

Section 201

Establishing, Maintaining, and Deactivating Limited Areas and Vault-Type Rooms

Description

Classified matter must be processed, discussed, handled, or stored in designated Limited Areas (LAs) or Vault-Type Rooms (VTRs). LAs and VTRs must have security measures in place to detect and deter unauthorized persons from gaining access to the classified matter. This includes measures to prevent unauthorized persons from seeing or hearing classified information. All LAs and VTRs at Headquarters (HQ) must be approved by the Office of HQ Security Operations (HS-90) prior to the initiation of classified activities or the introduction of classified material or equipment.

Definitions of a LA and VTR:

1. Limited Area (LA)--An LA is a security area designated for the protection of classified matter. LAs are defined by physical barriers encompassing the designated space and have access controls to ensure only authorized personnel are allowed to enter and exit the LA. A means must be provided to detect and deter unauthorized entry into the LA. Typically, LAs are utilized for the closed storage of classified material. In some instances, an LA may also be approved for processing, destroying, reproducing, transmitting or receiving, and discussing classified information.
2. Vault-Type Room (VTR)-- A VTR is a DOE-approved room having combination-locked doors and protection provided by a Department-approved intrusion alarm system activated by any penetration of walls, floors, ceilings, or openings, or by motion in the room. Typically, VTRs are used for the open storage of classified materials, equipment, and components up to and including Secret/Restricted Data. In some instances, they may also be approved for processing, destroying, reproducing, transmitting or receiving, and conducting amplified discussions of classified information.

NOTE: As a general rule, the open storage of Top Secret/Restricted Data is not approved at HQ facilities.

Documenting the Process:

The LA/VTR approval process must be documented from initial visit through deactivation. A file for each LA or VTR is created and maintained by the HQ Survey Team within the Office of Information Security (HS-92). The file contains all the documentation for the review, approval, changes, and deactivation for that LA or VTR. Pertinent information about each LA and VTR is also maintained within the HQ Security Area Database by the HQ Survey Team.

NOTE: The Director, HS-92, will approve LAs and VTRs based upon the requirements set forth in DOE directives. In cases where all the security requirements cannot be met, an Equivalency or

Exemption may be requested (see Chapter 16, Equivalencies and Exemptions).

HQ Implementation Procedures

Establishing a New LA or VTR:

When a HQ element determines that a new LA or VTR is required, the following actions should be taken:

- A Security Area Request Package requesting an advice and assistance visit to prepare for the establishment of a new LA or VTR must be submitted by the elemental HSO to HS-92. The Security Area Request Package consists of a memorandum requesting assistance in establishing a new LA or VTR along with two attachments: a Security Area Request/Facility Information Worksheet and a blueprint/drawing of the proposed LA or VTR. A sample memorandum and the Security Area Request/Facility Information Worksheet are in the Forms/Samples/Graphics subsection below. The drawing can be a copy of a blueprint or a simple, hand-written sketch of the area.
- HS-92 will forward the Security Area Request Package to the HQ Survey Team within HS-92 for action. The HQ Survey Team will conduct the appropriate physical security review and walk-through of the proposed LA or VTR and provide an Advice and Assistance Report to the element identifying what physical protection measures are needed. It is the element's responsibility to arrange for and complete any needed construction or other physical changes to the proposed LA or VTR.
- Requirements for Technical Surveillance Countermeasures (TSCM) services are determined based upon the activities that will be taking place within the proposed area, regardless of its designation as an LA or VTR. If the area requires TSCM services, the HQ Survey Team will coordinate with the HQ TSCM Program Manager to obtain those services.
- When all physical security upgrades are completed, the HSO should notify the HQ Survey Team by e-mail of the completion. The HQ Survey Team will inspect the LA or VTR and verify that it meets all physical protection requirements. The HQ Survey Team will then provide a security area approval memorandum and *Security Area Approval Certificate* to the requesting HQ element. A sample *Security Area Approval Certificate* is included in the Forms/Samples/Graphics subsection below.
- When an LA or VTR has been accredited, the *Security Area Approval Certificate* must be prominently displayed inside the area, preferably near the main entrance.

Maintaining LAs and VTRs:

After an LA or VTR has been approved, two situations may affect its continued ability to remain accredited:

- Physical changes, such as adding or rearranging large items of furniture or equipment, may affect the integrity of the space.
- LAs and VTRs are approved for specific classified activities at specific classification levels and categories. If different classified activities must be performed or there is a change in the classification level or category of the classified matter to be handled

within the LA or VTR, a new survey and *Security Area Approval Certificate* is required.

In either case, the element's HSO should submit a new Security Area Request Package, as described above, to HS-92. The memorandum should briefly state the nature of the modification to the LA or VTR and have a Security Area Request/Facility Information Worksheet attached. HS-92 will forward the Security Area Request Package to the HQ Survey Team for action.

The HQ Survey Team will conduct the appropriate physical security review and take one of the following actions:

- If the security posture of the area will not be affected by the physical changes, no further action is required and a memorandum stating this fact will be transmitted to the HSO of the requesting HQ element.
- If the security posture of the area will be affected by the proposed physical changes, an Advice and Assistance Report identifying the required physical protection measures will be transmitted to the HSO of the requesting HQ element. Once the HSO determines all work necessary to bring the area into compliance has been satisfactorily completed, the HQ Survey Team should be notified by e-mail. The HQ Survey Team will conduct a follow-up review/walk-through of the area and issue a new security area approval memorandum and *Security Area Approval Certificate* that will be transmitted to the requesting HSO. Once reaccredited as an LA or VTR, the new *Security Area Approval Certificate* should be prominently displayed inside the area, preferably near the main entrance, and all superseded certificates should be destroyed or returned to the HQ Survey Team.

NOTE: If the physical changes affect the ability of the area to continue any or all classified activities and no compensatory measures are feasible, the LA or VTR must be deactivated. All classified activities must cease or be relocated to an accredited security area, until such time that identified physical protection measures have been implemented and the area can be re-approved.

NOTE: If the change in activities requires the security area to become a TSCM serviced area, the HQ Survey Team will forward the request to the TSCM Operations Manager for appropriate action. This may require the element's TSCM Officer to submit a new request following the procedures established in Chapter 9, Technical Surveillance Countermeasures.

Deactivating LAs and VTRs:

When an LA or VTR is no longer required, all classified matter must be appropriately destroyed or relocated to another approved LA or VTR and all classified activities must cease. The HSO of the element should take the following steps to complete the deactivation:

- Submit a new Security Area Request Package, as described above, to HS-92. The memorandum should briefly state that an existing LA or VTR needs to be deactivated and have a Security Area Request/Facility Information Worksheet attached. HS-92 will forward the Request Package to the HQ Survey Team for action.

- The HQ Survey Team will conduct a review of the LA or VTR to ensure all classified matter has been removed and all classified activities have been terminated. Upon verification that this is the case, the HQ Survey Team will transmit a memorandum to the HSO of the element approving the deactivation of the LA or VTR.
- Once the HSO receives the deactivation approval memorandum, all intrusion detection and access control equipment can be removed. The HSO must confirm that this has been satisfactorily completed and then e-mail the HQ Survey Team advising of that completion. The HQ Survey Team will then update the HQ Security Area Database to reflect the deactivation and notify the Office of Physical Protection (HS-91) of the deactivation.

NOTE: The HSO must ensure that ALL classified matter has been properly disposed of or relocated and that all other classified activities have been terminated prior to the removal or deactivation of any security equipment.

NOTE: If the HSO is unsure of the appropriate course of action to complete the deactivation, the HQ Survey Team will complete an Advice and Assistance Report providing specific guidance.

Points of Contact

For the names and contact information for those who occupy the positions identified in this section, please call (301) 903-9990 or (301) 903-1163.

Forms/Samples/Graphics

Sample Security Area Request Memorandum (see Attachment 1 to this section)

Security Area Request/Facility Information Worksheet (see Attachment 2 to this section)

Sample Security Area Approval Certificate (see Attachment 3 to this section)

ATTACHMENT 1

Sample Security Area Request Memorandum

MEMORANDUM FOR (NAME), DIRECTOR
OFFICE OF INFORMATION SECURITY
OFFICE OF HEADQUARTERS SECURITY OPERATIONS
OFFICE OF HEALTH, SAFETY AND SECURITY

FROM: (NAME), HEADQUARTERS SECURITY OFFICER
NAME OF ELEMENT

SUBJECT: Security Area Request

The Office of _____ is requesting your assistance in establishing a Security Area in Room _____ at the _____ Building. Attached is a Security Area Request/Facility Information Worksheet identifying the various activities that may need to be performed within the Security Area. Also attached is a diagram of Room _____ and the surrounding area.

If you have any questions on this matter or need assistance in examining the proposed area, please contact me on x3 or 6- _____.

Or

The Office of _____ is requesting your assistance in modifying the Security Area currently located in Room _____ at the _____ Building. Attached is a Security Area Request/Facility Information Worksheet identifying the nature of the proposed changes in activities in Room _____. Also attached is a diagram of Room _____ showing the proposed relocation of the existing _____.
(furniture, safes, filing cabinets, etc.)

If you have any questions on this matter or need assistance in examining the proposed area, please contact me on x3-_____ or 6- _____.

Or

The Office of _____ is requesting your assistance in deactivating the Security Area in Room _____ at the _____ Building. Attached is a Security Area Request/Facility Information Worksheet identifying the various activities that need to be deactivated.

If you have any questions on this matter or need assistance in examining the proposed area, please contact me on x3-_____ or 6- _____.

Official Use Only Stamp

Attachment(s)

OFFICIAL USE ONLY (When filled in)

ATTACHMENT 2



Security Area Request/Facility Information Worksheet

ITEM	ACTION
------	--------

All applicable item numbers 1-7 must be completed and attached to the Security Area Request Memorandum.

1. DATE:
NAME (HSO):
ALTERNATE:
ORGANIZATION:
BLDG/ROOM #:
PHONE:
EMAIL:
2. What action is requested? (Select one) **(MUST ATTACH FLOOR PLAN)**
 Change in Activities. Approve security area. Decertify an existing security area.
 Modification to Area. Security Incident. Advice and Assistance. Other.
3. If a change to an existing security area is being requested, briefly describe the changes.
4. Provide the following information regarding the security area location:
BUILDING (GTN, FORS, etc.): ROOM NUMBER: POC:
5. What type of area is being requested? (Select one)
 Limited Area Vault-type Room

6. What classified activities will be conducted in this area? (Select all that apply) For each activity requested indicate the highest classification level, category, and caveats as applicable. **If this is a request to change classified activities, complete the blocks describing what activities are currently approved then complete section 7 describing the change.**

Activities

Reproduction of Classified Matter

Level: Top Secret (TS) Secret (S) Confidential (C)
Category: Restricted Data (RD) Formerly Restricted Data (FRD) National Security Information (NSI)
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Destruction of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Faxing of Classified Matter, Auto-answer: Yes No

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Closed Storage of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Open Storage of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Classified Computer Processing

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Classified Discussions

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Use of Secure Telephone (select all that apply) Amplified Nonamplified RG Encryptor

Video Teleconferencing (select one) Classified Unclassified

Other Classified Amplified Sound: Explain:

7. What classified activities will be changed in this area? (Select all that apply) For each activity requested, indicate the highest classification level, category, and caveats as applicable.

Activities

Reproduction of Classified Matter

Level: Top Secret (TS) Secret (S) Confidential (C)
Category: Restricted Data (RD) Formerly Restricted Data (FRD) National Security Information (NSI)
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Destruction of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Faxing of Classified Matter, Auto-answer: Yes No

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Closed Storage of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Open Storage of Classified Matter

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Classified Computer Processing

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Classified Discussions

Level: TS S C
Category: RD FRD NSI
Caveats: NATO SAPS SIGMAS (14 15-20) Other:

Use of Secure Telephone (select all that apply) Amplified Nonamplified RG Encryptor

Video Teleconferencing (select one) Classified Unclassified

Other Classified Amplified Sound: Explain:

8. Additional Comments:

ATTACHMENT 3

Sample Security Area Approval Certificate

**Headquarters Facility
Security Area
Approval Certificate**

The following area

Forrestal Building, Room

Has been approved by the DOE Office of Headquarters Security Operations as a:

Vault-type Room

For the following classified activity

Open storage, processing, reproduction and destruction
of classified matter

up to and including the following classification level/category

Secret/Restricted Data

Approving Authority

Date