
CHAPTER 6. SAFEGUARDING

6-1. GENERAL.

- a. Minimum Risk. Absolute security for an item of information can be achieved only if the information is known by only one person, if it is never revealed to a second person, and if it is never physically recorded in any way. For Government operations, this is impractical because it would render the information unusable. Accordingly, the HUD Security Program cannot and does not seek to obtain absolute security. Rather, it must permit the accomplishment of essential functions while affording selected items of information various reasonable degrees of security with a minimum amount of calculated risk.
- b. Safeguarding in Depth. All safeguards for classified information in storage are designed to protect the information from one or both of two types of threats, i.e., from inadvertent disclosure to an unauthorized individual who has not necessarily sought access, and from deliberate attempts to gain access either by surreptitious or forced entry to the storage area. While most types of locked containers provide acceptable protection against inadvertent disclosure, no known type of container can be considered absolutely secure against a determined effort to gain access to classified information stored inside.

6-2. STORAGE OF CLASSIFIED MATERIAL. Classified information not in use by or under the direct observation of an authorized person in the same room or enclosure will be stored in a locked container. The requirements specified in this Handbook represents the minimum requirements for physical barriers.

- a. Top Secret. Top Secret information shall be stored in a GSA-approved security container with an approved built-in, three position, dial-type changeable combination lock.
- b. Secret And Confidential. Secret and Confidential information shall be stored in a manner and under the conditions prescribed for Top Secret information, or in a steel file cabinet equipped with a steel lock bar secured by a GSA-approved three position changeable combination padlock.

6-3. DESIGNATION AND RESPONSIBILITIES OF CUSTODIANS OF SECURITY EQUIPMENT.

a. Designation.

- (1) Headquarters. The head of the principal staff element responsible for possession of classified information will designate in writing and forward to the Assistant Director for Security, Office of Investigation the name of a primary custodian and one or more alternate custodians for each unit of security storage equipment. Designated personnel must be cleared for access up to and including the highest degree of information stored in the container(s), prior to the assumption of their duties as custodians.
- (2) Regional Offices. Regional Administrators and Area Managers shall be responsible for maintaining a list of primary and alternate custodians for each staff element responsible for possession of classified material.

b. Custodial Responsibilities. Custodians of classified information shall be responsible for providing the best possible protection for such information at all times and particularly for securely locking classified documents in approved safe-keeping equipment whenever it is not in use or under direct supervision of authorized personnel. Custodians of classified storage containers will assure that combinations of containers in their custody are changed in accordance with the provisions of paragraph 6-5d. Classified information shall not be discussed with or in the presence of unauthorized persons. The first designated alternate will assume responsibility for the container in the absence of the custodian and first alternate.

c. Emergency Planning.

- (1) Custodians of classified information shall develop plans for the protection, removal, or destruction of classified material in case of fire, natural disaster, civil disturbance, or enemy action.

- (2) Emergency plans shall provide for the protection of classified material in a manner that will minimize the risk of injury or loss of life to personnel. In the case of fire or natural disaster, the immediate

placement of cleared personnel around the affected area, preinstructed and trained to prevent the removal of classified material by unauthorized personnel, is an acceptable means of protecting classified material and reducing casualty risk.

- 6-4. PREPARING A CONTAINER FOR CLASSIFIED STORAGE USE. Several administrative actions are required to prepare a container for the storage of classified information. These actions are effected through the use of Form HUD-1442, Classified Container Information, and Form HUD-1443, Classified Container Locking Record. Each is described below with instructions for its use:
- a. Form HUD-1442, Classified Container Information (Appendix 2). Form HUD-1442, is a three-part form, each part having a specific purpose and disposition, as follows:
- (1) Part 1 is used to identify the designated custodian and alternate(s) and, when space permits, other persons having knowledge of the contents of the container or its combination. Names, addresses, and home telephone numbers of these individuals will be recorded in appropriate spaces. Information typed on Part 1 will appear as a carbon copy on Part 2 in its entirety, and on Part 3 minus the names of the custodian and others. Part 1 will be attached conspicuously to the outside of each piece of equipment used to store classified information.
 - (2) Part 2 is used for the registration of the container. Names, addresses, and home telephone numbers of additional personnel having knowledge of the combination of the container may be recorded on an extension or attached to Part 2. Part 2 will be taped, glued, or stapled to the envelope containing Part 3 (see below).
 - (3) Part 3 is used to record the combination of the container. When the combination has been initially set, or changed as required, it is recorded as indicated on the form. Part 3 will be folded and sealed in an opaque envelope. Since the combination of a container requires the same defense classification

as that of the highest classified material authorized to be stored therein, Part 3 and the front and back of the envelope will be marked with the appropriate security classification. When Part 2 has been affixed

to the envelope containing Part 3, the envelope will be hand carried to a central control office for control and safekeeping, in accordance with paragraph 6-5e below.

- b. Form HUD-1443, Classified Container Locking Record (Appendix 3). Form HUD-1443 is used to certify opening and locking of the container and checking the container at the end of each working day. The form will be attached conspicuously to the outside of each storage container and used in accord with paragraph 6-6 below.
- c. Use of "CLOSED-OPEN" SIGNS. This sign will be used on all classified containers to indicate at a glance whether the container is open or closed. (Classified containers will be kept fully locked when not under direct supervision of appropriately cleared personnel). These red and white reversible cardboard signs are available through normal supply channels identified as Federal Stock Number 9905-286-7021.

6-5. COMBINATIONS - CLASSIFICATION AND SAFEGUARDING.

- a. Classifying Combinations. The combination of a vault or container used for the storage of classified information will be assigned a classification equal to the highest designation of classified information authorized to be stored therein. Until changed, combinations are subject to the safeguards, controls, and accounting requirements of this Handbook. When changed, the superseded combinations automatically become declassified and a destruction certificate, for the HUD Form 1442 is unnecessary.
- b. Access to Combinations. Knowledge of or access to the combination of a container used for the storage of classified information will be given only to those appropriately cleared persons who are authorized access to the information stored therein and must have it for efficient performance of their duties. Secretarial, administrative, and clerical personnel should have knowledge of the combination only when responsible for the contents of the safe, and will not be designated as custodian for convenience purposes.

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- c. Responsibility for Changing Combinations.
 - (1) Headquarters. Combinations to locks will be changed, upon request, by a representative of the Office of

Assistant Director for Security, Office of Investigation.

- (2) Regional Offices. Combinations to locks will be changed only by persons designated by the Regional Administrators. Such persons must have a security clearance equal to the highest designation of classified information stored therein.
- d. When Combinations are Changed. Combinations to dial-type locks and combination padlocks shall be changed only by persons having appropriate security clearance, and shall be changed whenever: (1) such equipment is placed in use; (2) a person knowing the combination no longer requires access to the combination; (3) a combination has been subjected to possible compromise; (4) the equipment is taken out of service; and (5) at least once every year. Knowledge of combinations shall be limited to the minimum number of persons necessary for operating purposes. In addition, when security equipment is taken out of service, a representative of the Office of Assistant Director for Security, Office of Investigation, will reset the built-in combination lock to the standard combination 50-25-50 and combination padlocks to the standard combination 10-20-30.
- e. Central Record of Combinations.
- (1) Headquarters. A current record of the numerical designation, location, and combination of all containers plus a record of the names, home addresses and telephone numbers of all persons having knowledge of the combination (Part 2 and 3 of Form HUD-1442) will be maintained by the Office of Assistant Director for Security, Office of Investigation.
 - (2) Regional Offices. Regional Administrators and Area Managers shall be responsible for maintaining a current record of the required information as indicated in e (1) above for all security storage containers in possession of their respective offices.

f. Additional Safeguards.

- (1) Combinations will not be carried on one's person, written on calendar pads, desk blotters, or other exposed items, nor will they be kept in desk drawers (locked or unlocked), even if "hidden" among other seemingly innocuous numbers.

- (2) When selecting a combination to be set on a container or padlock, the following numbers will not be used:
 - (a) Standard manufacturer s settings of 50-25-50 for built-in locks, or 10-20-30 for padlocks;
 - (b) Zero, or numbers between 0 and 20, for the last number of the combination (a common source of lock malfunction);
 - (c) Numbers in straight ascending or descending order, such as 29-37-51 or 51-37-29;
 - (d) Numbers ending in 5 or 0 (e.g., 35, 60, etc.);
 - (e) Numbers derived from birthdates, addresses, telephone numbers, license numbers, or the like.
- (3) To minimize the possibility of compromise of classified information as an incidence to burglary, such items as money, radios, or other items of personal property will not be placed in any security storage equipment in which classified information is stored.

6-6. DAILY CERTIFICATIONS AND INSPECTIONS OF CONTAINERS AND WORK AREAS.

- a. Unlocking. A classified container may be unlocked by anyone who is authorized access to the contents and to whom knowledge of the combination has been released. The individual who unlocks the container will indicate that he or she has done so by an appropriate entry (time, date and his or her initials on Form HUD-1443. (See Appendix 3).

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- b. Locking and Checking. At the close of each normal workday, or when a container is locked at times other than normal duty hours, the person who has locked the container will indicate that he or she has done so by making an appropriate entry on Form HUD-1443. Finally, a person other than the one who has locked the container will be required to check it to insure that it is locked and will indicate that he or she has done so by affixing the time he or she checked it and his or her initials under the appropriate column on the Form HUD-1443. The following guidelines apply:

- (1) To lock or to check a container which is protected by a

dial-type combination lock, each drawer must be completely closed and latched, and the dial of the lock rotated a minimum of four times in the same direction.

- (2) Normally, the "checker" will be the custodian of the container, and the "locker" one of the alternate custodians. In the absence of the primary custodian, the container may be locked by any authorized individual and checked by an alternate custodian.
 - (3) Checking is required for each normal working day, regardless of whether or not a container was opened on that particular day. When a container has not been opened during the day, the checker will make the only entry on the Form HUD-1443 for that day. The notation "NOT OPENED" will be placed through the columns headed "UNLOCKED BY" and "LOCKED BY" and the checker will indicate the time the container was checked and his or her initials in the column headed "CHECKED BY" (See illustration in Appendix 3).
 - (4) A container will not be left unattended until it has been locked by an authorized person and checked by a second person.
- c. Inspections of Containers and Classified Work Areas. Every container will be inspected at the end of each workday to assure that it has been securely locked, checked, and the Form HUD-1443 appropriately annotated. Similar inspections will be made of areas or rooms in which classified information is developed or used, to assure that no classified information has been left out of a locked container.

6-7. INSPECTION.

- a. Headquarters. Personnel designated by the Assistant Inspector General for Investigation will thoroughly inspect security storage equipment at times and under conditions prescribed to insure that the equipment working areas are adequately secured or otherwise protected during both work and nonwork hours. If any security storage equipment or classified information is found not to be protected in accordance with the requirements of this Handbook, the Assistant Inspector General for Investigation will be notified.
- b. Regional Offices. Regional Administrators and Area Managers

shall be responsible for insuring the adequate protection and inspection of classified information and security storage equipment in the possession of their respective offices.

6-8. VIOLATIONS. Violations of these security regulations or improper conduct on the part of employees which may tend to compromise national security shall be reported by the head of the principal staff element responsible for possession of classified material directly to the Assistant Inspector General for Investigation with a report (Appendix 4) of the circumstances of the alleged offense and such other information as may be appropriate. The Assistant Inspector General for Investigation will notify the agency that originated the information of the loss or possible compromise so that a damage assessment may be conducted and appropriate measures taken to negate or minimize any adverse effect of the compromise.

6-9. REPRODUCTION CONTROLS.

- a. The Assistant Director for Security, Office of Investigation, will be responsible for the reproduction of all classified documents in the Department and will obtain prior approval from the original classification authority prior to the reproduction of such classification information.
- b. Reproduced copies of classified documents shall be subject to the same accountability and controls as the original documents.