

Chapter 13

Controlled Unclassified Information

This chapter describes the security procedures adopted by DOE HQ to implement the requirements of the following DOE regulations and directives:

10 CFR Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*

DOE Order 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*

DOE Order 471.3, *Identifying and Protecting Official Use Only Information*

DOE Manual 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*

Within DOE, Controlled Unclassified Information (CUI) refers to unclassified information identified and marked as sensitive.

CUI also describes information identified and safeguarded under Executive Order 13556, CUI. Executive Order 13556 mandates a government wide uniform program to identify and protect sensitive but unclassified information. Policies for CUI under Executive Order 13556 are being developed. No timetable has been established for implementation, which will take place over years. Until a national directive is issued and DOE issues its own implementing directive, DOE personnel must continue to follow the regulations and directives for UCNI and OUI information.

Within DOE, CUI includes:

- Unclassified Controlled Nuclear Information (UCNI)
- OUI, which encompasses Personally Identifiable Information (PII), Export Controlled Information (ECI), and other unclassified sensitive information not governed by specific directives
- Unclassified Naval Nuclear Propulsion Information (U-NNPI).

Note: Confidential Foreign Government Information-Modified Handling Authorized (C/FGI-MOD) is classified under Executive Order 13526 and does not fall under this section (see Section 504, Foreign Government Information).

Transmission

UCNI:

A document containing UCNI may be transmitted by (1) U.S. First Class, Express, Certified, or Registered mail; (2) any other means approved for transmitting a classified document; (3) an authorized individual as long as physical control of the package is maintained; or (4) mail services internal to the facility. The document must be packaged in a single, opaque envelope or wrapping. The address of the recipient and the sender must be indicated on the outside of the envelope or wrapping along with the words “TO BE OPENED BY ADDRESSEE ONLY.”

Encryption must be used when transmitting UCNI over a telecommunications circuit (e.g., telephone, facsimile, radio, e-mail, Internet). FIPS 140-2 is the standard that must be used when transmitting CUI via electronic means.

OUO:

A document containing OUO may be transmitted by (1) First Class, Express, Certified, or Registered mail as well as by any commercial carrier; (2) a person authorized access to the OUO so long as the person can control access to the document being transported; or (3) mail services internal to the facility. For documents sent outside a facility, the document must be packaged in a sealed, opaque envelope with the recipient’s address, a return address, and the words “TO BE OPENED BY ADDRESSEE ONLY” on the front. For documents sent within a facility, the document must be packaged in a sealed, opaque envelope with the words “TO BE OPENED BY ADDRESSEE ONLY” on the front, but only the recipient’s address is required.

Encryption, when possible, should be used to transmit OUO over a telecommunications circuit. If encryption is not available and transmission by mail is not a feasible alternative, the document should be sent password protected, and the password communicated by separate e-mail or by phone to the recipient. If OUO is transmitted by unencrypted facsimile, the transmission must be preceded by a telephone call to the recipient so that he or she can control the document once received.

Destruction

Documents containing CUI must be destroyed by shredding. CUI must not be put in the recycle bins. A document containing CUI may be destroyed using a cross-cut shredder producing particles no larger than ¼ inch x 2 inches. Shredders meeting this requirement are available in the self-service supply stores.

Bulk paper, plastic, and metal waste (not including hard drives – see note below) containing CUI must be sorted and placed in plain brown paper bags and delivered to the Burn Bag Rooms (Forrestal GI-007 and Germantown R-002) for destruction. The name, routing symbol, telephone number, and room number of the person responsible for the burn bag and the type of material contained within (i.e., paper, plastic, or metal) must be clearly marked on each bag for

identification. The weight limit for each bag is 10 pounds for bags generated at Forrestal and 15 pounds for those generated at Germantown. The difference in weight limitation results from transportation and handling requirements. The top of the bags should be folded over at least once and stapled shut every 2 inches. Burn bags must be protected as CUI until they are destroyed. Personally owned, non-official waste material including food waste products are not to be included in the Burn Bags. Failure to comply with destruction preparation procedures may result in the issuance of a security infraction.

Note: Unclassified hard drives MAY NOT be delivered to a Burn Bag Room for destruction. Call (301) 903-2500 to arrange for unclassified hard drives to be picked-up and stored by IM until arrangements are made for the hard drives to be destroyed by a qualified outside vendor.)

Note: Paper clips, heavy duty staples, and metal or plastic fasteners must be removed from all paper documents and waste.

Documents and material containing CUI may also be destroyed by methods approved for the destruction of classified matter.

HQ Implementation Procedures

Requirements for access to and protection of UCNI and OUO are contained in the respective DOE regulations and directives listed above. The following points are included here for emphasis:

A clearance is not required for access to CUI. Requirements for access to UCNI are contained in 10 CFR Part 1017. In general, OUO may be granted to a person needing the information to perform a DOE-authorized function. However, some OUO (e.g., Export Controlled Information, Source Selection Information) has additional access restrictions.

Documents containing UCNI or OUO must not be posted on websites available to the public. For requirements concerning posting UCNI and OUO on internal DOE websites, contact the Office of the Chief Information Officer (IM-622).

Documents and material containing UCNI or OUO must be reviewed in accordance with program office policies prior to public release (e.g., posted on a website), and the appropriate personnel must remove the UCNI and OUO.

Accountability is not required for CUI.

The originating agency establishes protection requirements for other-agency CUI – for example, Sensitive But Unclassified (SBU), For Official Use Only (FOUO), and Administratively Controlled Information (ACI). In most cases, when other-agency protection requirements cannot be determined, documents bearing these markings should be protected within DOE HQ as OUO. However, exceptions exist, such as the Nuclear Regulatory Commission’s Safeguards Information (SGI) and the Department of Homeland Security’s Sensitive Security Information (SSI). If unsure how to handle other-agency CUI, contact the person who transmitted the information for clarification and direction.

Points of Contact

For information about CUI, call (301) 903-4861 or (301) 903-7567.

Additional Information

The Office of Classification's website has a page with information concerning OUO (<http://energy.gov/ehss/services/classification/official-use-only-information>) and another on UCNI (<http://energy.gov/ehss/services/classification/unclassified-controlled-nuclear-information-ucni>). These pages contain information, resources, and links to the DOE regulation and directives concerning CUI.

The DOE CMPC Marking Resource has additional information concerning marking documents containing CUI. To access the DOE CMPC Marking Resource go to:
http://www.energy.gov/sites/prod/files/2013/05/f1/DOE_CMPC_Marking_Resource_0.pdf