

ADMINISTRATIVE - INTERNAL USE ONLY

28 OCT 1977

OFFICE OF RESEARCH AND DEVELOPMENT
GENERAL NOTICE NO. 95

SUBJECT: Control of Contractor Clearances, Accesses to
Compartmented Information and Need-to-Know
Regarding ORD Projects*

1. (U/AIUO) Effective immediately, all ORD COTR's are required to maintain a list of all contractor personnel (including managers, security, contract staff, clericals, as well as technical assignees) who have the need-to-know classified information regarding ORD-sponsored research projects. This requirement applies to all contracts which become effective after the date of this notice. The COTR, in concert with the Contractor Program Manager, is to develop a separate list for each contract that the COTR monitors. The listings are to state clearance levels (CONFIDENTIAL, SECRET, or TOP SECRET) as well as specifying which, if any, Codeword accesses (SI, TKH, BYE) or a "Q" clearance are needed by each contractor employee listed. Completed lists and subsequent modifications to the lists will be sent to the ORD Contracts Staff.

2. (U/AIUO) Contracts entered into after the date of this notice or existing contracts which are extended by adding additional work will require that an initial access and clearance list be furnished to the Contracting Officer within 60 days of the date of the contract. All such lists are to be signed by the Contractor Program Manager. When these lists have been received by the contracting officer, he shall forward them to the COTR for verification and return to the ORD Security Staff. In addition, quarterly reports thereafter to the Contracting Officer are to be submitted by the contractor. These reports will state whether or not there have been changes in need-to-know as well as changes in clearances levels or accesses needed to carry out assigned tasking. Again, the COTR shall verify/concur with these lists and return them to ORD Security.

*As used in this Notice, clearance refers to Office of Security approval for an individual to see and use classified information, i.e., CONFIDENTIAL, SECRET, or TOP SECRET; access refers to Security and Program Office approval for an individual to see and use material that requires special handling in compartmented channels, i.e., codeword material; need-to-know refers to approval by ORD, usually the COTR in concert with the contractor, for particular individuals from a particular contractor's facility--to see and use the substantive content, or to be aware of Agency sponsorship, of research projects, papers, or equipment produced or sponsored by ORD. Note that an individual's clearance or access level is a necessary, but not sufficient, requisite for that person's need-to-know.

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Any such changes are to be explained and the affected people are to be identified and notified by the Contractor Program Manager.

3. (U/AIUO) ORD sponsorship of accesses and clearances for listed contractor technical personnel may be withdrawn at completion of the work (acceptance of final report)--the ORD Security Staff will so notify the Office of Security. Any extension of our sponsorship of such clearances and accesses must be requested and justified in writing by the COTR and approved by the appropriate Division Chief. The ORD Contract Staff shall be responsible for withdrawing ORD sponsorship of clearances and accesses for the remaining non-technical contractor personnel before or at contract closeout.

4. (U/AIUO) This procedure is being implemented to more accurately control contractor access to classified projects that are granted under ORD sponsorship. The need-to-know lists serve a dual purpose in that they provide a basis for determining which individuals at a particular contractor require clearances and perhaps special security accesses. The lists also explicate to us and to the contractor those individuals at that contractor facility who are authorized to have information, in accord with their clearance or accesses, about work being done for ORD. The need-to-know lists are for ORD use and will not be made available elsewhere except to the particular contractor concerned.

5. (U/AIUO) The existence of the need-to-know list does not change existing procedures for meetings involving two or more contractors. Such meetings still require the permission of the COTR after he or she has been told what is to be discussed and who will attend the meetings from each contractor. The need-to-know lists will serve the COTR as an additional piece of information for deciding whether to approve the requested meeting or to modify the list of attendees. As noted in paragraph 1, these procedures apply to ORD contracts which become effective after the date of this General Notice. If a suitable Agency-wide procedure for these controls is adopted, this General Notice will be rescinded. The information to be included and a suggested format are shown in the attachment.



Philip K. Eckman
Director of Research and Development

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Attachment:

1. Contractor Clearance Access List Format

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