Australian Government
Defence

Security Officer Resource Guide

To defend Australia and its national interests in order to advance Australia's security and prosperity
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What is the Security Officer Resource Guide?

This Resource Guide has been created by the SEG Defence Security SPS Security Professionalisation team within the Defence Security Division to support the Security Officer Course. It has been designed as a user-friendly 'plain-English' publication to provide you, the course participant with:

- basic information regarding your duties
- show you how your duties relate to the much larger security picture based on security risk management principles
- show you where to go to for advice
- (as an online product) – provide you with hyperlinks to commonly used tools, templates, forms and other essential products that will aid you with your duties.

The Resource Guide introduces you to more authoritative sources of information such as the Defence Security Principles Framework and the Defence Security Division intranet section; it does not act as a replacement for them. As handy as this guide will be, you should **always** seek advice and key messaging from the primary sources of security information.

The Resource Guide is designed with brevity in mind. Your course facilitator will elaborate key concepts to you and show you where to find further information.

The Resource Guide will be updated on a regular basis to meet demand and changes in policy and process. By referring to the online version of this product on the Security Officer Hub , you shall always have the latest version.

If there is an error within the Resource Guide, or a broken hyperlink – please contact security.professionalisation@defence.gov.au.

What are the coloured text boxes for?

The coloured text boxes are highlights expressing key information relating to duties, or to define key policy principles or processes.

Grey boxes contain definitions, quotes, policies and principles from authoritative sources of information.

Blue boxes contain handy hints, tips, examples and key information related to Security Officer duties.

TABLE OF CONTENTS

TABLE OF CONTENTS *3*
SECURITY OFFICER (SO) RESPONSIBILITIES *4*
BACKGROUND - HOW DOES SECURITY WORK? *6*
Context **7**
Assets **7**
Security Threats **9**
Security Controls **10**
SEEKING INFORMATION *13*
Defence Security Principles Framework (DSPF) **14**
Security Standing Orders **18**
Seeking Advice **18**
SECURITY OFFICER DUTIES *20*
Security Awareness & Training **20**
Awareness 20
Security Training 24
Clearance Process **26**
Maintaining a Security Clearance – 'Aftercare' **30**
Temporary Access to Classified Information and Assets **32**
Controlling Access **33**
Controlling access to facilities, information and assets 34
Audiovisual Controls **37**
Incident Response and Reporting **38**
Security Incidents 38
Emergency Response 38
Security Incident Reporting 40
Assurance Activities **42**
PRESENTATION TIPS *45*
NOTES: *49*

SECURITY OFFICER RESPONSIBILITIES

"Security Officers are an important part of the Defence Security Community and contribute to the protection of Defence's people, information, assets in support of its capabilities and mission. The role of the Security Officer is critical to ensure the desired protective **security culture is promoted and maintained** across Defence.

Security Officers are required to provide **DSPF advice and support** to Control Implementers, Control Officers and their Commanders and Managers on security matters, particularly on the implementation of DSPF principles, policies, processes and controls"

- DSPF Governance, paragraphs 67-68

Based on this descriptor from the DSPF – a Security Officer's main function is to:

BE A PROMOTER:

- Of positive security culture
- Of good security practices
- Of good security risk management

BE AN ADVISER AND AN ENABLER:

- Train and advise employees on how to implement the DSPF
- Brief newcomers and old-hands in your business unit on local security practices

BE A SUPPORTER:

- Support others to make your business unit safe and secure
- Support Commanders and Managers to make good risk-based decisions
- Support Commanders and Managers to implement the DSPF

"Supervisors and custodians of information and assets are accountable for the appropriate implementation of DSPF principles, policies, processes and controls within their workplaces"

-DSPF Governance, paragraph 64

KEY DUTIES

Commanders and Managers are accountable for ensuring an adequate and functioning security regime exists in your area by:

- Promoting a strong security culture; and
- Implementing best practice security

As the Security Officer (SO), you will support this by conducting the following duties:

1. Promoting security awareness and shaping security culture in your area.
2. Providing security advice.
3. Coordinating/conducting security training in your area.
4. Delivering security briefings (e.g. overseas travel, on-boarding/off-boarding & cyber security).
5. Coordinating and assisting clearance subjects through a clearance process, including '**maintenance**' activities.
6. Verifying clearances for access purposes (physical, ICT, classified meetings, visitors etc.).
7. Ensuring effective access control procedures to your area, information and assets are in place and followed.
8. Ensuring effective key and combination control systems are in place in your area.
9. Ensuring effective audiovisual controls are in place in your areas.
10. Ensuring staff are aware of emergency/incident procedures in your area.
11. Reporting/coordinating security incident and contact reports for your area.
12. Assisting/conducting inquiries post-security incident or assisting a Defence Investigative Authority (DIA) during an investigation in your area.
13. As part of your section/area's assurance regime:
    a. drafting and maintaining **Security Standing Orders** (SSOs) for your area
    b. maintaining a **Security Register**
    c. conducting an annual **Protective Security Self Assessments** (PSSA)
    d. conducting or coordinating information/asset **census/musters**
    e. if required – conducting self-certification of Zone Two areas
    f. Defence Industry Security Program (DISP) members – assisting in the maintenance of DISP membership.

It is important that you discuss and plan your duties with your Commander/Manager upon commencement of the role and record key events and duties in a calendar or plan. You will need to review these regularly as circumstances may change in your area.

You support your Commander/Manager – they may assign additional duties and make the final determination on the specifics of your role. Be flexible.

Some tools, templates and guides which you will use can be found in the Security Officer Hub on the Defence Security Division intranet section.

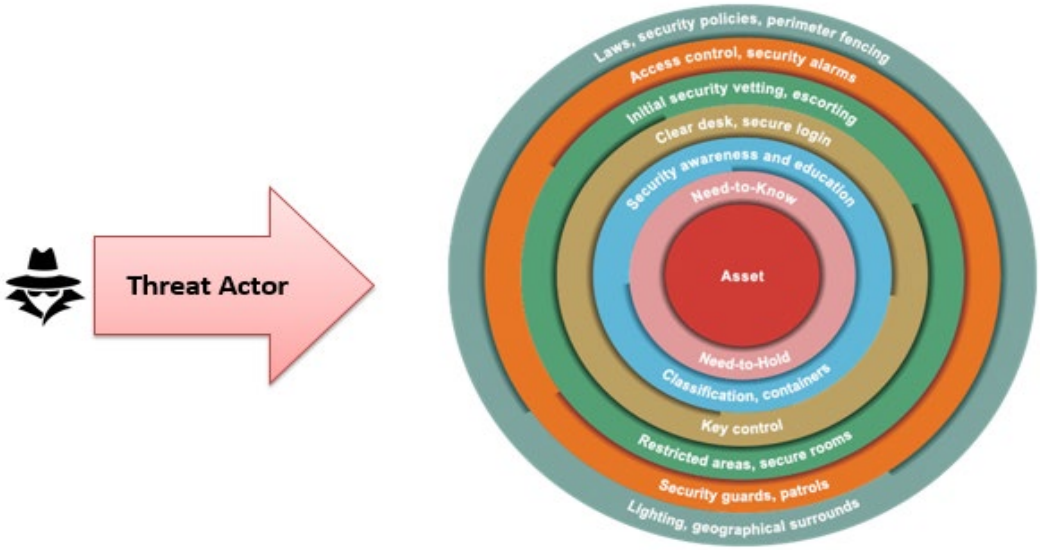
If you are required to verify, request or cease a security clearance as part of your duties, you will require access to the AGSVA myClearance Portal.

Note: It is recommended that you meet with your Commander/Manager/project sponsor (as a new SO and then annually or as required) to discuss and agree on your duties as SO in your section/area. At the back of this Resource Guide, there is a template to record your agreed responsibilities.

BACKGROUND - HOW DOES SECURITY WORK?

> "Security is the condition of being protected against danger or loss. It is achieved through the mitigation of adverse consequences associated with the intentional or unwarranted actions of others…
>
> It refers to the measures used to protect assets that collectively create, enable and sustain (Defence) capability."
>
> - '*Security Risk Management Body of Knowledge*',
> *Julian Talbot and Miles Jakeman, 2008*

You will remember from your Annual Security Awareness training that protective security concerns the protection of Defence assets from threat actors using various security controls. Controls are applied using the 'security-in-depth principle':



> Defence achieves its security objectives by applying multiple layers of security measures and procedures. This approach is known as the 'security-in-depth' principle. Security-in-depth uses security protocols, processes and controls that compliment and strengthen each other. This layered approach improves Defence's security because a series of protective measures is more robust than a single line of defence.

What happens if security controls fail?

If security controls are not applied correctly, a vulnerability may be exposed. Threat actors like to target vulnerabilities in order to bypass security controls. In risk terms – the process of the threat actor defeating controls and attacking an asset is known as a Security Risk Event (SRE). DS Division provide a list of SREs that relate to a number of *potential events* involving known threat sources on its intranet section.

The realisation of a SRE is known as a 'security incident'. Put simply 'An occurrence which results, or may result, in negative consequences for the security of Defence'. If a security incident does occur, we need to adequately respond to it, report it, and recover from it.

Context

In reality, the application of controls is not quite as simple as the security-in-depth picture above. Security controls cannot be applied equally and effectively at an enterprise level. One area is not the same as another, even if they possess similar assets. Security must be applied taking into account local needs and unique business requirements – as per the intent of the DSPF. It is all about operational and strategic context.

Operational Context – Refers to gaining an understanding of your area's internal environment. (What does your organisation do? What assets are you trying to protect? Why do they need protection? What makes them attractive to threat actors? What controls are already in place?).

Strategic Context – Refers to gaining an understanding of the external environment in which your area is operating or may be operating in the future (geography, social environment, legislative concerns, neighbouring factors). It also requires an understanding of any threat actors who may be interested in harming or compromising your assets.

Establishing context is the first step and most fundamental input into any Security Risk Assessment (SRA).

But what has this got to do with Security Officers?

Your Commanders and Managers, those **you** support in making security decisions, will require information inputs into their SRAs. You can assist them. Many of the questions required to establish context can be sourced from the documents you maintain and the duties you undertake, such as:

- Security/Asset Registers
- Security Standing Orders
- Incident Reporting
- Protective Security Self-Assessments
- Security Briefings
- Threat Briefings

As an SO, you will play a significant role in the security risk management process. You'll learn more about SREs, SRAs and context if and when you attend the Security Risk Management Workshop (SRMW).

Assets

'Assets' is a collective term that describes items that are valued or relied on to sustain capabilities, such as people, property, equipment, information and reputation.

What makes your assets attractive?

Threat actors would not be interested in your assets if they weren't attractive to their needs. It is like a *moth to a flame* – what is it about your asset/s that makes someone want to harm, compromise, destroy or steal it?

- Is it worth stealing because of its monetary value?
- Is it worth sabotaging to make a negative impact on Defence's capability?
- Will it benefit a foreign, industrial/criminal entity if they had access to, or information about it?
- Will it make a statement if people were harmed?
- Will it inflict damage to Defence's (or business') reputation?

Knowing the answers to these questions may give an indication to the types of threats who may which to inflict harm.

What is your asset worth to Defence?

This is not just a question about monetary value, but how *critical* is that asset to Defence capability and the national interest. What would be the *impact to business* if that asset were lost, compromised, made inoperable or tampered with? What would be the impact to Defence's reputation? Two criticality ratings we give information and assets are:

- Business Impact Levels (BILs), and
- Security Classifications

The BILs/classifications help to drive the level of required security controls used to protect the information/assets.

It is a good idea to create and maintain an assets register. The register should indicate the type and numbers of assets and how critical they are to Defence's capability).

Is there any general advice I can give with regards to protecting our assets?

Reduce holdings to only what is required. Remember the 'Need-to-Hold' principle – *Only have in your possession what you require to achieve the task.* Resources that have not been used or referred to for a long time should be *disposed of* in accordance with DSPF Control *Classification and Protection of Official Information* – annex H. The less there is to protect:

- The LOWER the security risk
- The LOWER the security overheads
- The FEWER amounts of information/assets to muster at census time!

STOP printing stuff out!! - PROMOTE this concept as much as possible. Encourage the use of ICT measures to store, handle and transfer information. It is a much more efficient way of protecting information.

Security Threats

You will remember from the Annual Security Awareness Course, that there are six threat 'actors' that Defence is concerned about:

Espionage & Hostile Foreign Intelligence Services: Other governments may try to elicit information on Australian Defence capabilities, activities or intentions. This information can be used to improve their own military capability or to harm the Australian Defence Force.

Insider Threats: The insider threat involves current or former Defence employees who have, or had, legitimate access to Defence information and resources and have intimate knowledge of how the organisation operates. They can be a threat and/or enabler for a range of other threats.

Terrorism & Politically Motivated Violence: Individuals or groups may use violence, or the threat of violence, against Defence personnel and property to intimidate the government and the public in order to advance their political, religious or ideological cause.

Serious & Organised Crime: Defence is at risk from a wide variety of criminal activities. For example Outlaw Motorcycle Club members may target general or specific items for theft; these items may include computer equipment, weapons or explosives.

Maverick/Fixated Individuals: A maverick individual is an issue-motivated person, possibly a disgruntled ex-employee, who sees value in causing disruption. Maverick individuals are generally non-conformists, driven by a particular concern or dispute. They can sometimes be unstable to deal with, act on impulse and may make poor decisions.

Issue-Motivated Groups & Violent Protests: Issue-motivated groups are a collection of activists with a common ideology who engage in political activity. A small minority of individuals have historically employed violent, obstructive, destructive and/or confrontational tactics during protests. These actions have the ability to interfere or inhibit Defence in carrying out its functions.

Each threat actor is unique in who they are, what capabilities they possess and what intent they have to harm or compromise your assets:

INTENT x CAPABILITY = THREAT

INTENT – the *confidence* to carry out the stated or postured claim as well as the *desire* to carry out the action or activities.

CAPABILITY – The capacity or ability of a threat actor to implement an attack.

-'Security Risk Management Body of Knowledge'

A national-level threat assessment therefore may not be effective for your local needs. It is imperative that you find the right threat product to assist you.

Where can I find out about threat actors?

You can find out more in the Security Intelligence Threat Product Library on the Defence Security Division intranet section. Key products to look at include:

- The Defence Security Threat Assessment (DSTA) – a national-level threat assessment. It provides a thematic context of security threats to Defence in Australia.
- Threat information for Regions and Bases - support the DSTA and provide an assessment at the regional level.
  Note: Both the DSTA & Regional Threat Supplements are classified SECRET and can be found on the Defence Secret Network (DSN). The links above provide access to PROTECTED versions on the DPN.
- Threat advice for:
  - Personal security or travel
  - Event, conference, exercise or project
  - Site or base
- Threat Product Library – raise awareness of security threats and risks to Defence and defence industry.
- ASIO Outreach – access timely ASIO information on matters affecting the security of assets and people.

Do you need to contact someone for threat advice?

Email seg.defencesecurityintelligenceenquiries@defence.gov.au

Security Controls

Physical, personnel and ICT/information security controls come in all shapes and sizes. Knowing what is necessary for your area can only be determined by:

- achieving the security principles as identified by Control Owners in the DSPF
- applying the minimum mandatory security standards as described by Control Owners in the DSPF, and
- conducting a Security Risk Assessment.

This will give you the most effective security system for your needs. But what does an effective security system look like?

We generally describe a security system using the well-known concepts of physical, personnel and ICT/information security.

Physical Security Principle: Defence facilities, people, official information, and security protected assets are protected from unauthorised access, sabotage, wilful damage, theft or disruption through a safe and secure physical environment.

Personnel Security Principle: Only those people recognised as eligible, suitable and trusted will obtain and retain access to Australian Government resources (people, information and assets).

Information/ICT Security Principle: Defence will protect official information in accordance with the expectations of the originator of the information. Where Defence is the originator of information, it will classify that information, according to the impact of access by, or disclosure to, unauthorised individuals, groups or organisations.

- DSPF Principles 72, 40, 10

Unfortunately, security is not so easily siloed into those categories. You will notice that many of the duties that you will undertake as an **SO** will span some if not all of these categories.

Example - Controlling access to visitors incorporates both physical (escort duties, visitor passes) and personnel (verifying security clearance) security controls.

Sometimes it is better to look at security from an emergency/security risk management point of view – P2R2 or D3R2, as described in both the *Security Risk Management Body of Knowledge* and the Handbook 167:2006 *Security Risk Management.*

It does not matter which method you use – they complement each other and fundamentally describe the same thing – **how do we apply controls to reduce/eliminate the likelihood and consequence of a Security Risk Event.**

How does it all fit together?

Let's look at a simple example based on a SRE: *'A trusted insider removes official information which is disseminated (intentionally or inadvertently) to a third party through non-ICT channels.'*

To reduce/eliminate the likelihood of this event we will try to:

Prevent (or Deter, Detect & Delay) it by:

- promoting an active and accountable security culture – 8 Security Essentials
- tightening access control measures
- reduce ability to print materials
- use Objective to store and transfer information
- remove ability to use Portable Electronic Devices (PEDs)
- conduct random security checks of the area
- conduct close-of-business checks
- conducting security awareness training
- compartment information, and
- improving morale in the area thereby reducing likelihood of malicious insider activity etc.

Prepare our staff to respond to it by:

- making them aware of their responsibilities in SSOs
- briefing them on the '8 Security Essentials'
- ensuring adequate security training takes place, and
- encouraging security incident reporting.

Hopefully adequate preventative and preparatory controls will prove too much of a ‘deterrence’ for the insider. The controls are designed to reduce the insider’s confidence and capabilities and therefore reduce their ‘intent’ to attack.

If the SRE is realised and the security incident has occurred, we will:

Respond to the incident by:

- conducting a document muster
- fact finding
- changing the combinations on our security containers
- reporting the incident using the Security Report (XP188 form), and
- reporting a change of circumstances via myClearance.

Recover from the incident by:

- conducting and implementing controls recommended by an inquiry/investigation
- reviewing and updating your Security Standing Orders, and
- conduct further security training.

You, the SO may have a role to play in all of the controls/tasks described above. You are an essential cog in every security system and every duty that you undertake plays an important part in preventing a security incident.

SEEKING INFORMATION

As a SO, it is important that you know where to find information to support your Commanders and Managers and provide advice.

The most important source of information to you is the Defence Security Division intranet section on the Defence Protected Network (DPN). It contains many useful products, including:

- tools and templates
- fact sheets
- forms
- guides
- promotional materials
- training products
- processes
- links to other security sites, and
- the Defence Security Principles Framework (DSPF).

This Resource Guide will introduce you to some of these products.

What is the Security Officer Hub?

The Security Officer Hub is a central location for all resources and guidance you (as an SO) may use in the course of your duties. It is designed to assist you in your role and is regularly updated with additional resources. Such resources include:

- briefing materials:
  - Overseas Pre-Travel brief
  - Security On-Boarding Brief
  - Off-Boarding Briefs – Leaving Defence / Leaving Unit/Section
  - Security Reporting
- myClearance eLearning Tool
- Classification guides
- ASIO Technical Notes and other Physical Security guides
- Security Standing Orders template
- Security Register
- Links to other commonly used sites, such as:
  - My Account Management Online (MAMO)
  - Cyber Security Awareness
  - Defence Common Access Card (DCAC) Portal
  - AGSVA website
- And many more…

Defence Security Principles Framework (DSPF)

What is the DSPF?

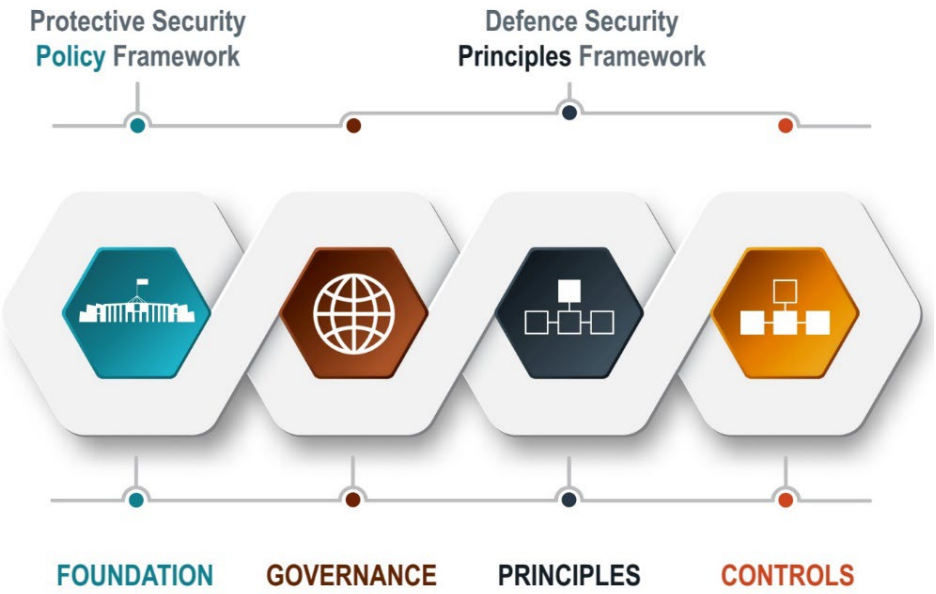
> The DSPF is a principles-based framework intended to support a progressive protective security culture that understands and manages risk, leading to robust security outcomes. This approach:
>
> - Allows all parts of Defence to manage security within their operational context and constraints. This recognises the best security decisions are made in accordance with agreed principles, with a desired outcome in mind.
> - Ensures the most appropriate people are setting security requirements. Those who know their business are best placed to set security standards and requirements for that aspect of Defence business.
> - Sets clear processes and accountabilities, which underpin assurance of Defence protective security arrangements.
>
> *-DSPF Governance, paragraph 4*

The DSPF is the primary security policy for Defence personnel, and defence industry to manage security risks. It is designed to better support Defence in managing security risk now and into the future.

The DSPF builds on the Australian Government Protective Security Policy Framework (PSPF) and Information Security Manual (ISM) by providing a clear governance framework including defined Defence security roles, responsibilities and accountable officers.

What does the DSPF look like?

There are three DSPF layers – Governance, Principles and Controls:



Governance: This layer explains the principles-based model and defines the 'who' - the roles and responsibilities, and the accountability structure for Defence. The DSPF Governance document

defines the reporting and escalation structures for risks to be considered, and establishes clear roles and responsibilities for security policy in Defence.

Principles: This layer defines the 'what' and the 'why'. The DSPF Principles document defines the guiding security principles that are applicable across Defence. They explain the rationale behind each principle, and outline the outcomes expected by applying these security measures.

Each principle provides a statement of intent and explains the security outcomes that must be met in three parts:

- General Principle – the high-level statement of intent (this is what we need to do)
- Rationale – a statement explaining the importance of the principle (this is why we do it), and
- Expected Outcomes – a statement of what needs to be achieved in order to meet the intent of the principle (this is Defence's desired end state).

Controls: This layer defines the 'how', 'when' and 'where'. The DSPF Controls document defines further detailed controls, processes and instructions that are needed for specific security matters.

DSPF Controls provide greater flexibility and agility that cannot be delivered by applying one control unchanged across Defence. This part of the DSPF allows the Control Owner – the subject matter expert and accountable authority in Defence – to manage specific security risks more effectively, rather than being bound by a 'one-size-fits all' approach. DSPF Controls are authorised and released by Control Owners to meet their specific circumstances and requirements.

Who are the key players when it comes to managing security risk?

The DSPF Governance document describes the roles and responsibilities of the key positions who manage and are accountable for security risk. Such positions include:

- Secretary of Defence (Risk Owner)
- Associate Secretary (Defence Security Risk Steward)
- First Assistant Secretary DS Division (Chief Security Officer), and
- Chief Technology Officer, Chief Information Officer Group (CIOG) (Chief Information Security Officer).

As a SO, you will have minimal (if any) engagement with these positions. Read the DSPF Governance for more information on their responsibilities.

Who are the key players I may engage with as a SO?

Control Owners: An SES or ADF Star Rank Officer assigned *accountability and authority* to manage a specific defence security risk as derived from each DSPF Principle document.

Control Implementers: Group Heads and Service Chiefs, or Commanders and Managers of specific business units, may be specifically delegated responsibility by the Control Owners to ensure the *implementation and/or reporting* against specific controls to mitigate or manage security risks.

Executive Security Advisers: support their senior management and Control Owners to analyse their security and counter unacceptable risk; act as their Group or Service point of contact for security matters; and, provide support in maintaining an effective Security Officer structure.

Control Officers: encompass all staff and stakeholders in the Defence Enterprise. Defence personnel, contractors, consultants and outsourced service providers all have a duty to manage security risk in accordance with the DSPF.[1]

Supervisors and custodians of information and assets are accountable for the appropriate implementation of DSPF principles, policies, processes and controls within their work places.

Where Defence personnel outsource a function, they cannot outsource the risk. Commanders and Managers remain accountable (via the contract manager) for the protective security of their function and any official information and sensitive equipment made available to Contractors, Consultants and Outsourced Service Providers.

-DSPF Governance – paragraphs 56, 60, 63-66

As a SO, you may be a Control Officer in your area – speak to your Commander/Manager for further guidance on your Control Officer responsibilities.

How is the DSPF used to manage security risks?

As a **SO**, you are encouraged to browse the DSPF on the intranet section. The framework allows security risks to be managed at the local level – using local solutions to meet the intent of the general principles and expected outcomes of the DSPF. Where additional guidance is required, Commanders/Managers can find further advice in the DSPF Control documents.

This flexible approach to managing risks, allows Commanders/Managers to make informed security decisions based on:

- Security intelligence and evolving threats
- Understanding of the local operating environment, and
- Knowledge of the unique business requirements of their areas.

Where there is a risk in achieving the expected outcomes of the DSPF, Commanders/Managers are to manage or escalate the risk in accordance with sound risk management practices. You'll learn more about these practices if and when you attend the Security Risk Management Workshop.

Escalating Risk: Security risks are to be resolved at the lowest possible level. Where serious residual risks cannot be resolved, they are to be reported to an appropriate decision maker, in accordance with the DSPF. 'Escalation thresholds', established by Control Owners, determine the level (rank or position title) at which Defence personnel can manage risks at varying risk ratings.

> Contractors, Consultants and Outsourced Service Providers cannot manage or escalate risks except through Defence personnel.
>
> *-DSPF Governance – paragraph 35*

Escalation thresholds can be found in each DSPF Principle and Controls document.

Risk Rating	Responsibility
Low	Defence personnel in consultation with their Supervisor, Commander or Manager
Moderate	EL2/O-6 or equivalent in relevant Group/Service
Significant	AS SPS
High	Defence Security Committee (DSC) – through AS SPS
Extreme	DSC – through AS SPS

Example of escalation thresholds from DSPF Control – *Overseas Travel*

Mandatory Provisions: Some provisions in the DSPF are mandatory. These are identified through the use of the word **must** and **must not** (bold type). Any non-compliance is a reportable security incident. If in exceptional circumstances a mandatory provision cannot be met, a dispensation must be sought and approved by the relevant Control Owner.

Are there further resources available that can provide DSPF guidance?

The Defence Security Portal has a very useful Policy overview. From this page you can find:

1. The DSPF itself
2. Whole of Government security policies – the PSPF and ISM
3. DSPF educational tools:
   a. DSPF Guidebook for Defence
   b. DSPF Terminology Guide

Security Standing Orders

You need to create and maintain a set of Security Standing Orders (SSOs). SSOs describe how an area at the local level achieve the principles of the DSPF and other 'higher level' security publications (such as Base Security Management Plans).

Staff should only have to read SSOs for their local security needs; they should not have to read the DSPF or any other document to find out how security works in your area. SSOs template can be found in the SO Hub if you wish to use it (not mandatory).

Are your SSOs up-to-date?

If 'higher level' documents/publications change then your SSOs may have to as well.

Do your SSOs link to the Security Management Plan for the area?

You can find the Base's Security Instructions on the SEG intranet section. If required, you can request access to the Base Security Plan and or, Security Risk Assessment if needed.
Select Defence Bases / Base Management / Security Management

Do you have a Close-of-Business Check SOP?

Good idea to create one for your area. Focus on locking up, clear desk, clear printers/photocopiers etc., close security containers/rooms, logging off etc.

Seeking Advice

Seek general security advice:

- Contact 1800 DEFENCE (1800 333 362), or email
- yourcustomer.service@defence.gov.au

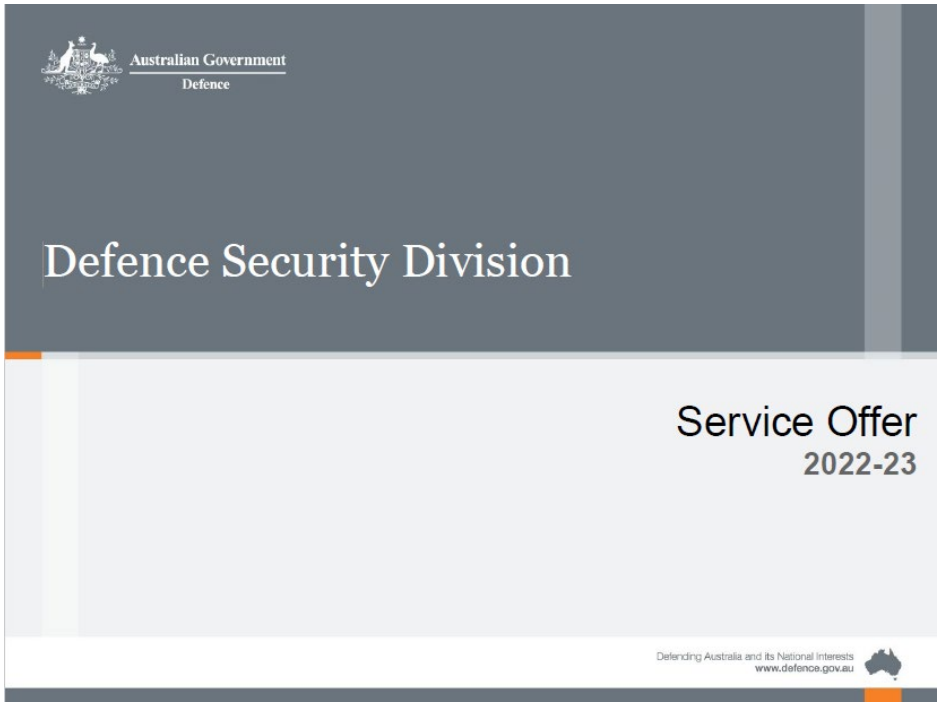
Seek personnel security clearance advice:

- Australian Government Security Vetting Agency (AGSVA)
- Contact: 1800 640 450; International contact: +61 8 8287 9192, or email
- securityclearances@defence.gov.au

Defence Security Division

DS Division enables Defence capability by providing adaptable security services that help Defence's decision makers to understand and respond to their security risks. It is important to reflect that security is a shared responsibility – we all need to play our part in reinforcing effective security culture and practices across Defence as the security environment continues to evolve.

-Defence Security Division intranet section



Australian Signals Directorate – ASD Security Branch

ASD Security Branch provides comprehensive guidance on the following topics on their intranet (DPN) site:

- Certification of TOP SECRET clearances and compartment briefings for personnel undertaking official travel or overseas deployment
- Positive Vetting (PV) clearance sponsorship
- Compartment Briefings
- Communications Intelligence Security Officer (COMSO)
- Incident response for intelligence-related product
- Defence Intelligence Agency staff reporting responsibilities, and
- Sensitive Compartmented Information Facility (SCIF) accreditation.

SECURITY OFFICER DUTIES

Security Awareness & Training

> Security awareness training is an important element of any protective security regime. It supports the implementation of good policies, practices and procedures and helps to foster positive security attitudes.
>
> *-DSPF Governance, paragraph 46*

A strong security culture, supported by a high level of security awareness and training, is a critical element of effective security. In training staff to correctly apply security controls and follow procedures - we:

- assist in *preventing* a security incident;
- *prepare* staff to *respond* to a security incident; and
- assist in *recovery* measures post security incident.

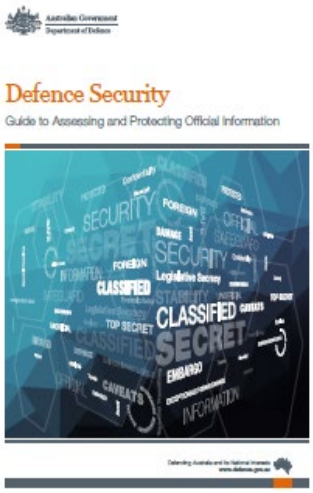
Awareness

A Security Officer promotes a positive security culture and provides DSPF security advice.

What is the best way I can do that?

You will be required to advise superiors, peers and subordinates; you may brief one-on-one, small groups or en masse. You need to understand your audience. Learn how they like to receive knowledge and contextualise your product for their needs. There are some presentation tips at the back of this Resource Guide to assist you.

DS Division has a large repository of Security Awareness Products. We are always looking to create and improve our products, so keep an eye out for any new ones. Products include security tools, guides and Physical Security Zone guidance posters. Feel free to use them as often as you can.



Assessing and Protecting Official Information Guide

One of your peers asks you how to physically transfer SECRET documents. Your supervisor wants to know how to fill in a Classified Document Register. You could show them the DSPF…

Instead, why not introduce them to the Assessing and Protecting Official Information Guide. This Guide is designed for everybody's use and can assist with tricky information security requirements.

Security On-Boarding Brief

It is essential that all newcomers to your unit/section are aware of how security is applied at the local level. The best way to achieve this is through a Security On-Boarding Brief delivered by either the Commander/Manager, or yourself as the Security Officer. It is a duty of care as well as a means of reducing the likelihood of unintentional insider activity occurring.

It is recommended that newcomers receive their brief as soon as practicable, preferably upon arrival. A Security On-Boarding Brief is available for your use on the Security Officer Hub, which you are able to contextualise for your specific local needs. With the brief is an Accompanying Checklist which ensures both you and the newcomer discuss all necessary topics, such as an introduction to your Security Standing Orders. On completion of the brief, ensure you update your Security Register.

Off-Boarding Brief

It is vital that Defence personnel, contractors and individuals who require ongoing access to Defence ICT systems, facilities and official information are off-boarded appropriately. As the Security Officer, you will do this via the Security Off-boarding brief process.

The brief allows you to pass on vital information as well as guide you through essential actions, such as removing access to physical, ICT and information assets. Implementation of the Off-Boarding Brief reduces the likelihood of the individual unintentionally removing or disclosing Defence's information and assets. There are two Off-Boarding Briefs available for your use on the Security Officer Hub – Leaving Defence, and Leaving the Unit. Ensure you update your Security Register on completion.

8 Security Essentials

DS Division released a communications campaign for all Defence staff promoting - 8 Security Essentials in April 2021. Reviews into protecting official and classified information identified the need to communicate core personal security responsibilities and to embed a consistent Defence security culture. They address common security issues that staff at all levels may face in their roles every day, by providing simple security advice for staff to follow.

As an SO you play a vital role as an opinion leader and champion of security culture across the broader Defence community.

DS Division has a suite of '8 Security Essentials' products that are available for order on the intranet.

Overseas Travel Briefings

Once travel details are known by the traveller, they will complete the pre-travel sections of the AB644 *Overseas Travel Briefing and Debriefing* form and submit it to you.

As an SO, your main role is to conduct a pre-travel brief and post-travel debrief with the traveller. Let the AB644 *Overseas Travel Briefing and Debriefing* form be your guide.

Pre-travel brief: Remember to keep the discussion formal, but relaxed – you are trying to establish rapport with the traveller. This will aid with the debrief post-travel, especially if the traveller has had some security matters to relate to you. *Defensive Briefing Before Overseas Travel* can be found in the SO Hub.

Encourage the traveller to view and subscribe on the DFAT website: Smartraveller

Post-travel debrief: Listen carefully during the post-travel debrief – Further action may be required:

- If any security concerns are identified, forward the AB644 onto DS Division Counterintelligence
- If any security incidents occurred – submit a *Security Report*
- If there is a Change of Circumstance in the traveller's life – report it to AGSVA via myClearance Portal

General advice for briefing and debriefing can be found on the Defence Security Division intranet section or in DSPF Control – *Overseas Travel*.

Official Travel: If a traveler is to access classified materials or gain entry to a restricted area as part of official travel, they will need to complete an *XP090 – Overseas Request for Visit or Posting Security Clearance Advice* form. The form provides proof of the traveller's security clearance to the government of the country being visited. You will advise them to do this during your pre-travel brief.

Social Media and Cyber Security Awareness Briefings

The most frequent form of attack by threat actors on Government (including Defence) and the private sector is via cyber means. It is very important that when you brief your area, you include cyber security as one of your main topics. Let the '8 Security Essentials' guide your discussion. You need to raise awareness of:

- Social media use, and
- Cyber Security Awareness

What key messages do I need to promote concerning social media?

Staff are free to use social media outside of the work environment, however, as employees of Defence or defence industry – they may be targeted through their social media accounts.

An Intelligence Collection Tool. Traditional methods of collecting information or intelligence are either being replaced by or significantly enhanced by the use of social media.

This is made much easier when:

- highly attractive information is packaged up in a single location, and
- poor security protections are in place.

Social media is frequently used by FIS, IMGs and other threat actors:

- for nefarious purposes including social engineering, phishing scams, cyberbullying and harassment;
- to gather information on organisations, its personnel, its capability and systems; and
- to identify and approach individuals of potential intelligence interest.

What information do threat actors look for on social media?

Threat actors look for vulnerabilities in an individual's online profile – information they can exploit for targeting and cultivation. Anything is useful to them, especially:

- Work profiles: What you know and what you have access to – capabilities, equipment, intelligence, technologies, etc;
- Personal profiles: Who you are – information that could be used against you such as family issues, financial problems, emotional stresses, ego, extreme views, etc; and
- 'Patterns of life': What you do & where you go – details about your routines, habits and movements.

As SOs, you need to remind your staff that when used responsibly and with the correct level of security protections applied, the risk to individuals and Defence can be successfully managed.

By remaining diligent about who can see information, as well as what information is made available can significantly increase or decrease the risk of being targeted.

Public Comment. Public comment is anything said in public or which ends up in public. If a comment has an audience, or a recipient, it's a public comment. Unless authorised, staff should not:

- be identifiable as a Defence employees
- comment on behalf of Defence
- post images or locations of materiel, operations, themselves or their colleagues in uniform.

Any comment or image about Defence, or linked to Defence, could cause harm to our people, operations or reputation.

As SOs, you need to remind your staff that they need to use careful judgement before they comment on anything publicly. Once posted, it can be difficult to delete and may be replicated to people or unintended audiences.

What is SPAM, Phishing and Spear Phishing?

SPAM: Any unsolicited commercial emails (junk mail) typically of large scale to users for the purposes of advertising, phishing or spreading malware.

Phishing: The process of tricking recipients into sharing sensitive information with an unknown third party for malicious reasons. Phishing attacks are not personalised to their victims and are usually sent to masses of people at the same time, working on chance that someone will share information or inadvertently download malware.

Spear-Phishing: Is a form of targeted phishing. Attackers will target victims who disclose personal information on the internet on their profile and social networking sites. With this information, an attacker is able to act as a friend or familiar entity and send a sophisticated but fraudulent message to the victim.

-Year of Cyber Factsheet – Suspicious Emails

How do I report SPAM & Spear-Phishing emails?

You will remember from your Annual Security Awareness that SPAM and spear-phishing emails are to be reported in the following manner:

- **SPAM**: You need to click on the 'Report Suspicious Email Defence' button in Outlook, or, attach the SPAM email to it and send to: spam@defence.gov.au
- **Spear-Phishing:** You need to create a new email message, attach the spear phishing email to it and send to: spam@defence.gov.au

Security Training

What do I need to do in terms of security training?

On behalf of your Commanders/Managers, you may need to coordinate security training for your area. Consult your Security Register. Who needs training to fulfil a security position? Are there security vulnerabilities that could be addressed by some training?

There may also be instances where a security inquiry/investigation recommends the need for specific training post-security incident. You are best placed to provide this training for your area.

What training courses are available?

Security training courses, both face-to-face and eLearning, are described in detail on the Security Portal. Encourage staff on a regular basis to frequent the Defence Security Training page to enhance their security knowledge and skills.

Campus & Campus Anywhere. Security eLearning courses may be completed using Campus or Campus Anywhere (for those without DPN access such as contractors, consultants and outsourced service providers). To gain access to Campus Anywhere, you must have a Campus account; which can be set up by any person with a DPN account and PMKeys ID. For further information – see the Defence Security Training page on the Defence Security Division intranet section or Campus.

Should I attend a Security Risk Management Workshop?

Yes - especially if you are engaged in more complex security tasks (such as security risk assessments, security planning, provision of threat advice and DSPF reporting.

> Security risk management is conducted for a variety of reasons across Defence, to undertake Base Planning or Resident Unit Security Plans, for capability development and project work, including with defence industry, and for building works or Certification and Accreditation of Facilities. No matter the purpose, Defence has a standardised security risk management process applicable to all Groups and Services. This Workshop aids personnel tasked with conducting security risk management by providing the latest advice and resources that will support informed judgements for the management of security risk in Defence.
>
> The Workshop is most beneficial when conducted in location so that participants can learn with their direct stakeholders and discuss establishment-specific needs, which significantly aids in the process and end product of SRM.
>
> *-Defence Security Portal*

The workshop is primarily designed for Control Officers, Control Implementers, and Commanders/Managers – those who are accountable for making security-based decisions. If they have not attended one – encourage them to do so (enroll via Campus).

Decision-makers cannot effectively manage security risk without an understanding of the basics of SRM – it is the backbone of an effective security system (as discussed earlier in this guide). More information regarding the Security Risk Management Workshop can be found on the Defence Security Training page.

Clearance Process

> An assured and trusted workforce of security cleared personnel is a critical protective security control. It underpins the effectiveness of many other controls and efficient business practices.
>
> *-DSPF Principle – Personnel Security Clearance paragraph 2*

What are security clearances for?

The security clearance process ensures that only those people recognised as suitable, obtain and retain access to security classified information and assets.

What are the different clearance levels, and what access do they provide?

There are four levels of security clearance: Baseline, Negative Vetting Level 1 (NV1), Negative Vetting Level 2 (NV2) and Positive Vetting (PV).

It is important that staff in your area are aware that security clearances are owned by the 'position' not the 'individual'. It is the requirement of the position to access the resources below that determines the security clearance level required:

Clearance Levels	Access to Information					
	Certain Sensitive Compartmented Information	TOP SECRET	SECRET	PROTECTED	OFFICIAL: Sensitive	OFFICIAL
Positive Vetting (PV)	Y	Y	Y	Y	Y	Y
Negative Vetting Level 2 (NV2)	Y	Y	Y	Y	Y	Y
Negative Vetting Level 1 (NV1)			Y	Y	Y	Y
Baseline				Y	Y	Y

Therefore, if the position in your area only requires access to SECRET and below – there is no need for the person occupying that position to have a PV or NV2 clearance.

Even where access to security classified resources is not required, security clearances are required for individuals who work in positions of high responsibility, or may have delegations and duties that, if mishandled or abused, could cause Defence considerable harm or reputational damage (i.e. those handling bulk weapons or providing guarding services).

Designated Security Assessment Positions (DSAP)

All Defence positions requiring a security clearance above Baseline are managed as DSAPs and recorded with the level of clearance in a DSAP Register. Check your DSAP Register (part of your Security Register) regularly with your supervisors to ensure it is accurate and reflective of what is

actually required for your area. In some cases, you will need to downgrade a person's clearance if they hold a higher level than what the position requires.

Eligibility Requirements

In order to obtain a clearance, the person is required to be:

- an Australian citizen
- have a checkable background, and
- be sponsored by an Australian Government agency (i.e. Defence).

In exceptional circumstances, the eligibility requirements may be waivered to obtain and retain a security clearance through the provision of an eligibility waiver. In Defence, the authority to initiate and approve an eligibility waiver is a Group Head/Service Chief. It is to be noted that the provision of an eligibility waiver does not guarantee a clearance will be granted by AGSVA.

> Eligibility waivers require detailed justification to be provided by the sponsor agency. This justification includes a business case linked to the capability requirement as well as a risk assessment to manage the mandatory requirements and reporting obligations.
>
> *-DSPF Control – Personnel Security Clearance, paragraph 21*

Further guidance on eligibility requirements and waivers is provided in the DSPF Control 40 – *Personnel Security Clearance* and PSPF Personal Security Protocol.

Security Officer Duties

You will assist clearance sponsors to perform their security management responsibilities including:

- Initiation of personnel security clearances (initial, upgrades and downgrades)
- Confirming clearances held with AGSVA
- Bringing to attention any clearance subjects who have not provided information to AGSVA within requested timeframes
- Revalidations
- Change of Circumstances
- Cancelling a Clearance.

AGSVA offers Security Officers guidance on the above duties on the AGSVA website. In order to fulfil many of the duties though, you will need to gain access to the myClearance Portal.

AGSVA also offer specific myClearance training – go the Security Officer Hub, AGSVA website for further information; or access via the GovTEAMS OFFICIAL Community.

To join the GovTEAMS OFFICAL Community, you need to have a current GovTEAMS license. You can complete the Registration Process on GovTEAMS OFFICIAL, and then submit a Log a Job Online GovTEAMS license request.

On logging in to your GovTEAMS OFFICIAL account, follow these instructions to request access:

1. Select **Teams** and then at the bottom of the list, select **Join or create a team.**
2. At the top right, type **Vetting Transformation Project – SO Community.**
3. Select **Join Team**

What is the myClearance Portal, and how do I get access to it?

The myClearance Portal is a 'one-stop-shop' that lets you undertake all actions from the one central place. From myClearance, you can:

- Request, confirm and cancel clearances
- Conduct clearance subject searches
- Access all relevant security clearance forms.

To get access to myClearance

OFFICIAL

myClearance
Portal User Factsheet

Australian Government Security Vetting Agency

Learn | Evolve | Align | Deliver

The **myClearance Portal** is accessed by Chief Security Officers, Security Officers, Clearance Applicants and Clearance Holders to carry out their core security clearance vetting and maintenance activities. This includes submitting clearance nomination requests, completing clearance applications and notifying AGSVA of changes in circumstances.
The myClearance Portal is accessible via a web browser on a desktop, laptop or tablet screen.

To access myClearance, you will need

A compatible smart device to download the myGovID app

+

To create your Digital Identity with at least a Standard identity strength

+

Access to the myClearance portal link on the AGSVA site

First time login

1. Download the myGovID app to your compatible device, enter your details and verify your identity to create your Digital Identity.
2. Visit the AGSVA home page to access the link to the myClearance Portal. Follow the prompts to complete the authentication process.
3. You will be redirected to myClearance to enter your personal details. This links your Digital Identity to your profile in myClearance.
4. Finally, you will be prompted to log off myClearance, before logging back in to access your profile.

Subsequent logins

1. Visit the AGSVA home page to access the link to the myClearance Portal.
2. Select Continue with Digital Identity and follow the prompts to log in with your myGovID.
3. When you receive the 4-digit code in your browser, log in to your myGovID app on your smart device to enter the code and verify your identity.
4. The myClearance Portal will match with your profile and log you in.

For more information about your Digital Identity or how the Australian Government Digital Identity System works contact: digitalidentity@dta.gov.au

If you experience any problems with myClearance please phone 1800 640 450 or email at securityclearances@defence.gov.au

For information or support on myGovID visit: www.mygovid.gov.au

OFFICIAL

Australian Government

How do I request a new (initial) security clearance?

When an individual requires a security clearance, you will initiate the clearance process. This involves:

- Confirming clearance level requirement from the DSAP
- Go to myClearance Portal and submit a sponsorship request: Once you've confirmed the individual doesn't already have a security clearance, you will select 'Request new clearance.'
- Fill in appropriate details of the individual
- Once complete and submitted, yourself and the clearance subject will receive an email notifying the clearance subject that they can start their application.

How long do clearance subjects have to complete their questionnaire?

Clearance subjects have 20 business days from receiving their logon to complete their online questionnaire and submit supporting documentation. If the clearance subject requires more time due to extenuating circumstances, you the SO can request an extension on their behalf.

How long does it take AGSVA to process a security clearance?

Processing times for each clearance level can be found on the AGSVA website.

How do I request an upgrade or downgrade to an existing security clearance?

When a clearance subject's current clearance does not match the DSAP requirements, their clearance level may need to be upgraded or downgraded. This is achieved by:

- Search for the clearance subject
- Select 'Actions' and then 'Upgrade/Downgrade interest'
- Enter all required information and select 'Submit' to complete the action

How do I register an interest in an existing clearance subject?

To register an interest in an existing clearance subject:

- Search for the clearance subject
- Select 'View' to open clearance subject's information
- Select 'Actions' and then 'Register Interest'
- Select 'Requested clearance level' followed by 'Register Interest to complete the action

How do I remove interest in an existing security clearance?

If an individual is departing your area, and you no longer need to sponsor their clearance, then you can remove yourself. This can be done by:

- Searching for the clearance subject
- Selecting 'Actions' and then 'Withdraw interest'

Note: As their SO, you need to complete an Off-Boarding brief for leaving It is important that when a clearance subject transfers to a new area that they speak to the new SO. It is the new SO's responsibility to register an interest in them.

Maintaining a Security Clearance – 'Maintenance'

The initial security vetting process provides a snapshot of an individual at a particular point in time. Once a security clearance has been granted there are a number of responsibilities and actions that need to be met to ensure ongoing suitability to hold a security clearance.

These measures are known as security clearance 'maintenance'.

-DSPF Control – Security Clearance Process paragraphs 85-86

Periodic reviews

Clearance holders are subject to periodic reviews to assess continuing suitability to hold a security clearance:

	Baseline Vetting	**Negative Vetting Level 1**	**Negative Vetting Level 2**	**Positive Vetting**
Revalidation	15 Years	10 Years	7 Years	7 Years
Security Appraisal	N/A	N/A	N/A	Annual

Once initiated, you as the SO, and the clearance holder will receive a notification email when triggered. You are required to access myClearance to confirm the clearance is still required at which point a request is issued to the clearance subject.

Change of Circumstances

Some significant personal circumstances may be used by foreign governments, issue motivated groups or criminal organisations to coerce staff into providing information or assets belonging to Defence. Commercial organisations may also use changes in circumstance to gain information that would give them an unfair advantage in dealings with Defence. When Defence and AGSVA are aware of changes to an individual's personal circumstances, it is less likely that these changes can be used as a lever and become a security risk.

Reportable changes in circumstances include but are not limited to:

- Major financial changes
- Overseas travel
- Criminal and legal matters such as court hearings or arrests
- Health issues such as mental health
- Changes to personal or contact details
- Changes in relationship such as marriage, divorce or new additions to the family
- Unusual changes in behaviour or appearance
- Long periods of absence
- Passport – Personal, Official and Diplomatic
- Significant braches of security.

Self-Reporting. All security clearance holders are obliged to maintain high standards of integrity to keep their security clearance and to report to AGSVA any changes in their personal circumstances for security clearance purposes. Self-reporting to AGSVA is done via myClearance. As a SO, you need to remind your colleagues of their requirement to self-report, it is a fundamental part of the '8 Security Essentials' (No 7).

Monitoring security attitudes and behaviours. As an SO, you and your Commander/Managers are to:

- Monitor the attitudes and behaviours of security cleared staff; and
- Encourage all individuals to report significant changes in behaviour of their colleagues where they feel it may impact on security of the area.

Where there is a noticeable change in attitude or behaviour, or any incidents that may be a security concern, you (or the Commander/Manager) are to promptly report to AGSVA using myClearance.

This becomes urgent if there is any indication that a person intends to reveal classified or other official information, or to compromise the security of Defence assets or personnel. This information is to be handled in the strictest confidence.

It is important that that Commanders/Managers take positive action in dealing with a potential incident like this. Do not wait for AGSVA to respond before committing to other mitigating actions (such as restricting access to information/assets, counselling, assurance activities etc.).

Temporary Access to Classified Information and Assets

> For urgent operational or business needs, people without the necessary security clearance may be granted limited and controlled, temporary access to classified information and assets. The approval of such access does not constitute the granting of a security clearance.
>
> *-DSPF Principle – Temporary Access to Classified Information and Assets*

Temporary access is only approved when there are no other current clearance holders available to carry out the required duties. There are two types of temporary access – 'Short Term' and 'Provisional'.

Short Term: used where access to security classified information is required by a person who does not have the appropriate security clearance.

Provisional: access can be approved after a person submits all information required for a security clearance, but before the clearance is finalised to allow that person to access security classified information on a limited basis only.

Email securityclearances@defence.gov.au for further guidance.

As a SO, you will assist Commanders/Managers to process temporary access requests in accordance with DSPF Control 40.1 – *Temporary Access to Classified Information and Assets paragraphs 18-20*. Authority to approve temporary access:

Access To	**Type of Temporary Access**	
	Short Term	**Provisional**
Information requiring a PV as a prerequisite to access	Unavailable	Unavailable
Caveat / CODEWORD / Compartmented material of any classification	Unavailable	Unavailable
TOP SECRET excluding CODEWORD.[1]	Group Head, Service Chief or approved delegate in consultation with AGSVA	Minimum of SES Band 1/07 (or approved delegate) in consultation with AGSVA SADFO - only for SAFEBASE related emergencies
SECRET and below, excluding CODEWORD	Commander, Manager or Contract Manager in consultation with AGSVA Senior Australian Defence Force Officer (SADFO) – only for SAFEBASE related emergencies	

1. Clearance subjects are to hold an Australian Government security clearance at minimum of NV1 for access to this level of material under Temporary Access arrangements. (for *MOPS Act* staff, see PSPF – Australian Government Personnel Security Protocol 'Temporary Access for *MOPS Act* staff')

Controlling Access

Controlling access to facilities, assets, information and ICT systems is a *preventative* measure designed to *deter, detect* and *delay* threat actors. Access controls are also designed to provide safe and auditable movement for those with a need-to-know, appropriate security clearance and legitimate requirement for access.

> **Need-to-know principle -** Defence personnel, contractors, consultants and outsourced service providers are to ensure that access to official information is limited to those who need to know the information for their official duties.
>
> *-DSPF Control Classification and Protection of Official Information paragraph 9*

Many people associate access control with Physical Security, however the duties you will undertake as a SO clearly show that this is not the case. Access controls are equally applied using Personnel and Information/ICT controls. Your responsibilities may include:

- Verifying clearances for the provision of:
  - Unescorted access to facilities
  - Escorted access to facilities by visitors
  - Sponsoring Defence Common Access Cards (DCAC)
  - Sponsoring access to Defence ICT Systems.
- Ensuring an effective key and combination control system is in place, and
- Ensuring effective access controls are in place to protect people, information and other assets.

What access and physical security controls are required for your area?

That depends on some basic factors as described earlier in this resource guide:

- What assets do you hold and how attractive are they?
- What are the BILs of your assets, or what are they classified?
- What is the threat activity in your area?
- What does your SRA determine?

Once you understand the answers to these questions, you will then understand the most appropriate Physical Security Zone (PSZ) required for your needs.

ASIO Technical Notes (available in the Defence Security Awareness page) describe what access and physical security controls are required for each PSZ, including Security Construction and Equipment Committee (SCEC)-Approved controls and services.

What is SCEC?

The Security Construction and Equipment Committee (SCEC) is a standing interdepartmental committee for the evaluation of security equipment and services for use by Australian Government agencies. Through ASIO T4, they evaluate:

- security controls for their suitability of use in PSZs; and
- security services provided by commercial entities – such as locksmiths, couriers and security zone consultants.

Once a control or service has been evaluated and approved for use – they will be referred to as SCEC-Endorsed or SCEC-Approved.

SCEC-Endorsed controls are published in the Security Equipment Evaluated Products List (SEEPL).

Information regarding SCEC-Approved Service Providers can be found in the Defence Security Awareness page.

Controlling access to facilities, information and assets

Access Cards

Unescorted Access: If a staff member requires a DCAC for unescorted access to your area, you as the SO (or the DCAC Sponsor – usually the supervisor) will need to complete the process on the DCAC Portal – available from the SO Hub.

The DCAC Portal contains many useful resources to help you, including a Security Officer Help Guide. The Guide takes you through each process in order to sponsor a DCAC.

It is essential though, for good security outcomes, that you identify three key things before approving unescorted access:

- They are who they say they are (proof of Identification such as driver's license will suffice). You need to do this face-to-face.
- They have a real need for access. Check for proof – contracts, posting signals, duty statements etc.
- They have the appropriate security clearance for the area. You need to check this via myClearance.

Escorted Access: Visitors (those without a DCAC or a legitimate reason for ongoing access to the area) may require escorting to their destination. You may need to get involved, especially if they are attending a classified/sensitive meeting. You will need to verify their security clearance (via myClearance) on behalf of the visit host. For further information regarding visitor protocols – read the DSPF Control DSPF Control 74.1 Access Control - annex A.

HINT – Advise the visit host/escorting officer of what you expect during the escorting process (ie ensure the visitor signs in the visit register; they keep an eye on the visitor at all times; they escort the visitor *straight* to the meeting room – no scenic route; etc).

Good idea for the escorting officer to brief the visitor on any security emergency and lockdown procedures for the site – this is a duty of care.

Key Control and Combination settings

Depending on the lock and keying system in your area, you may require a SCEC-Approved Locksmith to provide you a service. Get to know your local SCEC-Approved locksmith through the register on the SO Hub - they can be a very valuable service for your keying/locking needs.

As an SO, it is your responsibility to ensure an effective key control system is in place in your area. Security Equipment Guide (SEG) 29 – *Keying systems* (available on the Defence Security Awareness page) provides some guidance on what makes an effective key control system.

Do you have an effective key control system in place?

- Reduce the amount of keys held – you probably only require a primary and duplicate of each key.
- Do you know the whereabouts of keys at all times? – Maintain an effective security key register.
- If you have an Electronic Key Cabinet (EKC) it may automatically have audit-trail capabilities. If this is the case – you do not need to keep a separate key register.
- EKCs may be required for higher level Physical Security Zones (PSZs) and recommended if you have a large amount of keys.
- Recommend that personnel receive a key, open or close what they need to, and return the key to you/EKC as soon as possible. Recommend that keys are NOT issued to personnel on a long-term basis. It is recommended that keys do NOT leave the facility.

Who is responsible for changing the combination settings on a lock?
Custodians need to change the combination setting at least every six months – Not You!

Be aware the custodian also needs to change the combination setting if:

- There is a compromise
- A change of custodian or other person knowing the combination leaves,
- After servicing, or
- After installation of a new lock.

When was the last time the combination settings were changed in your area?

Check your Security Register for the answer.

The custodian doesn't know how to change the setting. What should I do?

Show them. There should be manufacturer's instructions that accompany and are stored within the security container. If not – you can always look it up on the internet.

Once a custodian changes the setting, and records the details in the correct manner – they will hand the details to you. Give the combination setting the same level of protection as the most valuable information/asset contained by the combination.

DO NOT store the combination in the same container the combination opens

Security Containers

If you print out information – you may need a security container to store it in, see the following table for guidance:

Classification	Zone One	Zone Two	Zone Three	Zone Four	Zone Five
OFFICIAL	Lockable container	Secured from unauthorised access	Secured from unauthorised access	Secured from unauthorised access	Secured from unauthorised access
OFFICIAL: Sensitive	Lockable container	Lockable container	Lockable container	Lockable container	Lockable container
PROTECTED	Ongoing storage not recommended, if unavoidable SCEC Class C	SCEC Class C	SCEC Class C	Lockable container	Lockable container
SECRET	Not permitted	Not permitted	SCEC Class B	SCEC Class C	SCEC Class C
TOP SECRET	Not permitted	Not permitted	Not normally permitted. (In exceptional circumstances SCEC Class A)	Not normally permitted. (In exceptional circumstances SCEC Class B)	SCEC Class B

STORAGE AND HANDLING. The Assessing and Protecting Official Information guide provides information on storage and handling requirements for each classification level.

Defence IT Systems and Networks

As an SO, you may be required to assist your commander in authorising access to ICT systems or networks. This is a managerial function – however they will need to find out whether the person requiring an account has the correct clearance level, proof of identification etc. – the same process as with endorsing DCACs. You will need to access myClearance to check clearance levels.

For further information on accessing IT accounts – check the My Account Management Online (MAMO) help page on the ICT Services page/Accounts & Access.

Audiovisual Controls

> Audio-visual security is measures undertaken to secure classified information from compromise by unauthorised persons through surveillance or other technical collection methods. Ensuring that classified information is communicated within appropriately security accredited facilities is the primary measure taken to mitigate audio-visual security risks. Modern, well-concealed, covert surveillance devices (bugs) are unlikely to be detected in the short term, prior to harm being caused. The first line of defence is appropriate protective security.
>
> *-DSPF Control – Audio-visual Security paragraph 6*

What are Technical Surveillance Countermeasures (TSCM)?

TSCM is the name given to a number of measures taken to identify and mitigate potential vulnerabilities and or deliberate audiovisual attack on Defence facilities. As an SO, you may need to organise TSCM services for your area, especially if you have a certified Audio Secure Room in your area.

What is an Audio Secure Room?

A certified Audio Secure Room is a room that is rated ASL3 or above and has been certified as such. Audio-security Level (ASL) is a designation that describes the level of audio-security certification of a facility. If you want to learn more, see *DSPF Principle and Control 14: Audio-visual Security*.

Is there any guidance regarding the hosting of sensitive meetings?

You can find a Meetings involving sensitive information factsheet on the Security Officer Hub.

What is a Portable Electronic Device (PED) and what do I do with them?

PEDs are the more common term for mobility devices:

> **Mobility Device:** A portable computing or communications device with information storage capability that can be used from a non-fixed location. Mobility devices include mobility phones, smart phones, portable electronic devices, personal digital assistants, laptops, netbooks, tablet computers, and other portable internet-connected devices.
>
> *-DSPF Control – Mobility Device Security paragraph 48*

There are three categories of PEDs – Corporate, medical and personal. This is important, as restrictions on which type you carry may apply in specific areas.

Some areas within Defence are categorised as PED-Prohibited Areas. These areas are not allowed to have unauthorised PEDs carried in them due to their ability to record and transmit data. Typical PED-Prohibited areas include those that handle SECRET and TOP SECRET information, and any area deemed necessary by the Commander/Manager based on the outcomes of an SRA. Your role, as an SO, is to ensure that PED-Prohibited Areas are clearly sign-posted, adequate containers are provided outside to store PEDs and general security awareness of the area.

Incident Response and Reporting

Security Incidents

What is a security incident?

A security incident is a suspicious approach, event, or action (whether deliberate, reckless, negligent, or accidental) that:

- fails to meet the expected outcomes of Defence security as outlined in the Defence Security Principles Framework
- compromises Defence's protective security arrangements, and
- results in (or has the potential to) loss, damage, disclosure, or harm to Defence information, assets, and people.

Examples include, but are not limited to:

- an unauthorised person accessing your facilities
- loss, theft or unauthorised access to official or classified Defence information
- loss or compromise of your access pass/security keys
- inappropriate handling or storage of official or classified Defence information or materials
- cyber security incidents
- any contacts with or approaches from people which are suspicious or unusual.

After a security incident has occurred, it is imperative that staff:

- effectively *respond* to the incident
- report the incident to the appropriate security authority, and
- apply any *recovery* measures recommended by an incident inquiry/investigation.

Security Incidents reported via the Security Report Form are assessed for further action by the DS Division's Security Incident Coordination Centre (SICC).

Overall management of incident response and reporting remains the responsibility of Commanders/Managers of the area impacted. As the SO, you are to actively monitor the incident throughout the entire response/recovery process to ensure appropriate action takes place at each stage.

Depending on the nature of the incident (did it involve weapons, data spill, loss of an asset etc.?) further response and reporting may be required. See DSPF Control 77 – *Security Incidents and Investigations* annex A for further information.

Emergency Response

All areas are to have incident and emergency response procedures in place. Resident units on a base are to have their procedures align with the base's Emergency Management Plan (EMP) & Security Management Plan (SMP). The EMP details local incident management procedures, and the SMP establishes the routine security posture on the base and details additional security controls to apply at higher SAFEBASE alert levels.

You, on behalf of your Commanders/Managers, are to ensure that all staff are aware of their responsibilities when it comes to emergency/incident procedures. This can be achieved through SSOs and supported by an effective training and awareness program (see 8 Security Essentials). It is also important that visitors to your area are aware of emergency/incident procedures – it is a

duty of care. Ensure that staff who are assigned escorting duties for visitors are aware of this responsibility.

SAFEBASE

SAFEBASE is Defence's security alert system, it communicates the threat of violent acts on Defence premises. It is a risk management and response tool underpinned by effective security planning (see your base's SMP for more information).

There are three levels AWARE, ALERT & ACT as per the diagram on the left. As a SO, you are to ensure that staff in your area are familiar with their responsibilities and responses at each alert level:

SAFEBASE Security Alert System – Guidance for Individuals

Alert Level	What the alert levels mean to you:
Aware	**Understand:** Defence has no knowledge of a threat to my establishment but I should be aware of my security responsibilities – and expect normal business. **How should I behave?** • I understand security threats and risks, what they mean to me and my work area. • I am familiar with local security instructions and controls specific to my workplace - every Defence establishment is different. • I know my Unit Security Officer and where to get security help. • I report security concerns and incidents.
Alert	**Understand:** Defence has reason to believe there is a threat, and an attack could happen at my establishment. I should take steps to enhance my personal security and the security of my area – and expect increased security measures and restricted business. **How should I behave?** • I seek information and advice from my chain of command. • I have reviewed security instructions for my work area, focusing on actions I need to take in the event of an incident. • I take part in exercises organised by my SADFO/Base Leader. • I am mindful of additional security controls that may impact my day-to-day activities (eg. the SADFO/Base Leader may close an access point or carpark). • I am considering the potential risks to pre-planned events, exercises or meetings (eg. I consider postponing an exercise held on base or I might move a meeting to another Defence establishment). • I am keeping an eye on the establishment's communications channels (eg. email) for new instructions or updates. • I report security concerns and incidents.
Act	**Understand:** An attack is either imminent or happening on my establishment. I should exercise extreme caution and follow emergency procedures - and expect severely restricted business **How should I behave?** • I am following civilian police instructions (eg. Australian Federal Police or state/territory police). • I am following emergency procedures (eg. evacuation or lockdown routines) and instructions from my wardens, security authorities, SADFO, Base Leader or Chain of Command. • I am taking care to avoid putting myself or others in harms way. • My normal work has stopped and, if it is safe to do so, I have secured classified information. • I report security concerns and incidents, but only when it is safe to do so. • If I am not inside the establishment, I will avoid the area.

Security Incident Reporting

The Security Officer undertakes the security incident reporting duties on behalf of their Commander or Manager. However, overall management of the incident and reporting process remains the responsibility of the Commander or Manager. While in the first instance security incidents should be reported to the relevant Commander or Manager, and/or the Security Officer, if the Security Officer is unavailable the individual identifying the incident is to report the incident as soon as practicable.

-DSPF Control – Security Incidents and Investigations paragraph 12

Why is reporting a security incident important?

Defence's ability to detect, assess and mitigate security vulnerabilities depends upon accurate, timely and consistent reporting of all security incidents. The information collected and analysed in security incidents aid Defence in strengthening its defensive posture against insider threats, foreign intelligence services and other threat types.

Staff need to be made are aware that if it looks suspicious – they need to REPORT IT. Ensure that staff who are exposed to an incident or a contact RECORD as much detail as possible (number plates, timings, physical features, facial descriptions, event details etc.) – this will aid you drafting the Security Report. It is best that you 'over report' than 'under report' – the more details the better. See the Guide for Security Officers or Commanders/Managers for more information.

How do I report a security incident/How much information do I need to provide?

Emergency - If you feel something is potentially life threatening or significant in nature – act immediately – EMERGENCY RESPONSE – Call '000'.

Security Report – Report using the *Security Report Form*. When completing the Security Report online:

- The Security Report Form must be prepared and submitted over the appropriately rated ICT network.
- Once you submit the Security Report using the web form – you will receive an email receipt with a unique reference number on it – record this in your security register.
- Save a copy of the submitted Security Report Form and the incident number for your records.
- Security Reports must be reported within 24 hours of occurrence or discovery.
- Additional information and tips can be found in the Guide for Security Officers or Top Tips for Completing a Security Report Factsheet.

Fact Finding*:* When gathering facts, be mindful of the potential inquiry/investigation that may follow. Include as much information as you have available at the time. This greatly support the Security Incident Coordination Centre.

What happens after the security incident is reported?

Once the security report is received by the SICC, they will determine which incidents are subject to further formal investigation, and which ones can remain with and be managed by the reporting Commander/Manager. If the incident is sufficiently complex of serious in consequence, the responsibility for investigating will be transferred by the SICC to a Defence Investigative Authority (DIA).

Commanders and Managers are to continue managing the incident in consultation with the DIA during the investigation process.

How do we recover from a security incident?

Findings and recommendations will be produced after an investigation or local inquiry is conducted. DIAs will ensure that all recommendations from the investigation/inquiry are assigned for implementation to all areas affected by the recommendation.

> Information collected through incident reporting and security investigations helps Defence identify security threats, risks and vulnerabilities, evaluate the effectiveness of security controls, develop and improve security policy, make informed and data driven security decisions, and identify security review priorities.
>
> Timely and appropriate management of security incidents also helps Defence contain the effects of security incidents, and to recover more rapidly from adverse security events through effective consequence management.
>
> *-DSPF Principle 77 - Security Incidents and Investigations paragraphs 3-4*

As the SO, you may be able to leverage off the recommendations and create training/briefing packages for your area.

Assurance Activities

> A process that provides confidence that planned objectives will be achieved within an acceptable degree of residual risk.
>
> *-Security Risk Management Book of Knowledge*

What is assurance?

By conducting assurance activities, you on behalf of your Commander/Manager, can provide *confidence* to others that:

- information and assets stored, handled and shared will be protected in a manner consistent with the DSPF; and
- the *prevention (or detect, deter, & delay), preparation, response and recovery* controls in your security system are efficient and functioning correctly.

Some assurance activities that you will conduct or coordinate include:

- maintenance of Security Standing Orders (SSO)
- maintenance of a Security Register (SR)
- conducting a Protective Security Self-Assessment (AC 064)
- requesting physical certification advice or inspection
- Conducting a document census/muster
- self-certifying PSZ Zone Two areas (AE995)
- presenting security briefing/awareness sessions, and
- participation in the Defence Industry Security Program (DISP).

Security Register

A SR complements SSO and is designed to capture all matters of security interest relevant to the area not detailed in the SSOs. It:

- represents the **present state of security** in your area
- collates all security information into one area
- provides an audit trail for assurance purposes.

> **Example**: Local requirements for security briefings in SSOs would be supported by the registration of security briefings in the SR. As a further example, SSOs would refer to any local requirements associated with security containers, while the SR would detail the location of security containers and record combination changes.

As the **SO**, you will maintain a SR on behalf of your Commander/Manager. It is recommended that your Commander/Manager inspect the register no less than quarterly to maintain effective oversight of security issues affecting your area and for which they are responsible.

You can find a template for a Security Register in the Security Officer Hub. The template is divided into numerous worksheets covering a range of data capture topics that are recommended as part of any security register.

TOP TIPS:

- Make sure it exists, it is accurate and is up-to-date:
  - An accurate SR will assist you when compiling information for your annual AC064 - *Protective Security Self-Assessment*
  - Security Authorities will ask to see your SR during any audit/advisory visit.
- Use the SR as a guide when conducting handover/takeover with the previous SO. Go through each table and conduct the corresponding activity. Only enter your name into the register (Table A2), once you are **satisfied** with the state of it.
- Contextualise the register for your needs. If certain tables do not apply – remove them.

What other assurance activities will I conduct or coordinate?

Protective Security Self-Assessment

On an annual basis, you will need to complete an AC064 - Protective Security Self-Assessment (PSSA). The PSSA provides an update to your Commander/Managers on the area's state of security, and identifies any security vulnerabilities. A copy of the PSSA will also be provided to DS Division or relevant ESA. It is important to check with your relevant security authority to when it should be completed and submitted.

Request for certification advice or inspection

A request for certification advice or inspection refers to a visit to a Defence area or DISP member by DS Division (Directorate of Security Assurance) or an ESA for the provision of protective security assistance and advice. They are conducted as required and can address many concerns. Inspections are not to be used for simple issues – they are mainly aimed at addressing complex issues such as:

- protective security for infrastructure changes
- remedial action for an isolated security issue
- implementing recommendations from a Protective Security Survey or as a result of a security investigation; or
- re-accreditation of a specific security area following refurbishment or alteration.

Simple issues can be addressed by contacting 1800DEFENCE. To request a certification advice or an inspection, SOs can fill out an email form.

Cen**sus/Muster**

Census/Musters are conducted to ensure that assets and information that are registered to the area are accounted for. DSPF Control 10.1 Classification and Protection of Official Information – annex F has some excellent information regarding file census/document musters, including when and how they are to take place.

Check your Security Register – when is the next key, document or asset muster due?

Classified Document Register (CDR). A CDR is used to register all TOP SECRET and Accountable material in the area. A CDR Supervisor (essentially the custodian of the information within the CDR) is responsible for its maintenance.

Self-Certification of PSZ

If required, you may have to self-certify your own Zone 2 area. DS Division has a Certification process to help you out on our Security Portal. Certification is part of an overarching Accreditation process that provides assurance that adequate security controls are in place to protect assets and information.

> **Certification** – is a formal assurance process resulting in a statement (certification report) that outlines the extent to which a facility conforms to controls for the required Security Zone, and as required by the DSPF.
>
> **Accreditation** – is the process by which an authoritative body gives formal recognition that required security standards have been satisfied and, where applicable, associated residual risks have been accepted by a facility and/or asset owner for the operation of a facility. The outcome of the accreditation process is an authority to operate for a particular facility and/or asset.
>
> *-Defence Security Division intranet section– Physical Facilities Certification and Accreditation*

Self-certification may seem like a complex process - it is important that you contact DS Division or your ESA when commencing for assistance and advice.

Defence Industry Security Program (DISP)

The DISP enhances Defence's ability to monitor and mitigate the security risks associated with contracting for, or outsourcing of – services, functions and capabilities.

The DISP is a risk mitigation and assurance program maintaining the integrity of Defence's capability by ensuring defence industry maintain security responsibilities and safeguard the supply chain. It also improves industry's ability to protect themselves from threats.

All DISP members MUST comply with the DSPF.

For further information regarding the DISP, see the:

- DISP public website
- Defence industry security intranet page, or
- Complete the DISP Awareness Program on Campus

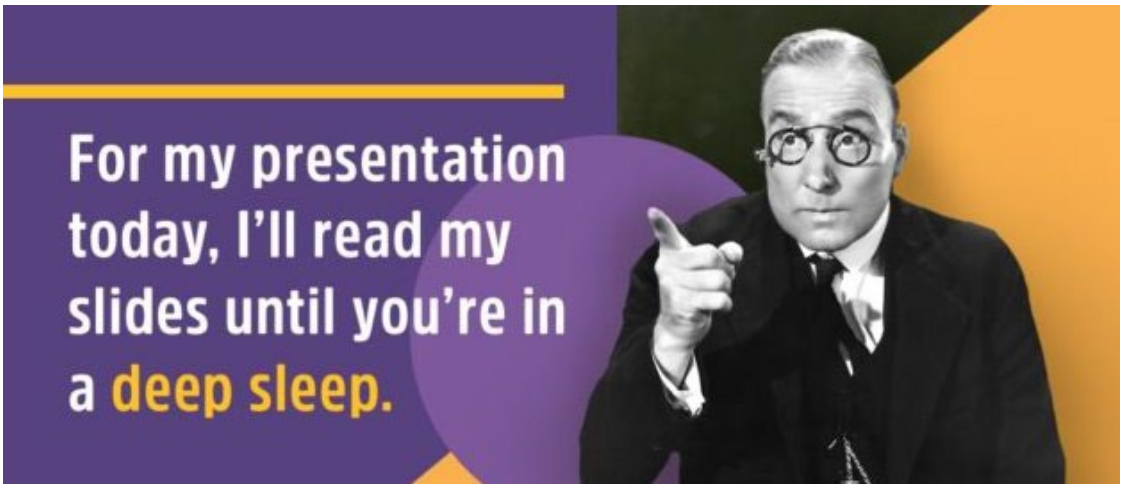
PRESENTATION TIPS

Delivering Security Briefings

There are no rights or wrongs when it comes to delivering a brief. It is entirely up to you. Every presentation is different due to the subject, the audience and the presenter. The best security training or awareness program is one that gets the point across in a variety of ways.

Deliver the product in a style that you are comfortable with. Ensure it gets your message across and that it resonates with your audience. Even a boring or serious topic can be made interesting & entertaining if you put a little effort in. An engaged audience will walk away from a presentation learning at least one new thing.

Below are some handy hints when it comes to preparing your presentation.



Briefings can be given verbally, in writing or a combination of both. If an individual's knowledge of security is poor, a combination of verbal and written briefings is recommended.

Lectures are the most common form of instruction, but lectures may not retain interest unless accompanied by training aids, a variety of topics and/or the use of guest speakers.

Discussions are best used when small groups are involved. They are ideal for unit leadership groups.

Audiovisuals are suitable training aids, shown either in full or as extracts used in conjunction with lectures or discussion.

Notices on bulletin boards serve as useful reminders, but need to be topical and changed frequently to retain impact.

Posters are useful in attracting the attention of employees to basic security measures, but again these need to be topical and changed frequently to retain impact.

Newspaper cuttings/extracts can be useful in creating security awareness when displayed for short periods of time.

Organising a Security Briefing

Before delivering a briefing, the following should be considered:

- What is the purpose of the brief?
- What security issues are you addressing?
- What information needs to be presented?
- Who is the audience?
- What is the classification of the brief?

Creating the presentation

Below are some tips to assist in creating the presentation:

- Choose the type of briefing to be given (e.g. Threat brief)
- Research the topic – look at the DSPF and Security Portal – speak with DS Division/ ESAs, or other Security Officers. Your presentation must be current and factual.
- Identify the audience – who are they, how do they like to receive information?
- Select the delivery method (e.g. PowerPoint)
- How much time have you got?
- Outline the purpose of the presentation, stick to it
- Choose your embellishments: whiteboard, flip chart, videos, visual aids etc.
- If using PowerPoint slides:
    - Use correct templates
    - Standardise style
    - Include only necessary information, be disciplined
    - Be consistent with effects, animations, colours etc.
    - Make it engaging – use pictures, tables, diagrams etc. as much as possible
    - The audience is there to listen to you, not read the presentation on the screen – restrict slide content to a minimum!
- Practice
- Know your venue – what is available to you. Good idea to visit the venue well in advance of your presentation to test your equipment. Nothing worse than delaying a presentation due to technology-failure.
- Have a contingency plan.

Presenting

Be clear, accurate and engaging.

Active involvement from participants should be sought, encouraged and valued. Take your cues from the audience, observe their body language and participation – that will give you an immediate indication of your performance.

Use your voice and watch your pronunciation, emphasis, pace, pitch, projection, volume and grammar. Eliminate jargon and slang and overuse of acronyms. Keep it simple – not everyone is a security expert – use language they can identify with.

Do not be offensive. Ensure your presentation complies with equity and diversity requirements.

Find natural pauses in your presentation and ensure participants have a break.

Be as natural as you can, use gestures and expressions in a natural manner. Don't be afraid to use some humour – even in a security presentation. A well placed quip works well, but can also ruin your presentation if at the wrong place and time. If you're not a funny person, don't try it in the first place.

Sometimes it is a good idea to be 'mobile' on stage. Try not to get stuck behind a lectern – moving towards and amongst your participants is engaging.

It is okay to respond with 'I don't know'. There is nothing worse than presenting false facts or answering the question inadequately. In the break, research an answer to the question and get back to the participant as soon as possible.

Always conclude by reinforcing the purpose of your presentation.

Feedback

Where appropriate – seek feedback on your presentation. Feedback helps you to improve your performance for the future.

Your agreed key responsibilities as a Security Officer

No	Task	Date commenced	Date completed	Comments
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	SO signature : **Commander/manager signature:**			

Note: It is recommended that you communicate and consult with your Commander/Manager/project sponsor regularly.

NOTES: