

## §2.27

The Top Secret Document Record shall remain attached to the Top Secret information until it is either transferred to another United States Government agency, downgraded, declassified or destroyed. The Top Secret Document Record, which shall initially be completed by the Top Secret Control Officer, shall identify the Top Secret information attached, and shall serve as a permanent record of the information. All persons, including stenographic and clerical personnel, having access to the information attached to the Top Secret Document Record must list their name and the date on the TD F 71-01.7 prior to accepting responsibility for its custody. The TD F 71-01.7 shall also indicate those individuals to whom only oral disclosure of the contents is made. Whenever any Top Secret information is transferred to another United States Government agency, downgraded, declassified or destroyed, the Top Secret Control Officer shall record the action on the Top Secret Document Record and retain it for a minimum of three years after which time it may be destroyed. In order to maintain the integrity of the color coding process the photocopying and use of non-color coded Top Secret Document Record forms is prohibited.

(d) *Classified Document Record of Transmittal.* TD F 71-01.5 (Classified Document Record of Transmittal) shall be the exclusive classified document accountability record for use within the Department of the Treasury. No other logs or records shall be required except for the use of TD F 71-01.7 which is applicable to Top Secret information. TD F 71-01.5 shall be used for single or multiple document receipting and for internal and external routing. The inclusion of classified information on TD F 71-01.5 is to be avoided. In the event the subject title is classified, a recognizable short title shall be used, e.g., first letter of each word in the subject title. Several items may be transmitted to the same addressee with one TD F 71-01.5. TD F's 71-01.5 shall be maintained for a three year period after which the form may be destroyed. No record of the actual destruction of the TD F 71-01.5 is necessary.

(1) *Top Secret Information.* Top Secret information shall be subject to a con-

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tinuous receipt system regardless of how brief the period of custody. TD F 71-01.5 shall be used for this purpose. Top Secret accountability records shall be maintained by Top Secret Control Officers separately from the accountability records of other classified information.

(2) *Secret Information.* Receipt on TD F 71-01.5 shall be required for transmission of Secret information between bureaus, offices and separate agencies. Responsible office heads shall determine administrative procedures required for the internal control within their respective offices. The volume of classified information handled and personnel resources available must be considered in determining the level of adequate security measures while at the same time maintaining operational efficiency.

(3) *Confidential and Limited Official Use Information.* Receipts for Confidential and Limited Official Use information shall not be required unless the originator indicates that receipting is necessary.

[55 FR 1644, Jan. 17, 1990; 55 FR 13134, Apr. 9, 1990]

## §2.27 Storage [4.1(b)].

Classified information shall be stored only in facilities or under conditions designed to prevent unauthorized persons from gaining access to it.

(a) *Minimum Requirements for Physical Barriers*—(1) *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; in a vault protected by an alarm system and response force; or in other types of storage facilities that meet the standards for Top Secret information established under the provisions of §2.25. Top Secret information stored outside the United States must be in a facility afforded diplomatic status. One or more of the following supplementary controls is required:

(i) The area that houses the security container or vault shall be subject to the continuous protection of U.S. guard or duty personnel;

(ii) U.S. Guard or duty personnel shall inspect the security container or vault at least once every two hours; or

(iii) The security container or vault shall be controlled by an alarm system to which a force will respond in person within 15 minutes.

Within the United States, the designated security officer in each Treasury bureau and the Department Offices shall prescribe those supplementary controls deemed necessary to restrict unauthorized access to areas in which such information is stored. Any vault used for the storage of sensitive compartmented information shall be configured to the specifications of the Director of Central Intelligence. Prior to an office or bureau operating such a vault, formal written certification for its use must first be obtained from the Special Assistant to the Secretary (National Security) as the senior Treasury official of the Intelligence Community.

(2) *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 container, vault, or alarmed area that meets the standards for Secret or Confidential information established under the provisions of § 2.25. Secret and Confidential information may also be stored in a safe-type filing cabinet having a built-in, three-position, dial-type, changeable, combination lock, and may continue to be stored in a steel filing cabinet equipped with a steel lock-bar secured by a GSA-approved three-position, dial-type, changeable, combination padlock. The modification, however, of steel filing cabinets to barlock-type as storage equipment for classified information and material is prohibited and efforts are to be made to selectively phase out the use of such barlock cabinets for storage of Secret information. Exceptions may be authorized only by the Departmental Director of Security upon written request from the designated bureau security officer. The designated security officer in each Treasury bureau and the Departmental Offices shall prescribe those supplementary controls deemed necessary to restrict unauthorized access to areas in which such information is stored. Access to bulky Secret and Confidential material in weapons storage areas, strong rooms, evidence vaults, closed areas or similar facilities shall be con-

trolled in accordance with requirements approved by the Department. At a minimum, such requirements shall prescribe the use of GSA-approved, key-operated, high-security padlocks. For Secret and Confidential information stored outside the United States, it shall be stored in the manner authorized for Top Secret, in a GSA-approved safe file, or in a barlock cabinet equipped with a security-approved combination padlock if the cabinet is located in a security-approved vault and/or in a restricted area to which access is controlled by United States citizen personnel on a 24-hour basis.

(b) *Combinations—(1) Equipment in Service.* Combinations to dial-type, changeable, combination locks shall be changed only by persons having an appropriate security clearance, and shall be changed,

(i) Whenever such equipment is placed in use;

(ii) Whenever a person knowing the combination no longer requires access to it;

(iii) Whenever a combination has been subjected to possible compromise;

(iv) Whenever the equipment is taken out of service: or

(v) At least once each year.

Knowledge of combinations shall be limited to the minimum number of persons necessary for operating purposes. Records of combinations shall be classified no lower than the highest level of classified information that is protected by the combination lock. When securing a combination lock, the dial must be turned at least four (4) complete times in the same direction after closing. Defects in or malfunctioning of storage equipment protecting classified national security or officially limited information must be reported immediately to the designated office or bureau security official for appropriate action.

(2) *Equipment Out of Service.* When security equipment, used for the storage of classified national security or officially limited information, is taken out of service, it shall be physically inspected to ensure that no classified information or officially limited information remains therein. Built-in, three-position, dial-type, changeable, combination locks shall be reset to the

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standard combination 50-25-50 and combination padlocks shall be reset to the standard combination 10-20-30. The designated security officer in each Treasury bureau and the Departmental Offices shall prescribe such supplementary controls deemed necessary to fulfill their individual needs to be consistent with § 2.27.

(3) *Security Container Check Sheet.* Each piece of security equipment used for the storage of classified information will have attached conspicuously to the outside a Standard Form 702 (Security Container Check Sheet) on which an authorized person will record the date and actual time each business day that they initially unlock and finally lock the security equipment, followed by their initials. Users of this form are to avoid citations which reflect the opening, locking and checking of the security equipment at standardized (non-actual) times, e.g., opened at 8:00 a.m. and closed/checked at 4:00 p.m. Bureaus and the Departmental Offices may continue to use Optional Form 62 (Safe or Cabinet Security Record) in lieu of the SF 702 until September 30, 1990, or such time as their supplies of Optional Form 62 are exhausted. The reprinting or photostatic reproduction and use of Optional Form 62 is *not* authorized. On each normal workday, regardless of whether the security equipment was opened on that particular day, the security equipment shall be checked by authorized personnel to assure that no surreptitious attempt has been made to penetrate the security equipment. Such examinations normally consist of a quick or casual visual check to note either any obvious marks or gashes, or defects or malfunction of the security equipment which are different from their prior observations or experience in operating the equipment concerned. Any such discrepancies in the appearance of or functioning of the security equipment, based upon this visual check, should be reported to appropriate security officials. The "Checked By" column of the SF 702 or Optional Form 62 shall be annotated to reflect the date and time of this action followed by that person's initials. Security equipment used for the storage of classified information that has been opened on a particular

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day shall not be left unattended at the end of that day until it has been locked by an authorized person and checked by a second person. In the event a second person is not available within the office, the individual who locked the equipment shall also annotate the "Checked By" column of the SF 702 or Optional Form 62. Reversible "OPEN-CLOSED" or "LOCKED-UNLOCKED" signs, available through normal supply channels, shall also be used on such security equipment. The respective side of the sign shall be displayed to indicate when the container is open or closed. Except for the SF 702 or Optional Form 62, the top surface area of security equipment is *not* to be used for storage and must be kept free of extraneous material. SF 702 and/or Optional Form 62 shall be utilized on all security equipment used for storing information bearing the control legend "Limited Official Use". The designated security officer in each Treasury bureau and the Department Offices may, as warranted, prescribe supplementary use of the SF 702 or Optional Form 62 to apply to other authorized legends approved by the Department for officially limited information.

(4) *Safe Combination Records.* Combinations to security equipment containing classified information shall be recorded on Standard Form 700 (Security Container Information), national stock number 7540-01-214-5372. Bureaus and the Departmental Offices may continue to use Treasury Form 4032 (Security Container Information) in lieu of the SF 700 until September 30, 1990, or such time as their supplies of Treasury Form 4032 are exhausted. The reprinting of Treasury Form 4032 is not authorized. Each part of the SF 700 shall be completed in its entirety. The names, addresses and home telephone numbers of personnel responsible for the combination, and the classified information stored therein, must be indicated on part 1 of the SF 700. The completed part 1 shall be posted in the front interior of the top, control or locking drawer of the security equipment concerned. Part 2 shall be inserted in the envelop (part 2A) provided, and forwarded via appropriate secure means to the designated bureau

or Departmental Offices central repository for security combinations. Part 2 shall have the highest level of classified information, stored in the security equipment concerned, annotated in both the top and bottom border areas of the completed SF 700. Part 2A shall have the highest level of classified information, stored in the security equipment concerned, annotated in the blank space immediately above the word, "WARNING" which appears on the SF 700. The completion of the SF 700 or Treasury Form 4032 does not constitute a classification action but serves as an administrative requirement to ensure the protection of classified information stored in such security equipment. SF 700 shall be utilized on all security equipment used for storing information bearing the control legend "Limited Official Use". The designated security officer in each Treasury bureau and the Departmental Offices may prescribe supplementary use of the SF 700 to apply to other authorized legends approved by the Department for officially limited information, as warranted.

(c) *Keys.* The designated security officer in each Treasury bureau and the Departmental Offices shall establish administrative procedures for the control and accountability of keys and locks whenever key-operated, high-security padlocks are utilized. The level of protection provided such keys shall be equivalent to that afforded the information being protected by the padlock.

(d) *Classified Document Cover Sheets.* Classified document cover sheets alert personnel that documents or folders are classified and require protection from unauthorized scrutiny. Individuals who prepare or package classified documents are responsible for affixing the appropriate document cover sheet. Orange Standard Form 703 (Top Secret Cover Sheet), red SF 704 (Secret Cover Sheet) and blue SF 706 (Confidential Cover Sheet) are the only authorized cover sheets for collateral classified information. The national stock numbers of these cover sheets are as follows: SF 703, 7540-01-213-7901; SF 704, 7540-01-213-7902; and SF 705, 7540-01-213-7903. In order to maintain the integrity of the color coding process the photocopying

and use of non-color coded classified document cover sheets is prohibited. Bureaus and offices shall maintain a supply of classified document cover sheets appropriate for their needs. Classified document cover sheets are designed to be reused and will be removed before classified information is filed to conserve filing space and prior to the destruction of classified information. Document cover sheets are to be used to shield classified documents while in use and particularly when the transmission is made internally within a headquarters by courier, messenger or by personal contact. File folders containing classified information should be otherwise marked, e.g., at the top and bottom of the front and back covers, to indicate the overall classification of the contents rather than permanently affixing the respective classified document cover sheet. Treasury Directive 71-02 provides for the use of a green cover sheet, TD F 71-01.6 (Limited Official Use Document Cover Sheet) for information bearing the control legend "Limited Official Use". Bureaus or offices electing to create and use other cover sheets for officially limited information must obtain prior written approval from the Departmental Director of Security.

(e) *Activity Security Checklist.* Standard Form 701 (Activity Security Checklist) provides a systematic means to make a thorough end-of-day security inspection for a particular work area and to allow for employee accountability in the event that irregularities are discovered. Bureaus and the Departmental Offices may include additional information on the SF 701 to suit their unique needs. The SF 701, available through normal supply channels has a national stock number of 7540-01-213-7900. It shall be the only form used in situations that call for use of an activity security checklist. Completion, storage and disposition of SF 701 will be determined by each bureau and the Departmental Offices.

#### § 2.28 Transmittal [4.1(b)].

(a) *Preparation.* Classified information to be transmitted outside of a Treasury facility shall be enclosed in opaque inner and outer covers. The inner cover shall be a sealed wrapper or