



Office of Classification

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June 2014

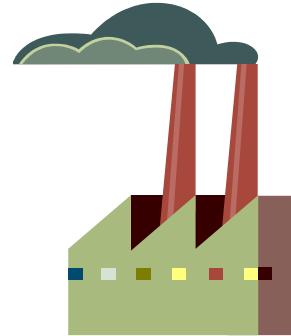
- This briefing provides information on Unclassified Controlled Nuclear Information (UCNI).
- This briefing is for persons who have access to UCNI; a separate briefing is available for persons who need the authority to review documents to determine if they contain UCNI.



Unclassified Controlled Nuclear Information (UCNI)



What is UCNI?



Certain unclassified design and security information concerning nuclear facilities, material, and weapons that can be controlled under section 148 of the Atomic Energy Act

Because its release would significantly increase the likelihood of the illegal production of a nuclear weapon or the theft, diversion, or sabotage of nuclear material, equipment, or facilities

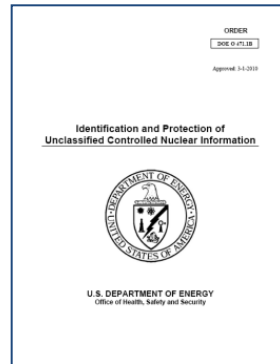
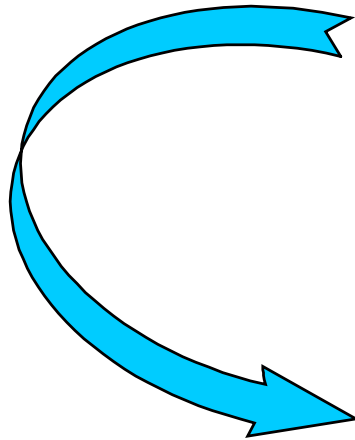


UCNI Authority Flow

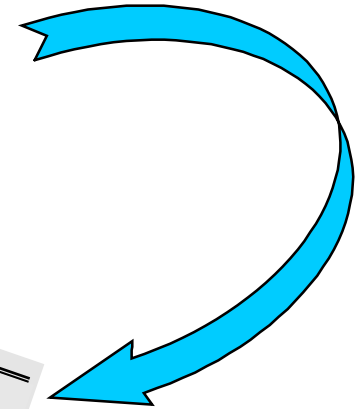


Atomic Energy Act
of 1954, section 148

10 Code of Federal
Regulations Part 1017
(Effective December 8, 2008)



DOE Order 471.1B
(March 1, 2010)





What Information could be UCNI?

- Must be unclassified Government information that concerns atomic energy defense programs
- Three areas
 - Design of production or utilization facilities
 - Security measures for the physical protection of production or utilization facilities or nuclear material contained in these facilities or in transit
 - Declassified RD



UCNI – Who does what?

- **Director, AU-60** – decides what information is UCNI and approves UCNI guidance
- **Reviewing Officials** – use UCNI guidance to review documents for UCNI
- **DOE and contractor employees** – refer documents that may contain UCNI to an UCNI Reviewing Official





How do I know if a document should be reviewed for UCNI?

- If the document is in an UCNI subject area, it may contain UCNI



What are UCNI Subject Areas? (Covered by UCNI Guidance)

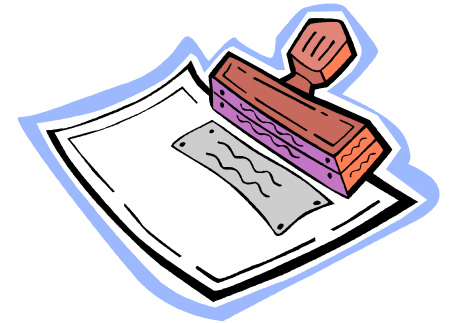
- Safeguards & Security
- Arms Control & Verification
- Intra-Site Secure Transport Vehicle
- Transportation Safeguards System
- Radiological Emergency Response
- High Explosives in Nuclear Weapons
- Nuclear Nonproliferation
- Uranium AVLIS
- Plutonium AVLIS
- Gaseous Diffusion
- Plutonium Processing

Note: Most UCNI subject areas overlap with classified subject areas

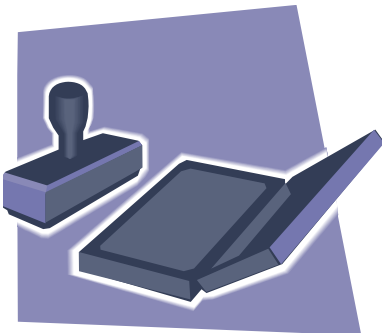


What if I have an unmarked document requested under the FOIA that contains UCNI?

- If a copy of the same document has been widely disseminated and can be found (e.g., via internet search, through a library) it cannot be UCNI.
- This only applies if it is the same document.
- If it is not the same document, the requested document can still be UCNI even if the exact **information** appears in different documents in the public domain.



How is a document containing UCNI marked?





How is a document containing UCNI marked?

Front Marking

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION
NOT FOR PUBLIC DISSEMINATION

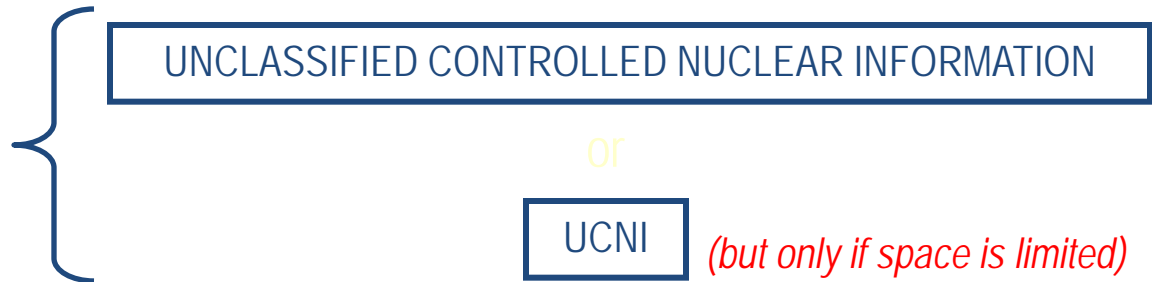
Unauthorized dissemination subject to civil and criminal sanctions under Section 148 of the Atomic Energy Act of 1954, as amended (42 U.S.C. 2168).

Reviewing Official: _____
(Name/Organization)

Date: _____

Guidance Used: _____

Page Markings (on the bottom of the page)



§ 1017.16(a)(1) and (2)

Markings are for example purposes only



Sample Marking of UCNI Document

XXX XXXXXX XX XXXXXX
XXXXX XXXXXXXXXXXXXXX XXXXXX

XXXXXXX. XXXX XXXXXX XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXXXXX XXXXXXXXXXX XXXXXXXXXXXXXXX, XXXXXXX, XXX XXXXXXXXXXX XXXXXXXXXXX XXX XXXX (XXX) XXXXXXXXXXXXXXX. XXXXX XXXXXXXXXXX XXXXXXX XXXXXXXXXXX XXXXXXXXXXX XXX XXXXXXXXXXX XXXXXXXXXXX. XXXXXXX X XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXXXXX XXX XXXXXXX XXXXXXXXXXXXXXX; XXXXXXX XX XXXXXXXXXXX XXXXXXXXXXX XXX XXXXXXXXXXX. XXX XXXXXXXXXXX XXXXXXXXXXX XXXXXXXXXXX (XXX), XXXXXXXXXXX X, XXX XXXXX XXXXXXXXXXXXXXX XX XXX XXXXX XXX XXXX XX XXX/XX.

XXXXXXXX. XXXXXXX XXXXXXXXXXX XXXX XXXXXX XXXXXX XX XXXXXXXXXXX XX XXXXXXXXXXXXXXXXXXXXXXXXXXX XXX XXXXXXX XXXXXX XX XXX-XXX-XXXX.

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION
NOT FOR PUBLIC DISSEMINATION
Unauthorized dissemination subject to civil and criminal sanctions under Section 148 of the Atomic Energy Act of 1954, as amended (42 U.S.C. 2168).
Reviewing Official: _____ Jane Smith, AU-61 _____
(Name/Organization)
Date: _____ 12/6/06 _____
Guidance Used: _____ CG-SS-4 _____

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION



Sample Marking of Document Transmitting UCNI

- If transmittal document itself does not contain classified or controlled information, this statement is placed on the transmittal
- Calls attention to the presence of UCNI in the attachment

XXX XXXXXX XX XXXXXXX
 XXXXX XXXXXXXXXXXXXXX XXXXXX

XXXXXXXX. XXXX XXXXXX XXXXXXXXXXX XXX XXXXXXX XXXX XXXXXXX XXXXXXXXXXX XXX
 XXXXXXXXXXX, XXXXXXX, XXX XXXXXXXXXXX XXXXXXX XXX XXX (XXX)
 XXXXXXXXXXX. XXXXX XXXXXXX XXXXXXX XXXXXXXXXXX XXXXXXXXXXX XXX XXXXXXXXXXX
 XXXXXXXXXXX. XXXXXXX X XXXXXXX XXX XXXXXXXXXXX XXX XXXXXXXXXXX XXX
 XXXXXXX XXX XXXXXXXXXXX; XXXXXXX XX XXXXXXXXXXX XXXXXXXXXXX XXX
 XXXXXXXXXXX. XXX XXXXXXXXXXX XXXXXXXXXXX XXXXXXX (XXX), XXXXXXXXXXX X,
 XXXX XXXX XXXXXXXXXXX XXX XXX XXXXX XXX XXXX XX XXX/XXXXXXXX
 XXXXXXXXXXX XXXXXXXXXXX.

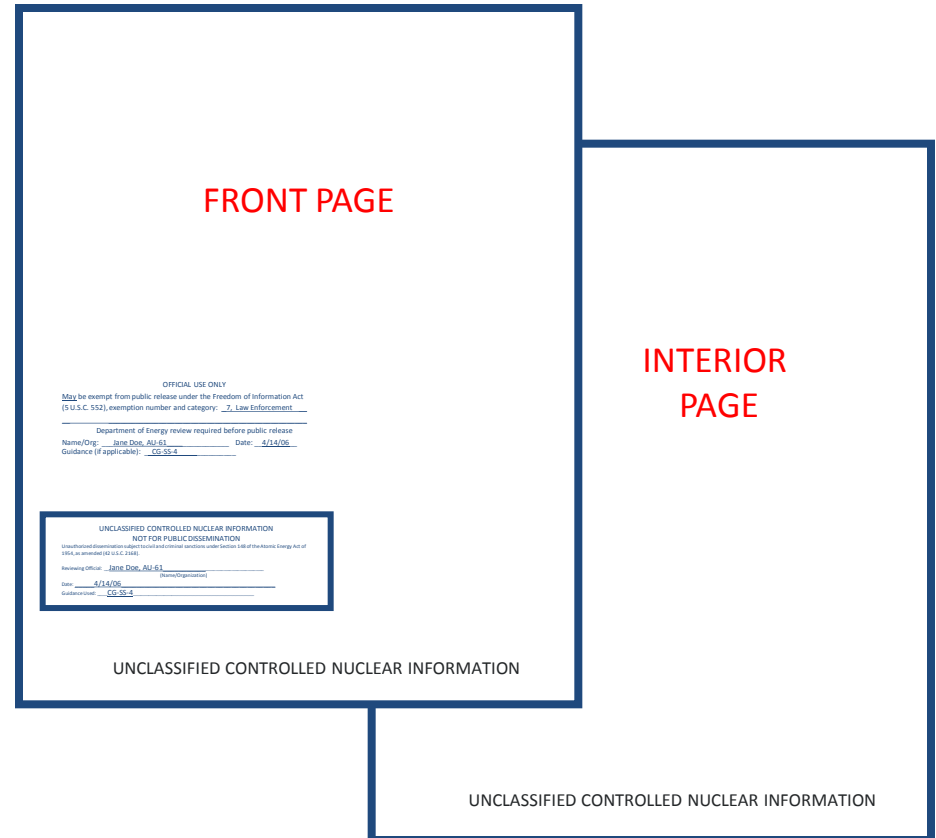
XXXXXXXX. XXXXXXX XXXXXXXXXXX XXXX XXXXX XXXXXX XX XXXXXXX XX
 XXXXXXXXXXX XXXXXXXXXXXXXXX XXX XXXXXXX XXXXXXX XX XXX-XXX-XXXX.

Document transmitted contains
 Unclassified Controlled Nuclear
 Information. When separated
 from enclosures, this transmittal
 document does not contain UCNI.



How is a document containing UCNI marked if there is also OOU in the document?

- If the document also contains OOU, the UCNI front and page markings are on the document as well as the OOU front marking
- For interior pages for documents with UCNI and OOU
 - All pages may be marked with the highest category (UCNI)
 - Alternatively, the individual pages may be marked with the highest category on each page

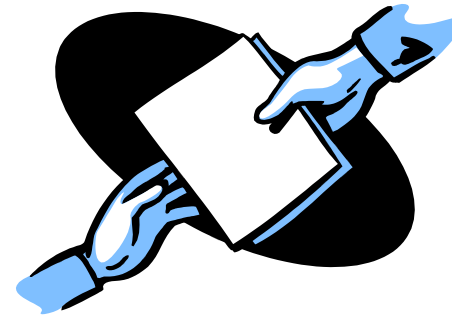




What markings does a document have to indicate it no longer contains UCNI?

- A Reviewing Official may determine that an unclassified document or material marked as containing UCNI no longer contains UCNI
- In such a case, the Reviewing Official –
 - Must ensure that all UCNI markings are removed or crossed out
 - Front of the document or material must be marked as indicated below:

<p>DOES NOT CONTAIN UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION Reviewing/Denying Official: <u>Michael Kieszowski, IM-40</u> (Name/Organization) Date: <u>4/30/03</u></p>



How is UCNI Protected?





Who can have access to UCNI?

- Routine Access
 - Authorized Individual
 - Clearance not necessary
 - Must meet criteria in 10 CFR 1017.20(b)
 - Need to know
- Limited Access – for persons not eligible for routine access





How is Routine Access determined?

- Authorized Individual determines
- For example,
 - You are an Authorized Individual if you are a Government or contractor employee who needs to know the UCNI to do your job
 - If you give an UCNI document to another employee who needs the UCNI to do his or her job, he or she is an Authorized Individual for that UCNI document and can decide who else to give it to (as long as that person has a need to know the UCNI and meets the requirements for routine access in 10 CFR 1017.20(b))





Can someone who is not a Government or Government contractor employee have Routine Access to UCNI?

Probably

If you want to give an UCNI document to someone who is NOT a Government or Government contractor employee, the person must

Have a need to know the information and
Meet the criteria in 10 CFR 1017.20(b)



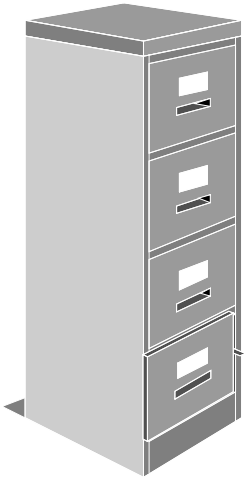
Limited Access* (*very rare*)

- Granted to individuals who CANNOT be authorized routine access (e.g., non-Government legal counsel)
- Requested from and approved by DOE Program Secretarial Officer or NNSA Deputy or Associate Administrator with cognizance over the information
- Further dissemination not authorized

*Limited access was previously referred to as Special Access



How is UCNI protected?



- Refer to Subpart E of 10 CFR Part 1017

An Authorized Individual or a person granted limited access to UCNI must maintain physical control over any document or material marked as containing UCNI that is in use to prevent unauthorized access to it.





How is UCNI stored?

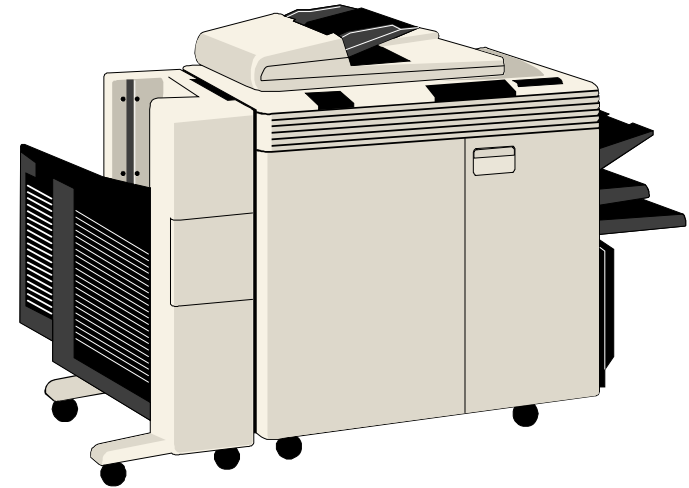
- Must be stored to preclude unauthorized disclosure
- When not in use, documents or material containing UCNI must be
 - Stored in locked receptacles (e.g., file cabinet, desk drawer) or
 - If in secured areas or facilities, in a manner that would prevent inadvertent access by an unauthorized individual.





Are there limits to copying documents containing UCNI?

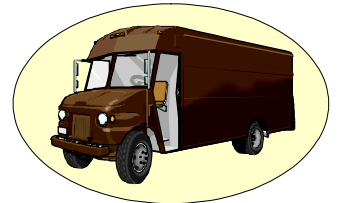
- Minimum extent necessary
- Originator permission NOT required
- Ensure UCNI markings are on all copies





How are documents containing UCNI transmitted?

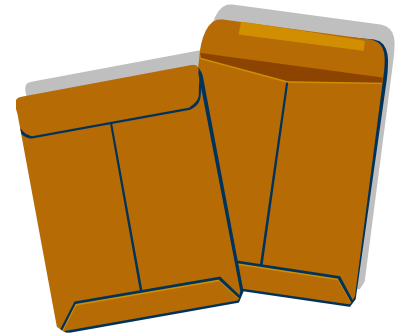
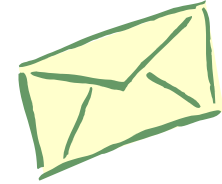
- A document or material marked as containing UCNI may be transmitted by
 - U.S. First Class, Express, Certified, or Registered mail;
 - Any means approved for transmission of classified documents or material;
 - An Authorized Individual or person granted limited access as long as physical control of the package is maintained; or,
 - Internal mail services.





How are documents containing UCNI transmitted? (continued)

- The document or material must be packaged to conceal the presence of the UCNI from someone who is not authorized access. A single, opaque envelope or wrapping is sufficient for this purpose.
- 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.”





How is UCNl transmitted over IT systems?



Unclassified encryption
is required





How is UCNI disposed of?



- Plain brown burn bags
- Cross-cut shredder that produces particles no larger than 1/4-inch wide and 2 inches long – may use strip cut shredder until replaced
- Any classified method
- Other comparable destruction methods may be used



Are there penalties for infractions and violations?

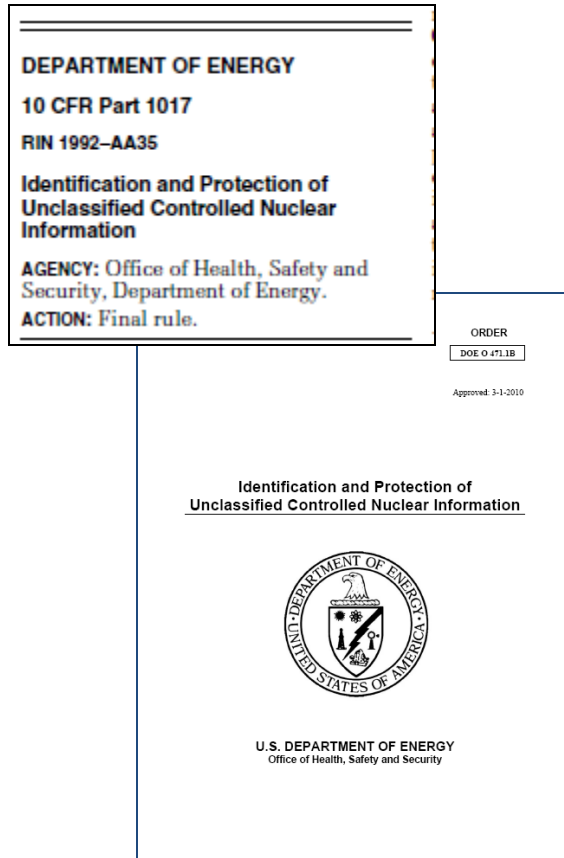
- Infraction
 - Administrative penalty

- Violation
 - Civil penalty of up to \$150,000
 - Criminal penalty of
 - 2 years (without intent to harm the Nation)
 - 20 years (with intent to harm the Nation)





If you have questions about UCNI, refer to:



10 CFR Part 1017, Identification and Protection of Unclassified Controlled Nuclear Information, revision effective 12/8/08

and

DOE Order 471.1B, Identification and Protection of UCNI

Also see the Office of Classification's webpage on UCNI at:

<http://energy.gov/ehss/services/classification/unclassified-controlled-nuclear-information-ucni>



Who should you contact if you have questions?

- Your Classification Office or
- Your Classification Representative or
- The DOE Office of Classification
(301) 903-4861
outreach@hq.doe.gov