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LARGE AREA CROP INVENTORY EXPERIMENT (LACIE)

(E79-10127) LARGE AREA CROP INVENTORY
EXPERIMENT (LACIE). LEVEL 3 BASELINE; LACIE
COMMODITY DATA CONTROL PLAN FOR JSC (NASA)
34 P HC A03/MF A01
CSCL 02C

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NASA NOAA USDA

Level 3 Baseline

LACIE COMMODITY
DATA CONTROL PLAN
FOR JSC



National Aeronautics and
Space Administration

Lyndon B. Johnson Space Center
Houston Texas 77058

NOVEMBER 1977

NOTICE: THIS IS A BASELINED LEVEL 3 DOCUMENT CON-
TROLLED BY THE LACIE LEVEL 3 CHANGE CONTROL BOARD.
ANY PROPOSED CHANGES SHOULD BE DOCUMENTED ON AN
RECP FORM AND TRANSMITTED TO R. B. MACDONALD,
LACIE MANAGER, NASA JSC, CODE SF, HOUSTON, TEXAS 77058.

REVISIONS

REV LTR	CHANGE NO.	DESCRIPTION	DATE
		BASELINE ISSUE (Reference CCBD 5M0054 dated January 9, 1976)	1-9-76
A	6M0026	Complete revision due to the recommendation of the NASA/JSC Chief Counsel and contracts representatives. (The intent of CCBD 6M0021 has been incorporated in this revision).	5/24/76
B	7M0035	Complete revision in order to update the document and incorporate changes in the system.	11-17-77

LIST OF EFFECTIVE PAGES

The current status of all pages in this document is as shown below:

<u>Page No.</u>	<u>LACIE Change Date</u>	<u>Authorizing CCBD Number</u>
<u>ii</u> through <u>viii</u>	Revision 11-17-77	7M0035
<u>1-1</u> through <u>B-1</u>	Revision 11-17-77	7M0035

FOREWORD

LACIE estimates of wheat area, yield, and production are considered to be sensitive. These estimates are speculative and may be of interest to investors in making commodity-market investment decisions since they are related to future production.

It is essential that strong measures be instituted to manage and control these sensitive data to avoid premature disclosure and to prevent the unauthorized use of this information for exploitation by manipulators or speculators. The LACIE Commodity Data Control Plan for JSC is established to define the procedures and mechanisms to protect and safeguard sensitive LACIE-generated data.

All personnel working on the LACIE project will be held personally responsible for the protection and safeguarding of LACIE crop estimates of which they have knowledge or that are in their possession from premature or unauthorized release. Personnel who have access to wheat area, yield, and production estimates generated by LACIE will adhere to the provisions of this plan and comply with the procedures and controls described herein.



R. B. MacDonald
Manager, Large Area Crop Inventory Experiment

ACKNOWLEDGEMENT

This document was prepared by H. V. Huber, Project Control Office, Large Area Crop Inventory Experiment (LACIE), Lyndon B. Johnson Space Center, National Aeronautics and Space Administration (JSC/NASA), and D. B. Avery, Lockheed Electronics Company, Inc., Aerospace Systems Division, Houston, Texas, under NASA contract NAS9-12200. Significant contributions were provided by F. H. Osterhoudt, U.S. Department of Agriculture, Washington, D.C. LACIE staff members of the participating agencies representing the U.S. Department of Agriculture (USDA), the National Oceanic and Atmospheric Administration (NOAA), and the National Aeronautics and Space Administration provided support in formulating procedures and policies and coordinating various facets of the plan.

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ACRONYMS AND ABBREVIATIONS

ADP	Automatic Data Processing
AES	Application Evaluation System
CAMS	Classification and Mensuration Subsystem
CAR	CAS Country Annual Report
CAS	Crop Assessment Subsystem
CCEA	Center for Climatic and Environmental Assessment
CCO	Commodity Data Control Officer
CCT	Computer Compatible Tape
CMR	CAS Monthly Crop Report
CUR	CAS Unscheduled Report
DAPTS	Data Acquisition, Preprocessing and Transmission Subsystem
DSAD	Data Systems and Analysis Directorate
EI	Estimates Included
EOD	Earth Observations Division
ERIPS	Earth Resources Interactive Processing System
ERPO	Earth Resources Program Office
FAO	Food and Agricultural Organization
FAS	Foreign Agricultural Service
GDSB	Ground Data Systems Division
GSFC	Goddard Space Flight Center
ICD	Interface Control Document
IE	Information Evaluation

IMR	IE Monthly Report
ISRRS	Information Storage, Retrieval and Reformatting Subsystem
IUR	IE Unscheduled Report
JSC	Lyndon B. Johnson Space Center
LACIE	Large Area Crop Inventory Experiment
Landsat	Land Satellite (an Earth-looking satellite)
MSS	Multispectral Scanner
NASA	National Aeronautics and Space Administration
NOAA	National Oceanic and Atmospheric Administration
R&D	Research and Development
RT&E	Research, Test and Evaluation
SR&T	Supporting Research and Technology
SRS	Statistical Reporting Service
T&E	Test and Evaluation
USDA	United States Department of Agriculture
WMO	World Meteorological Organization
YES	Yield Estimation Subsystem

SECTION 1.0

PURPOSE

The purpose of the LACIE Commodity Data Control Plan for JSC is to delineate the policies, procedures, guidelines, and methods for the implementation, maintenance, and operation of a system to control and safeguard LACIE-generated sensitive data. The intent is to ensure that estimates of wheat area, yield, and production are not misused or given to individuals on a preferential basis in advance of general public release.

This document defines in depth the parameters governing the sensitivity of LACIE data and will serve as a guide and reference concerning LACIE sensitive data and their distribution, handling, reproduction, and release.

SECTION 2.0

SCOPE

The controls and procedures stipulated in this plan apply to all government personnel involved in the LACIE project at NASA/JSC. These include personnel of the U.S. Department of Agriculture (USDA) and the National Oceanic and Atmospheric Administration (NOAA) interagency supporting staff.

Contractor personnel are governed by the controls and procedures of this plan only to the extent that these stipulations are specifically made applicable by the provisions of their respective contracts. For the purposes of this document, contractor personnel are considered to be those personnel working under support service contracts and university contracts and other special contractors and consultants.

The provisions of this plan encompass all wheat area, yield, and production estimates generated by LACIE. The provisions of this document will remain in effect throughout all phases of the experiment as provided for in the LACIE Project Plan, LACIE-C00605, dated August 1975.

The controls and procedures of this document will be compatible with the requirements for management and control of sensitive LACIE data as promulgated by the Executive Steering Group (Level 1), or by the Agency Project Managers or other LACIE activities such as the Center for Climatic and Environmental Assessment (CCEA) and the NOAA Page Building facilities. Whenever there is a conflict between controls and procedures stipulated in this plan and those defined in higher level documents, the higher level documents will take precedence and will be the controlling documents.

SECTION 3.0
POLICY

In accordance with the policies stated in the LACIE Management Guidelines, the USDA, the NOAA, and the National Aeronautics and Space Administration (NASA), as participants in the LACIE project, are responsible for ensuring that each member of its LACIE staff is fully aware of his data protection responsibility under these policy guidelines, including the issuance of procedures as appropriate.

Data that may be sensitive must be fully defined to all personnel having a legitimate need for such data in order to fulfill LACIE objectives and goals. All employees working on LACIE shall, therefore, be advised that access to LACIE estimates of wheat area, yield, and production are governed by the policies and procedures set forth in this document.

In the context of this document, the term "release" is used to connote the transmission, distribution and use of LACIE information under controls and restrictions to protect such information from premature disclosure. These controls and restrictions on "release" of LACIE materials apply to personnel within the LACIE system as well as providing a means of "releasing" LACIE information to the general public through appropriate channels. Policies and procedures on availability of LACIE materials and associated restrictions on their distribution or release are promulgated in the appropriate references in this section and defined in detail in section 5.0. The policies, procedures, controls and restrictions as set forth in this plan are not intended to delay or otherwise hamper the day-to-day technical efforts of the experiment or to interfere with the orderly fulfillment of LACIE goals as agreed to by all participants.

Data which may be sensitive in nature as defined herein shall be made available through the Commodity Data Control Officer (CCO) to personnel when it is established by management that they have a need for such data in order to

perform their assigned technical and functional activities. It is the responsibility of management, once the legitimacy of this requirement is confirmed, to ensure that all personnel under their jurisdiction have been appraised of and understand their individual obligations to protect sensitive data generated within LACIE and to comply with the provisions of this document. This responsibility cannot be delegated.

To administer and manage the systems designed to prevent access to sensitive LACIE information by unauthorized individuals, a CCO and an alternate have been designated at the following locations where such information is generated, processed, analyzed or evaluated.

<u>Location Of CCO and Alternate</u>	<u>Address</u>
LACIE Project Office	Johnson Space Center (JSC) Houston, Texas
NASA LACIE Agency Project Manager	NASA Headquarters Washington, D.C.
USDA LACIE Agency Project Manager	U.S. Department of Agriculture Washington, D.C.
NOAA LACIE Agency Project Manager	NOAA, Page Bldg. 1 Washington, D.C.
Director, CCEA	Columbia, Missouri

The policies and procedures defined in this plan are promulgated in accordance with the provisions of the following documents.

- A. LACIE Project Interagency Memorandum of Understanding, October 10, 1974
- B. Appendix I to Management Guidelines for LACIE, November 5, 1975
- C. LACIE Project Plan, LACIE-C00605, August 1975
- D. LACIE Level 3 Change Control Procedures Manual, LACIE D-75-02-001, February 21, 1975
- E. LACIE Project Documentation Plan, LACIE-C00603, August 1975
- F. Freedom of Information Act, JSCI 1382.4B
- G. Standards of Conduct for NASA Employees, NHB1900.1A
- H. USDA User Requirements, May 1975
- I. USDA Foreign Agricultural Service Notice No. 679
- J. CAS-IE ICD, section 6, LACIE-C00709, September 12, 1975

- K. Title 18, U.S. Code, Chapter 93, section 1902, "Disclosure of Crop Information and Speculation Thereon"; section 1905, "Disclosure of Confidential Information"; and section 2072, "False Crop Reports"
- L. NASA Management Instruction (NMI) 1900.4, "Responsibilities for Safeguarding Crop Information"

SECTION 4.0
RESPONSIBILITIES

The LACIE Project Manager has the overall responsibility for establishing administrative and physical controls and appropriate methods of safeguarding sensitive LACIE data. The CCO is responsible for implementing and administering those safeguard controls and methods.

4.1

MANAGEMENT RESPONSIBILITIES

The LACIE Project Manager will be responsible for ensuring that appropriate procedures and controls are instituted at JSC for maintaining safeguards and protection of individual reports, evaluations, estimates, and related information prepared by LACIE on wheat area, yield, and production.

The LACIE Project Manager will be the final authority on matters pertaining to the proper protection of sensitive LACIE information and for approval and designation by name of those personnel under his management jurisdiction authorized to have access to such information. These include personnel in LACIE support activities at the NASA/JSC, the USDA and NOAA interagency supporting staff, and personnel doing LACIE work under contract.

4.2

COMMODITY DATA CONTROL OFFICER RESPONSIBILITIES

The designated CCO located at JSC will have the responsibility for safeguarding LACIE information concerning estimates of wheat area, yield, and production.

The alternate CCO will, in the absence of the designated CCO, assume those responsibilities and perform those functions and obligations normally delegated to the CCO.

The CCO will be responsible for:

- A. Establishing and implementing the procedures and methods of properly and adequately safeguarding LACIE-generated sensitive information until such

information is made available for general public release.

- B. Ensuring that the administrative provisions and physical means of protecting sensitive LACIE data from inadvertent and unauthorized disclosure are strictly adhered to and are effectively maintained and monitored.
- C. Providing for ADP safeguards at the location of the computer terminals where wheat area, yield, and production estimates are generated, processed, or analyzed.
- D. Coordinating ADP safeguard procedures for those software/hardware activities external to the location of the referenced terminals.
- E. Ensuring that personnel working under the jurisdiction of the LACIE Project Manager are fully aware of their data protection responsibilities under the policies and guidelines of this plan.
- F. Implementing measures for ensuring that data containing aggregated area, yield or production estimates are made available or distributed only in accordance with policies on release of LACIE material as set forth in LACIE Management Guidelines or as established by the Executive Steering Group and in compliance with provisions of this plan.
- G. Ensuring that all CAS aggregations are conducted in the controlled and safeguarded area (Bldg. 17, Rm. 2070B) and that access to this area and to the CAS data being generated shall be limited to designated CAS personnel. Other LACIE personnel may be specifically designated by name by the CCO for access to the controlled area providing a requirement for such access is documented and justified.
- H. Establishing at JSC an accounting and tracking system to control, record, and monitor the receipt and transmission by mail, courier, or other means of current aggregated wheat area, yield, or production data to and from geographically separated locations.

- I. Establishing an accounting and tracking system to control, record, and monitor the handling of sensitive LACIE data within organizations and activities and between locations at JSC.
- J. Establishing an accounting and tracking system to control, record, and monitor working papers, tapes, reports, documents, or other sensitive material maintained, stored, or filed in the area designated for safeguarding such material. This includes the requirement for logging material in and out of the retention area by authorized personnel. Establishing and maintaining a system to control, record, and monitor the entrance into and exit from the limited access area (Bldg. 17, Rm. 2070B) used for safeguarding sensitive LACIE material.

4.3 PERSONNEL BRIEFING AND DEBRIEFING

4.3.1 Onboard Personnel

All LACIE personnel assigned to the project having a legitimate need for sensitive LACIE data or whose work requires access to such information will be formally notified and briefed by the CCO on the contents of the Commodity Data Control Plan, Federal statutes and regulations, NASA and JSC regulations, and other pertinent policies and procedures for safeguarding information. Each person will sign a statement indicating they have received such a formal notification and briefing and have been provided a copy of documents identified in the briefing.

4.3.2 Newly Assigned Personnel

All newly assigned LACIE personnel will be formally notified and briefed by the CCO concerning the items identified above or any more current applicable regulations and will sign a statement that they have received such a briefing and have been provided a copy of documents identified in the briefing. This briefing will be conducted on a monthly basis or as required.

4.3.3 Departing Personnel

Employees departing the LACIE project will have an obligation and responsibility to safeguard the LACIE sensitive data for a minimum period of

ninety days, or for periods otherwise specified, after they have terminated their association with the project. The USDA, NOAA, and NASA designated representatives at JSC shall advise departing personnel of their respective agencies on these obligations and responsibilities. Similarly, authorized representatives of government contractors shall advise their departing employees on these obligations and responsibilities. These debriefings will define and specify the general categories of LACIE materials and information and the associated restrictions on public release. The periods of time wherein the sensitivity shall be maintained will be explained and stipulated. Prior to departure and subsequent to the debriefing, each government or contractor employee will sign a statement acknowledging that such a briefing was received.

4.3.4

Personnel Responsibilities

Each employee involved in activities utilizing sensitive information should ensure that such data or information is properly safeguarded to prevent unauthorized disclosure while in his possession. All personnel should be fully cognizant of their responsibilities for the protection of LACIE-generated area, yield, or production estimates and for ensuring that material to be released does not contain sensitive data as specified in section 5.1. Release of material will be in accordance with instructions contained in section 5.0. If any employee has reason to believe there is a failure to provide for adequate safeguards, he shall promptly report this fact to the CCO.

4.3.5

Legal Responsibilities

The USDA, NOAA and NASA designated representatives at JSC shall advise their respective employees working within the LACIE of the statutory penalties for unauthorized disclosure of sensitive LACIE information. Government contractor personnel participating in the LACIE shall be advised of the penalties for unauthorized disclosure of LACIE sensitive information by spokesmen of their respective companies or organizations who are duly qualified legally or are otherwise authorized to represent the company or organization contractually.

In compliance with the stipulations of the USDA Foreign Agricultural Service Note No. 679, the USDA designated representative at JSC shall obtain USDA employee Nondisclosure Certification. This note further stipulates that all USDA employees who handle aggregated crop data must sign the Nondisclosure Certification and ensure that all LACIE material on agricultural estimates is adequately safeguarded.

NASA/JSC and contractor employees who have been advised of their statutory obligations will sign a LACIE statement. The employees will be required to state that they have been briefed and formally notified of the requirements of and responsibilities for safeguarding against the unauthorized disclosure of or use of LACIE data and information and that they have received and read specific documents advising them of such requirements and responsibilities. These forms, as well as the completed USDA and NOAA Nondisclosure Certification forms will be kept on active file by the CCO. These forms will be used to verify and authenticate by name those persons authorized to have access to LACIE sensitive information.

SECTION 5.0
GUIDELINES

5.1

AVAILABILITY AND RELEASE OF LACIE MATERIALS

General categories of availability of LACIE materials and associated restrictions on their distribution or release are as follows.

- A. Material routinely available includes:
 - 1. The basic Landsat imagery, environmental satellite data, and climatological data in accordance with current policy
 - 2. General descriptions of LACIE in terms of its experimental goals and objectives
 - 3. Research reports as approved by the Interagency Management Group
- B. Material that would be released on a case-by-case basis if requested includes:
 - 1. Historical LACIE national and regional assessments of acreage, yield, and production when in accordance with these guidelines such material is no longer being used for current analysis by USDA
 - 2. Generalized description of the basic area, yield, production, and agromet models
- C. Material not to be released includes:
 - 1. LACIE area, yield, and production estimates being used prior to USDA release
 - 2. Working materials and analysis in process
 - 3. User procedure details contained in data processing programs employed by LACIE
- D. Release of material relating to specific countries other than the United States and Canada, for which LACIE estimates will be made, will be handled in accordance with policy to be established by the Executive Steering Group.
- E. Since each employee is responsible for the protection of current area, yield, or production estimates in his possession, he is responsible for ensuring that material to be released does not contain data that

are to be protected as specified above. When in doubt, the employee should request the CCO to determine whether any of the material is under restriction. In this case, if the CCO determines that any of the data is currently under restriction, the material is not to be released unless the data to be protected is deleted. If the CCO determines that none of the data is restricted, he will so signify by signing under the date block.

F. All requests for sensitive LACIE data shall be coordinated with and cleared by the CCO.

5.2 PROTECTION PERIODS

Protection periods during which access to reports generated by one or more of the LACIE subsystems which contain aggregated area, yield, or production estimates will be restricted are as follows.

5.2.1 Maximum Protection Period

5.2.1.1 Access.- Limited to those persons on the LACIE staff designated by the CCO for the appropriate location.

5.2.1.2 Duration.- From date of issuance until the next working day following the release, by the Statistical Reporting Service, of USDA's official crop estimates for the same month. This will ensure that LACIE crop reports are not competing with or confused with official USDA crop estimates issued through the Statistical Reporting Service.

5.2.1.3 Legend.- The cover and each page of each report will prescribe the ending date of Maximum Protection Period.

5.2.2 Restricted Access Period

5.2.2.1 Access.- Available to LACIE staff to enable them to carry out assigned duties in reports evaluation, preparation of technical reports, program modification, etc. Since these data are generally raw and unevaluated, they will not be released outside LACIE staff and

management during the Restricted Access Period. However, in order to meet stated LACIE objectives, the CCO may authorize the release of selected portions of crop estimates for evaluation and/or analysis by authorized non-LACIE personnel. Persons so authorized to receive data are responsible for protection of the data.

5.2.2.2 Duration. - Four months from end of Maximum Protection Period.

5.2.2.3 Legend. - The cover and each page of each report will contain the ending date Restricted Access Period.

5.2.3 Post-Restricted Period

5.2.3.1 Access. - To members of the public on an individual request basis.

5.2.3.2 Duration. - Open-ended, beginning with end of Restricted Access Period.

An annual calendar will be maintained by the CCO delineating the specific dates when the Statistical Reporting Service reports are to be issued, thus establishing the above-mentioned restriction periods.

5.3 DETAILED PROCEDURES

The detailed procedures used in handling and safeguarding the type and categories of LACIE data identified in the following are delineated in appendixes A and B.

The sensitivity of the various types and categories of LACIE data is normally established in accordance with the following criteria.

- A. When a tabulation is compiled on more than one sample segment identifying both the sample segment number and its geographical position in latitude and longitude
- B. When a tabulation identifies specific details of acquisition by country, sample segment number, and date of acquisition

- C. When the CAMS/CAS interface tapes and documents containing tabulations of sample segments and associated analysis data are generated and ready for delivery to CAS
- D. When CAS produces area, yield, and production reports for delivery to the Information Evaluation Group, Washington, D.C.
- E. Yield estimates generated by YES:
 - 1. Hard copy - when information is produced via the terminal at JSC
 - 2. Tapes - when the information is produced at Page Bldg. or CCEA to be mailed to JSC or when tape is produced at JSC using telephone line facilities between JSC and CCEA or Page Bldg
 - 3. Purched Cards - when produced at CCEA or Page Bldg. to be mailed to JSC
- F. Duplicates of any of the preceding types or categories of data - when produced.

A repository for sensitive LACIE data will reside in the Commodity Data Control Office located at JSC, Bldg. 17, Room 2070B.

Distribution and release of sensitive LACIE data will be coordinated and conducted by and through the CCO.

The exact periods of protection/control applicable to each item of sensitive LACIE data will be identified and applied by the CCO upon receipt of the data.

Sensitive area, yield, and production data in the process of being accumulated or working papers actively being used containing such data will be submitted to the CCO for application of a stamp notation indicating "LACIE SENSITIVE - INTERNAL USE ONLY."

Personnel responsibilities for protection of sensitive LACIE data:

- A. Personnel shall take steps to protect current data in their possession, including:
 - 1. Locking up reports that require safeguarding at night, on weekends, on

- holidays, or during other extended absences from assigned work area
2. Placing reports in a closed drawer when individuals leave their work areas or desks unattended during normal working hours
 3. Turning reports face down whenever an individual has visitors not authorized to receive current LACIE commodity data
 4. Ensuring that work sheets and other analyses are treated the same as the LACIE commodity data reports containing area, yield, or production information
 5. Disposing of waste and scrap paper by shredding or tearing in such a manner as to render the information content of such paper useless
- B. It is particularly important that analysts and all other LACIE personnel use caution and discretion in discussing their activities and functions outside their work areas, particularly as they relate to commodity data.
- C. Secretaries and other support staff shall take precautions similar to those of the analysts.
1. Typing or copying of sensitive data must be done in such a manner as to safeguard the sensitivity of the material.
 2. The person requested to type or copy such material should be alerted to its sensitive nature; thus, the analyst should alert the secretary when specific material is to be protected.

5.3.1

Distribution of CAS Monthly Reports

- A. The SRS Crop Reporting Board will receive one copy:

Mr. W. Kibbler
Administrator of Statistical Reporting Board
Service
U.S. Department of Agriculture
Room 5863, South Bldg.
Washington, D.C. 20250

- B. The CCO's at the following locations will receive one copy:
 - 1. The USDA LACIE Agency Project Manager, Washington, D.C.
 - 2. The NASA LACIE Agency Project Manager, NASA Headquarters, Washington, D.C.
- C. Six copies will remain on file in the Commodity Data Control Office, JSC, Bldg. 17, Rm. 2070B.
- D. Additional distribution will be determined by the LACIE Manager.

SECTION 6.0
PROCEDURES

Administrative and physical control procedures for safeguarding LACIE sensitive data are delineated and defined in detail in appendixes A and B. These procedures establish the systems and methods to be implemented and applied in the administration, physical control, and protection of all categories of LACIE data identified as being sensitive and requiring safeguarding.

APPENDIX A
DETAILED ADMINISTRATIVE CONTROL PROCEDURES

A1.0

PURPOSE

The detailed administrative control procedures are established to delineate and define those responsibilities, procedures, and methods of properly and adequately safeguarding LACIE-generated sensitive information until such time as that information is made available for general public release.

A2.0

DEFINITION

- A. Information - Any form of communication through which sensitive LACIE data are transferred, such as correspondence, documents, reports, maps, computer tapes, punched cards, films, slides, graphics, recordings, exhibits, or displays.
- B. Controlled and safeguarded area - Room 2070B, Building 17, JSC, designated for CAS aggregation of wheat area, yield, and production data.

A3.0

ACCESS PROCEDURES

A3.1

ACCESS TO ROOM 2070B, BLDG. 17

A list of personnel authorized entrance to Room 2070B, Bldg. 17, will be maintained by the CCO. No changes, deletions, or additions will be made to this list without approval of the LACIE Manager or his delegated representative. The list of personnel authorized admittance into this room will be posted in a prominent location at the outside entrance of the room and the Data Control Records clerk will control, monitor, and administer admission.

A3.2

ACCESS TO TERMINALS IN ROOM 2070B

An access list authorized by the CCO for operators of the terminals will be posted in a prominent location adjacent to the room access list. (Identification numbers and passwords necessary to operate the terminals will be controlled by the CAS subsystem manager.)

A3.3

LACIE PERSONNEL

Access to Room 2070B will be controlled and restricted to those CAS personnel actually assigned to perform aggregation, analysis, or evaluation activities and functionally related work. Other LACIE personnel may be specifically designated by name by the CCO for access to the controlled area providing the requirement for access is properly justified and documented.

A3.4

NON-LACIE PERSONNEL

Maintenance and repair personnel or other non-LACIE individuals having an established need approved by the CCO to be in the restricted area will be under continuous escort. All work being performed by LACIE personnel will be discontinued during the period such non-LACIE individuals are in the area. Working papers and other materials will be monitored and otherwise safeguarded and protected.

A3.5

VISITORS

Entrance to the area by visitors must be approved by the CCO and will be limited to those having official business with LACIE personnel in the controlled area. Visitors will be met at the entrance area by the person with whom they have business and will be continuously escorted by that person throughout the period of time the visitor is in the area. It will be the responsibility of the escorting individual to ensure that the visitor has bonafide business and that he receives only that assistance, information, or material which he has been authorized to receive by the CCO or the Project Manager or their designated representatives.

A3.6

ACCESS RECORD

With the exception of those individuals designated in section 3.1, all personnel will be logged into the area by the Data Control Records clerk by date, name, organization, address, telephone number, and the name of the person visited. The name of the individual sponsoring non-LACIE personnel or visitors into the area will also be recorded. Access logs

will be retained on file throughout the duration of LACIE or until instructions for disposition have been issued.

A4.0 ACCESS LISTS

A4.1 ACCESS TO ROOM 2070B

A duly authorized (by the CCO) access list for admittance into the room will be posted in a prominent location at the entrance of the room, and the Data Control Records clerk will administer admission accordingly.

All approved visitors requesting access and who are not on the access list will be sponsored by a person on the authorized list. All such individuals will sign in and out on a log indicating date, time, and reason access is required. The sponsor will initial the signature.

A4.2 ACCESS TO TERMINALS IN ROOM 2070B

A duly authorized (by the CCO) access list for operations of the terminals will be posted in a prominent location adjacent to the room access list. (Identification numbers and passwords necessary to operate the terminals will be controlled by the CAS subsystem manager.)

Access list to receive Maximum Protection Period data will be in the custody of the Data Control Records clerk and will be used in sign-out of such data.

A5.0 DATA SIGN-OUT PROCEDURES

A5.1 RESTRICTED OR LOW-RESTRICTED DATA

- A. Requester will indicate desired data to Data Control Records clerk.
- B. The clerk will obtain the information from Room 2070B.
- C. The clerk will ascertain that an MSC Form 173 is affixed to the information and that all data control stamps and log numbers have been properly applied.

- D. The clerk will have the requester sign and date the MSC Form 173 in the proper location.
- E. The clerk will remove the signed MSC Form 173 and deliver the item to the requester.
- F. The clerk will file the signed MSC Form 173 in the appropriate location in the sign-out receipt container.

A5.2

MAXIMUM PROTECTION PERIOD DATA

Sign-out procedures for this type data will be the same as for Restricted or Unrestricted Data with one exception; only the persons appearing on the access list for Maximum Protection Data will be authorized to receive such data. Access list to receive Maximum Protection Period data will be in the custody of the Data Control Records clerk and will be used in the sign-out of such data.

A6.0

DATA SIGN-IN PROCEDURES

- A. The person signed out for the data will return them to the Data Control Records clerk.
- B. The clerk will return the original signed copy of MSC Form 173 in exchange for the data.
- C. The clerk will then return the data to the proper location in the file.

A7.0

MAIL LOG-IN PROCEDURES

- A. Inspect seals.
- B. Assign sequential number to item and notate in "Log-In" Ledger.
- C. Record title.
- D. Record issuance date of item.
- E. Record date received by CCO.
- F. Apply proper color code to denote when restriction is removed.

- G. Apply proper color code sheet to front of item with proper restriction dates.
- H. Prepare sign-out form.
- I. Place item in proper storage location in room 2070B, Bldg. 17.

A8.0

MAIL LOG-OUT PROCEDURES

- A. Record assigned sequential number and notate in "Log-Out" Ledger.
- B. Record title.
- C. Record data mailed out.
- D. Deliver to mail room for attachment of return receipt and acquire number on receipt.
- E. Post in "Log-Out" Ledger receipt number.

A9.0

TRANSMITTAL OF LACIE REPORTS

The CCO will transmit LACIE Reports containing current commodity data in a double envelope by registered mail, return receipt requested. The outside envelope will contain only an address. The inside envelope will designate the contents. The CCO will also ensure that unauthorized access to contents can be readily detected.

The CCO shall:

- A. Seal the inner envelope carefully.
- B. Write the signature of the sender, date and time with a ballpoint pen across the joint of the seal or seals of the envelope.
- C. Place transparent tape over the sealed joint and signature so that removal will tend to lift fibers of the envelope and will surely lift the ink off the writing.

A10.0

YES PASSWORDS

Changing of passwords used by JSC YES personnel in accession to NOAA-Page Bldg. or Center for Climatic and Environmental Assessment (CCEA) computers for yield estimates will be mailed from the CCO at CCEA to the CCO at JSC via registered mail, return receipt requested. The DATA Log-In and Sign-Out procedures will be implemented in the handling of the information. The YES Subsystem Manager will be

signed out with the YES Password information and will control the release of it to authorized personnel in the YES.

A11.0

EVALUATION OR ANALYSIS OF LACIE DATA BY
NON-LACIE PERSON

There will be times when, to attain stated LACIE objectives, it will be necessary to take protected LACIE data to non-LACIE persons for evaluation and/or analysis during the Restricted Access Period. Such material shall first be logged out through the CCO. The CCO will require a written justification for his approval and filing. Also, the CCO will require assurance that the material released will be protected by the non-LACIE person. At a minimum:

- A. The non-LACIE recipient will receive a Data Protection package including the appropriate certification or statement and the materials described therein.
- B. There will be an oral explanation to the recipient of the sensitive nature of the materials.

A12.0

PRESENTATIONS AND BRIEFINGS

There is in the LACIE a continuing requirement for management communication to report on the status or progress of the project and technical or scientific developments. In those instances where status reports or briefings are to be given to Level 1, 2 or 3 management, any data within the LACIE project necessary to the decision making process may be used providing no parties external to the LACIE Project Interagency Memorandum of Understanding are present. Such reports or briefings prepared as part of the LACIE project may reflect acreage, yield, or production figures (including intermediate summaries) and therefore are considered sensitive and must be handled accordingly. Positive steps shall be taken to ensure that those present for such reports or briefings are there in an official capacity and authenticated as having a need for such information.

Individuals making these types of briefings will preface their discussions with a verbal explanation that the material to be presented contains LACIE sensitive data and should be treated as such. If the information contained in the presentation is derived from area, yield, and production data in the process of being accumulated or from working papers actively being used containing such data, that material will be stamped with the notation "LACIE SENSITIVE - INTERNAL USE ONLY."

If, however, the briefing contains information or reports generated by one or more of the LACIE subsystems which contain aggregated area, yield, or production estimates, access to this information is restricted in accordance with the provisions of and for the protection periods defined in section 5.2. Material containing such data will be stamped with the notation indicating the ending dates of the "Maximum" and "Restricted" protection periods.

When slides or viewgraphs are used, the initial slide or viewgraph should contain the stamped notation appropriate to the information content of the briefing. This is for the purpose of introducing to the audience the category of sensitivity, as defined above, of the material being used. All written material, graphs, slides, charts, viewgraphs or other data used in the presentation will be stamped with the annotation appropriate to the data contained thereon.

Hand-out material which contains LACIE sensitive data issued to attendees at briefings or presentations will be signed for and dated by the recipient on MSC Form 173. This form will be affixed to the material by the CCO at the time the stamps indicating the category of sensitivity are applied. The original signed copy of the MSC Form 173 will be returned to the CCO by the individual making the presentation or briefing.

It will be the responsibility of the individuals preparing the briefing to ensure

that the above notations are stamped on the presentation or report material prior to the actual presentation. All duplicate copies of the presentation or hand-out material will be similarly stamped. The proper stamps and instructions for appropriate placement of these notations may be obtained through the CCO. It will also be the responsibility of the individual making the presentation to safeguard or secure all briefing materials in his or her possession during travel, at night and at all other times when the material is not actually being used.

During the actual preparation of reports and briefing material, measures shall be taken to ensure that all sensitive information is properly safeguarded. All materials which fall within the criteria for "Maximum" and "Restricted" protection periods will be stored in room 2070B of Building 17 until signed out to the presenter of the briefing. The data will be returned to the CCO after presentation for retention in room 2070B and will remain there until its sensitivity date has expired.

APPENDIX B
DETAILED PHYSICAL CONTROL PROCEDURES

B1.0

OPENING OF ROOM 2070B

The Data Control Records clerk or authorized alternates will unlock the door and initial the log and indicate date and time of opening.

The Data Control Records clerk or authorized alternates will survey the contents of the room to ascertain that all storage containers and equipment have not been tampered with.

B2.0

SECURING OF ROOM 2070B

The door to the limited access area will be provided with appropriate locking devices. The door will be locked at all times during normal business hours when the area is not occupied and the door is not monitored, at night, and on weekends and holidays. The door need not be closed during business hours whenever the Data Control Records clerk or other authorized personnel are monitoring the entrance.

Personnel will be designated by roster to assure that all working materials and data are stowed and locked in file cabinets or otherwise secured at the end of each working day. These personnel will also be responsible for assuring that all file cabinets, safes, and containers are locked and properly secured at the end of each working day. The individual responsible for this security check will initial the log and indicate the date and time the check was completed. After this action the CCO or his designated alternate will perform a similar security check, initial the log and indicate the date and time of completion.

The Data Control Records clerk or authorized alternates will lock the door and initial the log and indicate date and time of closing. After this action has been completed, the CCO or his designated alternate will verify that the door has been locked, initial the log and indicate the date and time of verification.

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