. Chiefs of NATO subregistries and control points will maintain a four-book and log-accountability system as follows:

(1) Four Books.

(a) Book one contains "active" receipts for documents held by the control point (including those held under temporary receipt by control-point subcustodians (NATO subregistries may use this if subhandreceiving is applicable)).

(b) Book two is a "receipt" log (a DA Form 3964 showing accountable material that has been transferred out of the account (signed receipt copies transfer accountability)).

(c) Book three is a "destruction" log (a DA Form 3964 showing accountable material that has been properly destroyed).

(d) Book four is the "inactive" log (a DA Form 3964 showing accountable material that has been destroyed or permanently transferred out).

(2) Log. The log is a record of NATO documents controlled by using DA Form 455 (Mail and Document Register) or a computerized list to record--

(a) NATO document history (changes, transmittals, destruction).

(b) NATO documents that have been worked with during the calendar year (CY). The log will be discontinued at the end of the CY. Discontinued logs will be kept for 2 years. Active documents ((1)(a) above) will be included in the new log but will keep their original control numbers.

c. NATO Secret (NS) messages and other documents received during an exercise will be--

(1) Identified clearly as exercise material.

(2) Stored separately from other NATO material.

(3) Reviewed for retention after an exercise is completed.

(4) Accounted for as in b above if kept 30 days after an exercise.

d. COSMIC or ATOMAL exercise documents will be--

- (1) Separated from other NATO and U.S. exercise documents when kept for less than 30 days.
- (2) Controlled and separated from other NATO and U.S. classified documents when kept for 30 days or longer.

e. NATO classified material that comes to USAREUR through the Heidelberg Telecommunications Center will not be delivered to HQ USAREUR/7A staff offices. This material will be delivered to the HQ USAREUR/7A NATO subregistry for accountability purposes. The HQ USAREUR/7A NATO subregistry will then notify the appropriate HQ USAREUR/7A staff office to arrange for delivery.

6. INVENTORIES

a. NATO subregistry chiefs will--

- (1) Inventory COSMIC and ATOMAL documents every 6 months on or about 1 January and 1 July.
- (2) Ensure incoming and outgoing TSCOs conduct a 100-percent joint inventory of NATO documents if the outgoing TSCO gives up the position or is absent for 30 days or longer. This inventory will be documented, endorsed, and filed until superseded.
- (3) Send a memorandum (app D) to COSMIC and ATOMAL control points on or about 15 December and 15 June that lists COSMIC and ATOMAL documents held and instructions for inventorying these documents.
- (4) Consolidate endorsed COSMIC and ATOMAL inventory reports received from control points (b below). Discrepancies will be reconciled before the reports are sent to the Central United States Registry, Room 1B889, Pentagon, Washington, DC 20130-3072.
- (5) Ensure that CTS and ATOMAL control point reports are not submitted to the Central United States Registry (CUSR).

b. Control-point chiefs will respond to the memorandum ((3) above) with an endorsement no more than 15 days after receiving the memorandum.

c. Custodians will inventory NS material held by NATO subregistries and control points once a year on or about 1 January. Security managers will verify inventories for completeness.

d. NATO subregistry or control-point custodians will "sight inventory" (look at) NS material held by noncontrol points every 90 days.

7. TRANSMITTAL

a. NATO Restricted (NR) documents must be transmitted by Army post office (APO) first class mail with single wrapping and "Return to sender if undeliverable" noted on the envelope. NR documents will not be sent through distribution channels in "shotgun" envelopes. Only sealed enclosures (such as opaque envelopes) are authorized.

b. NS documents will be transferred between NATO subregistries and control points by APO registered mail or by a courier cleared to have access to NATO information.

(1) Senders will--

- (a) Attach the original and one copy of DA Form 3964 to each document.
- (b) Keep one copy of DA Form 3964 in a suspense file.
- (c) Initiate a tracer if document receipt is not acknowledged within 30 days.
- (d) Keep one original copy of DA Form 3964 as the control-log copy.

(2) The receiving custodian will--

(a) Sign and return the original DA Form 3964 to the sender.

(b) Place one copy in an active file and staple one copy to the document.

(c) Report the loss of a document immediately to the U.S. Postal Service if there is no response to the tracer within 30 days or if the response indicates that the document was not received (para 13).

c. The Defense Courier Service or a properly cleared and designated courier is the only courier authorized to transmit COSMIC and ATOMAL documents. Security managers or NATO subregistry chiefs are authorized to designate couriers.

d. U.S. NATO subregistries may transmit U.S. classified documents to NATO provided that--

(1) The documents are releasable to NATO according to AR 380-10.

(2) Document originators comply with United States Security Authority for NATO Affairs (USSA) Instruction 1-69 of AR 380-15 when applying security markings, receipting, wrapping, safeguarding, and transmitting the documents.

(3) The NATO subregistry has a Department of the Army Adjutant General (DAAG) Form 29 (Subregistry/Control Point Signature List) from each intended receiver or verification that the receiver is authorized access to NATO information.

NOTE: DAAG Form 29 is a CUSR form that may be obtained from NATO subregistries.

(4) The material is sent through--

(a) U.S. postal channels and is delivered by U.S. personnel directly to the NATO addressee. When material is sent through U.S. postal channels, senders will--

1. Ensure that the U.S. element has personnel with appropriate security clearances and NATO-access authorization when NATO subregistries request that the U.S. element send classified documents to NATO. The material may be passed to the NATO addressee after the outer wrapping is removed.

2. Address the inner wrapping to the appropriate NATO organization and the outer wrapping to the U.S. activity receiving the package.

3. Ensure that the material does not enter international or foreign-country postal systems.

(b) Other collocated U.S. Government or military elements that will pass the material to a NATO addressee.

(c) U.S. NATO or Supreme Headquarters Allied Powers Europe (SHAPE) liaison elements (for example, U.S. mission to NATO, U.S. delegation to NATO, national military representative to SHAPE). A transmittal letter must accompany the document.

NOTE: NATO documents will not be hand-carried aboard commercial passenger aircraft unless approved in writing by a HQ USAREUR/7A staff principal or a commander (or single designee) listed in table 1-1 of US 1 to AR 380-5. Personnel charged with these duties will be thoroughly briefed by their respective security managers and will be granted the appropriate courier certificate provided in AR 380-15, enclosure 2, attachment 3, section III. This courier certificate authorizes the hand-carry of NATO documents. The courier must always carry this certificate when transporting these documents. COSMIC Top Secret documents will not be transported across international boundaries.

8. STORAGE

NATO classified documents will be stored in one of the following:

a. Vaults or containers approved by the General Services Administration (GSA).

(1) COSMIC and CTSA documents will be stored in GSA-approved containers located inside a vault, a strongroom, or a clearly defined perimeter to which unauthorized personnel are prohibited from gaining access.

(2) Security managers will inspect and approve security containers and vaults before they are used for storing NATO classified documents.

b. Open storage. A request to have classified material stored in this environment should adhere stringently to AR 380-5, paragraphs 5-100.1 and 5-102a and b; and US 1. There will be no exceptions to these standards.

c. A separate security container or a drawer of a container separate from unclassified U.S. material. NATO documents also may be stored in a separate section of a drawer labeled "NATO" if other storage methods are not possible.

(1) Only personnel authorized access to NATO information may have access to security containers holding NATO information.

(2) ATOMAL documents, records pertaining to ATOMAL documents, and receipts for ATOMAL documents will be filed separately from NATO and U.S. material.

NOTE: CTS and ATOMAL documents normally will be stored and used at NATO subregistries or control points. A control-point custodian will notify the parent subregistry before storage relocations and transfers of NATO documents.

9. DESTRUCTION

Custodians will--

a. Destroy CTS, NS, and ATOMAL material according to AR 380-5.

b. Record classified-material destruction on DA Form 3964.

c. Use DA Form 3964, with section C completed, as a destruction certificate. The destruction certificate will be given a new number and must be filed by serial number for each year.

d. Ensure that the DA Form 3964 is signed as follows:

(1) The person authorized to approve destruction of a particular document will sign the signature block next to the "Printed Name of Custodian or Rep" or "Printed Name of Certifying/Dest Off" block.

(2) The witness to the destruction will sign the signature block next to the "Printed Name of Witnessing Official" block.

e. Do one of the following when partial documents (for example, superseded pages) are destroyed:

(1) Annotate the destroyed pages on DA Form 3964.

(2) Attach a copy of the document's changed pages to the DA Form 3964 and make the following notation on the form: "Superseded pages, as noted on the attached change pages, were destroyed."

f. Ensure that the destruction certificate for COSMIC and ATOMAL material is kept for 10 years.

g. Ensure that the destruction certificate for NS material is kept for 2 years.

10. REPRODUCTION

a. NATO subregistry and control-point chiefs will ensure--

(1) Only cleared and designated personnel reproduce NATO classified documents.

(2) Classified-reproduction requests are reviewed to minimize reproduction.

(3) Specific rules for reproduction of classified information are posted on or near designated equipment.

(4) Designated equipment is located in a secure, controlled area not accessible by unauthorized personnel.

(5) Two persons are involved in the reproduction process, when possible, to help control and safeguard copies.

(6) Reports of CTS reproduction are sent to the USAREUR NATO Security Manager, ATTN: AEAGB-CI-S (370-7088/7574).

b. Requests for reproduction of COSMIC Top Secret documents must be--

(1) Approved by the chief of the NATO subregistry or the chief's designated representative.

(2) Supported by strong justification.

c. The TSCO must--

(1) Review reproduction requests before granting approval.

(2) Sign the DA Form 3964 in section D and enter the number of copies to be made.

d. Heads of individual Army activities having classified-reproduction facilities will ensure--

(1) Authorized officials are designated in writing by position title to reproduce NATO classified material.

(2) Only properly cleared and NATO-briefed personnel are authorized to reproduce material.

(3) Reproduction of NATO classified material is kept to a minimum.

(4) Reproduction authorities in (1) above annotate DA Form 3964, section D, to indicate reproduction approval. This form will be kept on file for 2 years as a source of record.

11. PERSONNEL SECURITY

a. Before being granted access to NATO classified material, personnel must have final clearance for the equivalent U.S.-classification level.

(1) NATO access will not be granted to personnel with an interim clearance.

(2) Personnel will be briefed with USSA Instruction 1-69, enclosure 2, attachment 3, section VI (AR 380-15), before being granted NATO access. Briefings will be recorded on DA Form 2543 (Briefing/Rebriefing/Debriefing Certificate).

(3) Personnel receiving ATOMAL access will be rebriefed yearly on or about the date of their initial briefing.

(4) Personnel will be debriefed when leaving an assignment that required NATO access, when access is withdrawn, or when an individual no longer has a need to know. Debriefings will be recorded on DA Form 2543, which will be filed in an inactive file for 1 year.

b. Each NATO subregistry will send a copy of each DAAG Form 29 to the CUSR. Each control point will submit a copy of each DAAG Form 29 to its respective subregistry.

c. Security managers will include information on NATO security procedures in their annual briefings. This information will emphasize the differences between NATO classified and U.S. classified material.

12. ERD

ERD planning is critical and will include the following procedures to ensure NATO material is protected:

a. NATO material will be clearly identified and marked to show the ERD order. Placing numbered tabs on folders by classification or priority order is the recommended and easiest way to identify material (AR 380-5, para 5-203e).

b. ERD plans will include methods and sites for ERD. Resources will be identified (for example, who will remove the material; which dumpsters, incinerators, or shredders will be used).

c. Provisions at the removal site provide for transportation, security containers, and armed guards.

d. ERD team rosters and assignments are current.

e. ERD plans are established and rehearsed every 6 months to ensure personnel are aware of their ERD tasks. Rehearsals and exercises will be documented, and the documentation will be kept on file.

13. LOSS OR COMPROMISE

a. US 1 to AR 380-5, paragraph 6-100.1, provides guidance on reporting and investigating the loss or compromise of NATO classified information.

(1) Losses and compromises will be reported immediately on discovery to the USAREUR NATO Security Manager by telephone (370-7088/7574) or by message (CDRUSAREUR HEIDELBERG GE//AEAGB-CI-S//). The USAREUR NATO Security Manager will report the incident by message to the CUSR for review and action.

(a) Immediate reporting is crucial to U.S. and allied security in order to enhance the possibilities of recovering the documents or material. Lengthy delays are inexcusable.

(b) In many cases, subsequent investigations governed by AR 15-6 are warranted to determine the status or possible compromise of classified material. The suspense for completing investigations is 45 days. According to AR 15-6, if an investigation is directed, the department or agency head (or designated representative) must review the final report of the investigating officer's findings to ensure clarity and completeness.

(2) The investigating officer's findings and conclusion must be derived from the evidence presented and not from intuition or assumptions.

(3) If the remote possibility of compromise of NATO classified material is reported in the investigating officer's conclusion, the following evidence, separately or combined, must be presented:

(a) A signed, sworn statement with details on the location or disposition of the specific documents or material in question.

(b) Documentation (DA Form 3964) that provides the specific location or disposition of the documents or material in question.

(c) The actual document or material in question.

(4) Control-point personnel must notify parent subregistries after the initial report described in a(1) above is completed.

(5) Supplemental reports will be filed after completion of a preliminary investigation and an AR 15-6 investigation, if applicable. NATO subregistry and subordinate control-point personnel will ensure investigative reports are handled as quickly as possible to obtain conclusive results.

(6) The NATO subregistry chief or TSCO will refer failures to report security violations, losses, and compromises to the appropriate commander for administrative or disciplinary action.

(7) The NATO subregistry chief or TSCO will establish files concerning loss or compromise of NATO documents occurring in subordinate control points. Files on loss and compromise are valuable for certifying randomly traced documents during annual inspections of NATO subregistries and to justify keeping or removing control points.

b. Figure 2 is a sample report on a preliminary investigation of security violations involving NATO classified information. Reports must provide all the elements listed in a through e of the figure.

a. Purpose. To report the preliminary investigation of a security violation (and possible compromise) of NATO classified information at (enter place) on (enter date).

b. Facts. On (enter date) at (enter place), the following NATO (enter classification) documents were (enter what happened to documents (for example, found misplaced, unaccounted for)).

c. Discussion. Enter helpful facts, an assessment of damages, advantages and disadvantages of corrective actions, and any rationale that could affect the outcome of the case.

d. Conclusion. Enter who was responsible for the violation and describe the extent of the damages. Explain the extent of any compromises.

e. Recommendations. Discuss, for example, personnel actions, reprimands, and procedures for preventing the incident from happening again.

Figure 2. Sample Report on a Preliminary Investigation Into Security Violations of NATO Classified Information

14. INSTALLATION CLOSURES AND DEACTIVATIONS

Installation closures that result in the deactivation of NATO subregistries and subordinate control points must be handled with the highest degree of security. The following phases must be completed to ensure a successful transition:

a. Phase I: On notification of a confirmed deactivation date, the affected organization must send written notification and a request to the CUSR to delete the NATO subregistry from its roster.

b. Phase II: The gaining TSCO and the losing TSCO may complete the transfer of Secret CAA, Top Secret, CTS, and CTSA documents either by conducting a joint inventory or by the TSCO accepting reconciled document accountability records (DA Form 3964) verified by the losing organization security manager. Transfer will not be made without appropriate accountability records. If transfer of these documents is deemed unnecessary, they must be properly destroyed and the destruction entered on applicable accountability records.

c. Phase III: When actions are completed (the material is transferred or destroyed), the losing TSCO must reconcile, close, and send active registers to the gaining command.

d. Phase IV: Security personnel will deliver classified equipment to appropriate supply channels for shipment to the continental United States, if not required in country.

e. Phase V: Security personnel will deactivate, remove, and return intrusion-detection systems to the directorate of public works.

f. Phase VI: Security personnel will debrief personnel being separated and will properly annotate and file DA Form 2962 (Security Termination Statement).

g. Phase VII: Security personnel will inspect security containers to ensure that no classified material has been left inside or under the drawers. Security-container drawers must be removed to carry out this step.

h. Phase VIII: Personnel of the deactivating NATO subregistry will notify corresponding organizations that transmit classified material regularly to cancel mailing and to delete the subregistry from their distribution lists.

15. STAFF EVALUATIONS

During an SAV, the ODCSINT will prepare an informal report of NATO security findings in duplicate and present it to the commander or activity chief during the outbrief. The report will state deficiencies found and recommend corrective actions. Corrective actions should be taken immediately.

**APPENDIX A
COMMAND EVALUATION PROGRAM CHECKLIST FORMAT**

Checklists for evaluating USAREUR NATO subregistries and control points will be prepared using the format in figure A-1.

**PART I
GENERAL**

1. Organization and location:
2. Date of inspection:
3. Type of control point: COSMIC _____ATOMAL _____NATO Secret
4. Inspection POC (name and telephone number):
5. Date of last inspection:
6. Total number of documents present (including copies) with the following classifications:

COSMIC Top Secret ATOMAL _____ NATO Secret ATOMAL

NATO Confidential ATOMAL _____COSMIC Top Secret

NATO Secret

**PART II
ANNUAL EVALUATION GUIDE**

1. ADMINISTRATION

- a. Is a copy of last year's inspection report on file?
- b. Have previous discrepancies been corrected?
- c. Are copies of AR 380-15 and UR 380-15 on file or accessible electronically?
- d. Are control officers and alternates designated in writing?
- e. Has the most current Department of the Army Adjutant General (DAAG) Form 29 (Subregistry/Control Point Signature List) been given to the NATO subregistry?
- f. Does the DAAG Form 29 include the names of the control officer and alternates?
- g. Do control personnel know their reporting responsibilities if NATO classified material is compromised?
- h. Was a 100-percent joint inventory of NATO material conducted when a new control officer was assigned to the control point or NATO subregistry?
- i. Additional remarks.

2. PHYSICAL SECURITY

a. Installation Security.

- (1) Is the installation guarded? If there is a guard, describe type (for example, military police, security police).

(2) Perimeter:

(a) Fence.

(b) Wall.

(c) None.

b. Control-Point-Building Security.

(1) Construction:

(a) Masonry.

(b) Metal.

(c) Wood.

(2) Floors:

(a) Single.

(b) Multiple.

(3) Type of entry:

(a) Escort.

(b) Pass.

(c) Unrestricted.

(4) Windows:

(a) Alarmed.

(b) Barred.

(c) None.

(5) Guards:

(a) Type:

1. Internal.

2. External.

3. 24-hour military.

4. Civilian.

5. Allied.

(b) What are the guard-duty hours (hours of guard shift)?

(6) If there is a patrol, how often is the building patrolled?

- (a) Once a day.
- (b) Twice a day.
- (c) Other (explain).

(7) Perimeter:

- (a) Fence.
- (b) Wall.
- (c) Other (explain).

c. Control-Point Security.

(1) Door construction:

- (a) Metal.
- (b) Wood.

(2) Type of door lock:

- (a) Built-in combination.
- (b) Key.
- (c) Padlock.
- (d) None.

(3) Windows:

- (a) Protected.
- (b) Unprotected.
- (c) None.

(4) Access:

- (a) Controlled.
- (b) Uncontrolled.

(5) Alarm system:

- (a) Contact.
- (b) Motion.
- (c) Other.
- (d) None.

(6) Document storage:

- (a) Vault.
- (b) Security container.
- (c) Other.

d. Security Containers.

- (1) Are security areas and containers inspected at the end of each workday?
- (2) Are security-container combinations changed at least every 6 months or when personnel who have had access to the combinations depart?
- (3) Are the master and safe combinations and any keys stored in an emergency location specified in the emergency removal and destruction (ERD) plan and in duty-office instructions?
- (4) Are keys and combinations to security containers protected according to the classification level of the material safeguarded?
- (5) Is a current SF 700 (Security Container Information) attached to each security container?
- (6) Is a current SF 702 (Security Container Check Sheet) attached to each security container?
- (7) Are reversible OPEN/CLOSED signs used on every security container?
- (8) Are any security containers marked on the outside to show the classification of the contents? (Security containers should not be marked.)
- (9) Additional remarks.

3. EMERGENCY REMOVAL AND DESTRUCTION (ERD)

- a. Is there a written plan for the ERD of classified material?
- b. Is the ERD plan filed in the locked drawer of each security container and posted in open-storage areas?
- c. Does the ERD plan specify the priority for the evacuation or destruction, or both, of classified material?
- d. Does the ERD plan specify which material is to be evacuated to an emergency location?
- e. Have transportation requirements to evacuate classified material been coordinated with the supporting transportation company?
- f. Has the ERD plan been rehearsed in the past 6 months?
- g. Is a record of ERD rehearsals on file?
- h. Are control-point personnel familiar with the procedures in the ERD plan?
- i. Are the procedures in the ERD plan realistic and practical?
- j. Additional remarks.

4. PERSONNEL SECURITY

- a. Are personnel, regardless of their equivalent U.S. security clearance, briefed on NATO security procedures before they are given access to NATO classified information?

b. Is access restricted to personnel who have a need to know?

c. Are personnel with access to NATO classified information required to read the briefing guide in United States Security Authority for NATO Affairs Instruction 1-69, enclosure 2, attachment 3, section VI (AR 380-15), and sign DA Form 2543 (Briefing/Rebriefing/Debriefing Certificate)?

d. Are personnel with access to ATOMAL information rebriefed annually?

e. Does the control point have a system to ensure custodians of NATO Secret material outprocess through the control point before rotating to another assignment?

f. Are personnel debriefed before they leave the unit or when their access to classified material is no longer required?

g. Is DA Form 2543 filed for 1 year after access to NATO classified information is terminated?

h. Do personnel with access to COSMIC Top Secret material have a final U.S. Top Secret security clearance?

i. Are current lists of personnel with access to NATO classified information kept at each office where this information is stored and at the office that authorizes access?

j. Additional remarks.

5. SECURITY AWARENESS

a. Has a security manager been appointed for the unit or agency?

b. Has the unit or agency security manager inspected the control point in the last 12 months?

c. Has a record of the inspection been sent to the next higher headquarters?

d. Additional remarks.

6. COSMIC AND ATOMAL CONTROL

a. Is a continuous-receipt system used for COSMIC Top Secret and ATOMAL documents and messages processed by the control point?

b. Are active control forms separated from inactive files (for example, destruction certificates, receipts)?

c. Is the NATO subregistry immediately notified on receipt of COSMIC, Top Secret, and ATOMAL material if the inspected control point is a NATO Secret control point?

d. Is the NATO subregistry immediately notified if the control point receives ATOMAL or COSMIC Top Secret material by any means other than from the subregistry?

e. Is ATOMAL material filed separately from other NATO and U.S. classified material?

f. Has the control point destroyed, transferred, or reproduced any COSMIC or ATOMAL material?

g. Is a disclosure record kept with each COSMIC and ATOMAL document?

h. Are procedures in effect to review COSMIC and ATOMAL material to determine the need for retention?

i. Was any ATOMAL or COSMIC material directly received during an exercise?

j. Are exercise documents and messages handled properly?

k. Is a list made of COSMIC and ATOMAL documents that have been traced?

l. Additional remarks.

7. NATO SECRET CONTROL

- a. Is a continuous-receipt system used for NATO Secret documents and messages processed by the control point?
- b. Is a DA Form 3964 (Classified Document Accountability Record) used to control each NATO Secret document?
- c. Are different control numbers used to control and separate NATO Secret documents from U.S. Secret continuous-receipt and administrative-accountability documents?
- d. Are NATO Secret control records filed separately from U.S. classified-document records?
- e. Are active control forms separated from the inactive forms (for example, destruction certificates, receipts)?
- f. Does the control point keep all NATO Secret documents?
- g. Does the control point allow staff elements or other offices in the command temporary subcustody of the material?
- h. If subcustody is permitted, does the control point inventory the material every 90 days?
- i. Are there written records of these inventories?
- j. Do the inventory officials sign the written inventories?
- k. Does the current custodian maintain receipts for NATO Secret documents under subcustody?
- l. Are proper procedures followed to ensure that only the control point reproduces NATO Secret material?
- m. Is a reproduction-control officer appointed in writing?
- n. Are destruction certificates documented for destroyed NATO Secret material?
- o. Are destruction certificates signed by two witnesses?
- p. Are destruction certificates filed for 2 years?
- q. Are changes to NATO Secret material controlled according to US 1 to AR 380-5?
- r. Is NATO Secret material properly transmitted and sent to authorized addresses?
- s. Is there a suspense system to ensure receipts are signed and returned?
- t. Are registered mail and accountable material delivered by a courier and safeguarded as Secret material until opened by the control point or authorized personnel?
- u. Can randomly selected NATO Secret material under subcustody be located readily?
- v. Are copies of NATO Secret material reviewed regularly for necessity of retention?
- w. Do subcustodians of NATO Secret material return the material to the control point for reproduction, destruction, and transfer?
- x. Have procedures been established for exchanging signature lists to ensure only authorized activities and personnel receive NATO material when it is transferred outside the control point?
- y. Have internal administrative procedures been established to record internal movement of NATO Secret material?

- z. Are appropriate procedures being followed for determining the area for and method of destruction?
- aa. Are typewriter ribbons and carbon papers used for preparing classified material properly safeguarded and destroyed?
- ab. Are classified microfiche and film properly destroyed?
- ac. Is a list made of NATO Secret documents traced?
- ad. Additional remarks.

8. NATO RESTRICTED MATERIAL

- a. Is NATO Restricted material safeguarded and transmitted the same way as For Official Use Only material? (NATO Restricted material may be stored in a key-locked container.)
 - b. Additional remarks.
-

***Figure A-1. Format for a Command Evaluation Program Checklist for USAREUR NATO
Subregistries and Control Points**

***This format will be used only as a guide and will not be printed, reproduced, or stocked.**

APPENDIX C
SAMPLES OF COMPLETED DA FORM 3964

C-1

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. ///////////////////////////////////NOTHING FOLLOWS////////////////////////////////////		9 Jan 99	SHAPE
(ACTIVE LOG)						
SECTION B - ROUTING						
TO		COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON		
				PRINTED NAME		SIGNATURE
1.	File	2, 4, 6	14 Jan 99	Safe 1, Dwr 2, File 13		
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED		<input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)				
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79 EDITION OF 1 NOV 72 IS OBSOLETE. USAPPC V2.00

C-1

Figure C-1. Sample of Initial DA Form 3964 Bringing Document Under Control

C-2

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)	DATE OF DOCUMENT	ORIGINATOR	
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. ///////////////////////////////////NOTHING FOLLOWS//////////////////////////////////// (DOCUMENT COPY DO NOT REMOVE)	9 Jan 99	SHAPE	
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1.						
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

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C-2

Figure C-2. Initial DA Form 3964 (Document Copy) for Copy 4

C-3

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. /////////////////////////////////NOTHING FOLLOWS////////////////////////////////		9 Jan 99	SHAPE
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	2, 4, 6	14 Jan 99	Safe 1, Dwr 2, File 13			
2. S4	4	17 Jan 99	Bill Logistics			
3. S2, 3d Bn, 2d Bde	2	20 Jan 99	S-NS-002-99			
4. Destruction	4	22 Jan 99	CD-NS-04-99			
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

C-3

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Figure C-3. Active Log DA Form 3964 Showing Record of Destruction for Copy 6 (File in Active Log)

C-4

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. /////////////////////////////////NOTHING FOLLOWS////////////////////////////////		9 Jan 99	SHAPE
(ACTIVE LOG)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	2, 4, 6	14 Jan 99	Safe 1, Dwr 2, File 13			
2. S4	4	17 Jan 99	Bill Logistics			
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

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C-4

Figure C-4. Active Log DA Form 3964 Showing Copy 4 Temporarily Signed Out

C-5

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. /////////////////////////////////NOTHING FOLLOWS////////////////////////////////		9 Jan 99	SHAPE
(ACTIVE LOG)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	2, 4, 6	14 Jan 99	Safe 1, Dwr 2, File 13			
2. S4	4	17 Jan 99	Bill Logistics			
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

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C-5

Figure C-5. Active Log DA Form 3964 Showing Copy 4 Returned From Temporary Receiving

C-6

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)	DATE OF DOCUMENT	ORIGINATOR	
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. ///////////////////////////////////NOTHING FOLLOWS////////////////////////////////////	9 Jan 99	SHAPE	
(DOCUMENT COPY)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1.						
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input checked="" type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL ABC-XYZ-S	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO. CD-NS-004-99	DATE 14 JAN 99	PRINTED NAME OF CERTIFYING/DESTR. OFF. PEPE LEPUE, E-T/TSCO			SIGNATURE	
PAGE OR COPY NUMBER CY 2 OF 6	DATE 14 JAN 99	PRINTED NAME OF WITNESSING OFFICIAL ALVEDA ZANE, CUSTODIAN			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

C-6

USAPPC V2.00

Figure C-6. Document Copy DA Form 3964 Showing Destruction of Copy 2 (File in Destruction Log)

C-7

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5: the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)	DATE OF DOCUMENT	ORIGINATOR	
S2-NS-001-99	NS	3	Cy 2, 4, 6 of 6 copies of OPLAN, Subject SHAPE OPLAN 1234-XX with Annexes A, B, C, and encl 1. ///////////////////////////////////NOTHING FOLLOWS//////////////////////////////////// (RECEIPT COPY -- SIGN AND RETURN)	9 Jan 99	SHAPE	
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1.						
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input checked="" type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE			SIGNATURE		
20 Apr 99	MUHN SHINE, CW2, TSCO					
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

C-7

USAPPC V2.00

Figure C-7. DA Form 3964 Showing Copy 6 Permanently Signed Out (File in Receipt Log)

C-8

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)	DATE OF DOCUMENT	ORIGINATOR	
S2-NS-002-99	NS	1	Pages 2-89 and 16-22 of Annex A, of Cy 8 and 14 Cys of Study, Subject: SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM, superseded by Change 1, did 1 Feb 99.// //NOTHING FOLLOWS//	12 Feb 99	SHAPE	
(DOCUMENT COPY -- DO NOT REMOVE)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1.						
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input checked="" type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL ABCD-XY-Z	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO. CD-NS-005-99	DATE 4 Feb 99	PRINTED NAME OF CERTIFYING/DESTR. OFF. 2LT JOE BILLY BOBO			SIGNATURE	
PAGE OR COPY NUMBER SEE A ABOVE	DATE 4 Feb 99	PRINTED NAME OF WITNESSING OFFICIAL CHERYL M. RAGAMUFFIN			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

C-8

USAPPC V2.00

Figure C-8. DA Form 3964 for Destruction of Superseded Items (File in Destruction Log)

C-9

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)	DATE OF DOCUMENT	ORIGINATOR	
S2-NS-004-99	NS	2	Cy IR, 2R of 2R Cys of Study, Subject: Operation SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM, WITH ANNEXES A AND B, CHANGE 1 TO ANNEX A///////// /////////NOTHING FOLLOWS/////////	12 Feb 99	SHAPE	
(DOCUMENT COPY -- DO NOT REMOVE)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1.						
2.						
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

EDITION OF 1 NOV 72 IS OBSOLETE.

USAPPC V2.00

C-9

Figure C-9. Document Copy DA Form 3964 for Copy 2R of Reproduced Copies

C-10

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD					DATE	
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-001-99	NS	3	Cy 2, 4, 6 of OPLAN, Subject: Operation SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM, WITH ANNEXES A, B, C, and enclosures 1 and 2.// ////////////////////////////////////NOTHING FOLLOWS////////////////////////////////////		12 Feb 99	SHAPE
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	2, 4, 6	14 Jan 99	Safe 1, Dwr 1, File 13			
2. S4	4	17 Jan 99	Bill Logistics			
3. S2, 3d Bn, 2d Bde	2	20 Jan 99	S2-NS-002-99			
4. Destruction	4	22 Jan 99	CD-NS-004-99			
5. S2, 2d Bn, 3d Bde	6	24 Jan 99	S2-NS-007-99			
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED						<input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

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Figure C-10. Active Log DA Form 3964 Showing Permanently Signed Out Copy 6

NOTE: No copies remain in record-keeper's control; therefore, DA Form 3964 becomes inactive and should be filed in the inactive file.

C-11

CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD						DATE
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-004-99	NS	1	Cy 8 of 14 Cys of Study, Subject: SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM with annexes A and B		12 Feb 99	SHAPE
ADDED	NS	1	Cy 8 of 14 Cys of Change 1 to Annex A of study, subject: SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM		18 Feb 99	SHAPE
18 Feb 99						
S2-NS-008-99/						
CH 1						
(ACTIVE LOG)						
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	8	18 Feb 99	Safe 1, Dwr 1, File 13			
2. Destruction		18 Feb 99	Superseded Items		CD-NS-006-99	
3.						
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED		AUTHORIZED BY			DATE	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED			<input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED			
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

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Figure C-11. Active Log DA Form 3964 Depicting Added Change to the Basic Document and Destruction of Superseded Items

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CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD						DATE
For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.						
SECTION A - GENERAL						
TO:				FROM:		
DATE RECEIVED		ACTION OFFICE(S)		SUSPENSE DATE(S)		REGISTER OR CONTROL NO.
CONTROL LOG OR FILE NO.	CLASSIFICATION	NUMBER OF COPIES	DESCRIPTION (Type, File Ref., Unclassified Subject or Short Title and Number of Indorsements/Incls)		DATE OF DOCUMENT	ORIGINATOR
S2-NS-004-99	NS	1	Cy 8 of 14 Cys of Study, Subject: SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM with annexes A and B		12 Feb 99	SHAPE
ADDED	NS	1	Cy 8 of 14 Cys of Change 1 to Annex A of study, subject: SAFEGUARD, ACCOUNT, AND CONTROL (SAC) NATO PROGRAM		18 Feb 99	SHAPE
18 Feb 99						
S2-NS-008-99/						
CH 1						
ADDED	NS	2	Cy 1R, 2R of 2R Cys of Document as described above			
			(ACTIVE LOG)			
SECTION B - ROUTING						
TO	COPY NO.	DATE	I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON			
			PRINTED NAME		SIGNATURE	
1. File	8	18 Feb 99	Safe 1, Dwr 1, File 13			
2. Destruction		18 Feb 99	Superseded Items		CD-NS-006-99	
3. File	1R, 2R	21 Feb 99	Safe 1, Dwr 1, File 13			
4.						
5.						
SECTION C - DESTRUCTION CERTIFICATE (Check appropriate block)						
MATERIAL DESCRIBED HEREON HAS BEEN:						PAGE OR COPY NO
<input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5)						
OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REP			SIGNATURE	
DESTRUCTION RECORD NO.	DATE	PRINTED NAME OF CERTIFYING/DESTR. OFF.			SIGNATURE	
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL			SIGNATURE	
SECTION D - REPRODUCTION AUTHORITY						
NUMBER OR COPIES TO BE REPRODUCED -2-		AUTHORIZED BY WILL BAMA, MAJ, MI			DATE 21 Feb 99	
SECTION E - RECEIPT/TRACER ACTION (Check appropriate block)						
<input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED <input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED						
<input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.						
DATE	PRINTED NAME, GRADE OR TITLE				SIGNATURE	
COMMENTS						

DA FORM 3964, JUL 79

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Figure C-12. Active Log DA Form 3964 Showing Addition of Reproduced Copies, Location of Reproduced Copies, and Reproduction Authority

APPENDIX D
SAMPLE MEMORANDUM - INVENTORY OF COSMIC AND ATOMAL DOCUMENTS

1. The following items will be enclosed with the memorandum:
 - a. A list of documents held by the control point receiving the memorandum.
 - b. An AE Form 380-15A-R (Verification of ATOMAL Inventory and Report) or an AE Form 380-15B-R (Verification of Semiannual and/or Annual COSMIC Inventory) to verify the inventory. Control-point chiefs will complete and return AE Form 380-15A-R or AE Form 380-15B-R to the NATO subregistry.
 - c. Instructions for inventorying documents.
2. Below is a sample memorandum for inventorying COSMIC and ATOMAL documents.

Letterhead

S:

OFFICE SYMBOL (MARKS number)

Date

MEMORANDUM FOR Commander, 21st Theater Support Command (Provisional), ATTN: AERAG-AC, Unit 23203,
APO AE 09263

SUBJECT: Inventory of COSMIC and ATOMAL Documents

1. Reference AR 380-15, 1 March 1984, (C) Safeguarding Classified NATO Information (U).
2. Attached is a list (encl 1) of COSMIC and ATOMAL documents at your control point for which this NATO subregistry is responsible.
3. Request that the attached list be compared with your COSMIC and ATOMAL logs to ensure that--
 - a. Documents shown in your logs are present and accounted for.
 - b. Log entries show the information in the list.
4. The COSMIC and ATOMAL control officer will take the following actions after log comparisons are made and discrepancies are reconciled:
 - a. Certify that the list is accurate.
 - b. Complete the attached COSMIC and ATOMAL verification of inventory and report (encl 2).
 - c. Send the inventory and report to the respective NATO subregistry for compilation before final submission to the Central United States Registry. There are no extensions to reporting deadlines.
5. Further instructions on conducting this inventory are in enclosure 3.
6. The following statement must be included in the "return comment," because COSMIC and ATOMAL documents are kept at a control point for no longer than 6 months: "Request authority to retain the COSMIC and ATOMAL documents listed in the attached inventory for an additional 6 months."
7. Control officers should--

- a. Establish procedures for frequently screening documents at their control points.
 - b. Return superseded or unnecessary documents to the NATO subregistry.
8. Action officers knowledgeable about control-point requirements will--
- a. Review each document.
 - b. Sign DA Form 969 (Top Secret Document Record) during the reviews. A complete name and signature is required. Always maintain and file DA Form 969 with the document.

FOR THE COMMANDER:

TED E. BEAR
Chief, NATO Subregistry

3 Encls

- 1. COSMIC/ATOMAL List (Triplicate)
- 2. COSMIC/ATOMAL Verification of Inventory and Report (Duplicate)
- 3. Instructions for Conducting an Inventory

Figure D-1. Sample Memorandum Outlining Responsibilities for Inventorying COSMIC and ATOMAL Documents

GLOSSARY
ABBREVIATIONS

APO	Army post office
CAA	continuous and administrative accountability
CG, USAREUR/7A	Commanding General, United States Army, Europe, and Seventh Army
CTS	COSMIC Top Secret
CTSA	COSMIC Top Secret ATOMAL
CUSR	Central United States Registry
CY	calendar year
DA	Department of the Army
DAAG	Department of the Army Adjutant General
ERD	emergency removal and destruction
GSA	General Services Administration
HQDA	Headquarters, Department of the Army
HQ USAREUR/7A	Headquarters, United States Army, Europe, and Seventh Army
NATO	North Atlantic Treaty Organization
NR	NATO Restricted
NS	NATO Secret
ODCSINT	Office of the Deputy Chief of Staff, Intelligence, HQ USAREUR/7A
POC	point of contact
SAC	safeguard, accountability, and control
SAV	staff-assistance visit
SF	standard form
SHAPE	Supreme Headquarters Allied Powers Europe
TSCO	Top Secret control officer
UR	USAREUR regulation
U.S.	United States
USAREUR	United States Army, Europe
USSA	United States Security Authority for NATO Affairs