



# Office of Classification

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## Office of Classification

# Classification Training Institute

April 2012

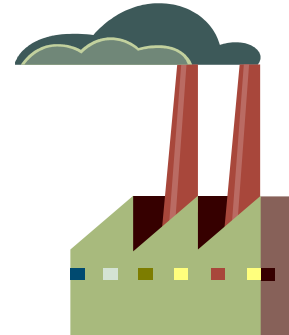
- This briefing provides information on Unclassified Controlled Nuclear Information (UCNI).
- This briefing is for persons who have access to UCNI – a separate training is available for persons who need authority to review documents to determine if they contain UCNI.



# 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 likelihood of illegal production of nuclear weapon theft, diversion, or sabotage of nuclear material, equipment, or facilities

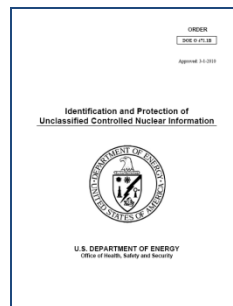


# UCNI Authority Flow

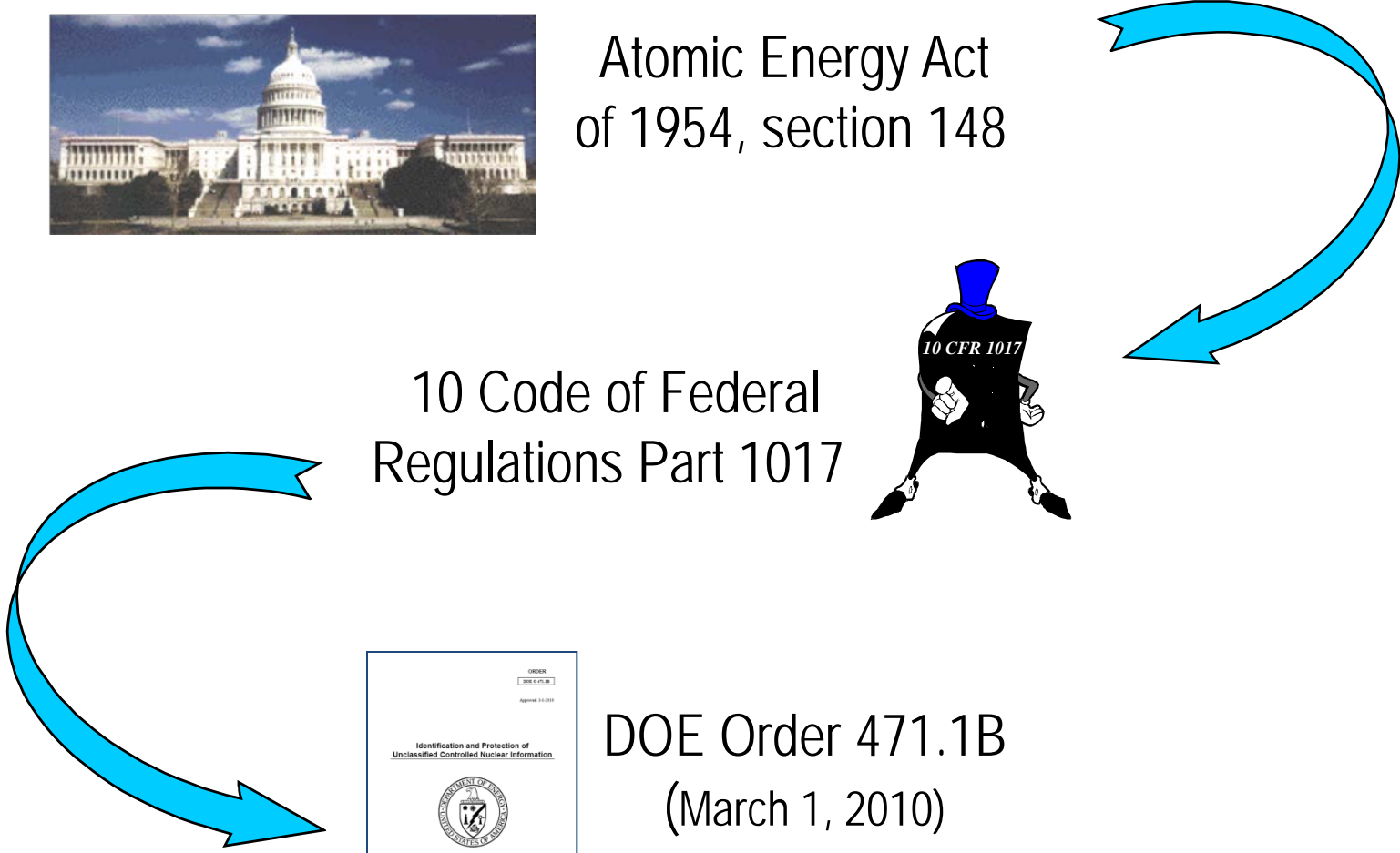


Atomic Energy Act  
of 1954, section 148

10 Code of Federal  
Regulations Part 1017



DOE Order 471.1B  
(March 1, 2010)





# What Information could be UCNII?

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



# UCNI – Who does what?

- **Director, HS-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)

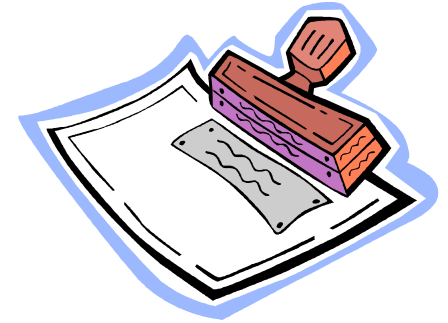
- Safeguards & Security
- Arms Control & Verification
- Intra-Site Secure Transport Vehicle
- Transportation Safeguards System
- Radiological Emergency Response
- High Explosives in Nuclear Weapons
- Nuclear Nonproliferation
- Uranium AVLIS
- Plutonium AVLIS
- Gaseous Diffusion
- Plutonium Processing

Note: Most UCNI subject areas overlap with classified subject areas

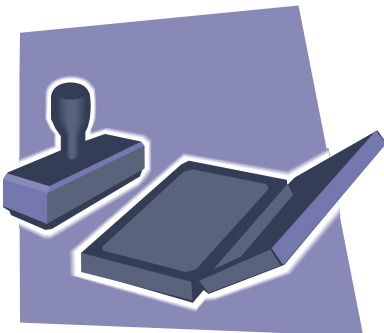


# What if I have a document marked UCNI that contains information I've seen in in the public domain?

- If it is the same exact document, the document should not be UCNI, and you should send it to an UCNI RO with an explanation as to why you are sending it
- However, the **information** can still be UCNI in other Government documents.
- Just because the **information** is in the public domain does not mean it is decontrolled.



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: _____ (List all UCNI Guidance used)

## Page Markings (on the bottom of the page)

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

or

UCNI

*(but only if space is limited)*



# Sample Marking of UCNi Document

XXX XXXXXX XX XXXXXXX  
XXXXX XXXXXXXXXXXXXXX XXXXXX

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

XXXXXXXX. XXXXXXX XXXXXXXXXXX XXXX XXXXXX XXXXXX XX XXXXXXX XX  
XXXXXXXXXXX XXXXXXXXXXXXXXX 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, HS-91
(Name/Organization)	
Date:	12/6/06
Guidance Used:	CG-SS-4
(List all UCNi Guidance Used)	

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 presence of UCNI information in attachment

XXX XXXXXX XX XXXXXXX  
XXXXXXXXXXXXXXXXXXXX XXXXXX

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

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

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



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

- Even if a document also contains OUO, the UCNI markings are on the document – the OUO front marking should also be on the document
- For interior pages for documents with UCNI and OUO
  - All pages may be marked with highest category (UCNI)
  - Alternatively, the individual pages may be marked with highest category on each page

**FRONT PAGE**

OFFICIAL USE ONLY  
May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and Category: 2, Law Enforcement  
Department of Energy Review required before public release  
Name/Title: John Doe, US-91 Date: 4/14/06  
Guidance (if applicable): DOE-1

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION  
NOT FOR PUBLIC DISSEMINATION  
Unauthorized dissemination subject to civil and criminal penalties under Section 802 of the Atomic Energy Act of 1954, as amended (50 U.S.C. 2382)  
Reviewing Official: John Doe, US-91  
Date: 4/14/06  
Reference Mark: CS-55-4

Unclassified Controlled Nuclear Information

**INTERIOR PAGE**

Unclassified Controlled Nuclear Information

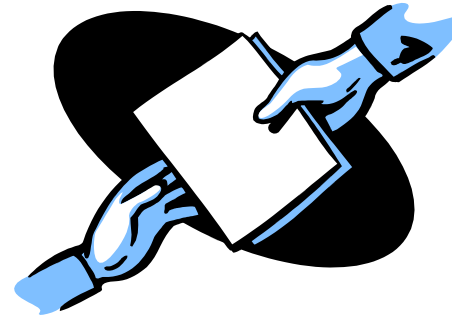


# What markings does a document have to indicate it no longer contains UCNI?

- 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:

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





# 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 employee or contractor have Routine Access to UCNI?

## Probably

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

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



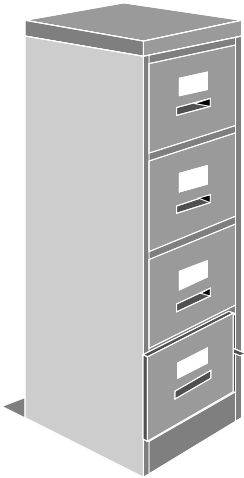
# Limited Access\* *(very rare)*

- 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?

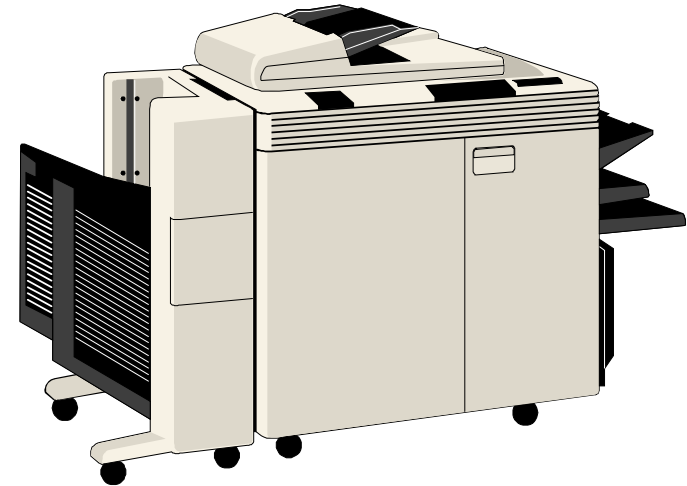
- Must be stored to preclude unauthorized disclosure
- When not in use, documents or material containing UCNI must be
  - Stored in locked receptacles (e.g., file cabinet, desk drawer) or
  - If in secured areas or facilities, in a manner that would prevent inadvertent access by an unauthorized individual.





# Are there limits to copying documents containing UCNI?

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

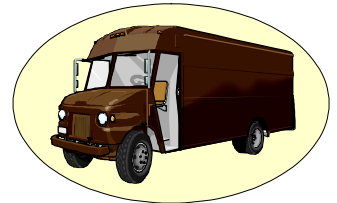






# How are documents containing UCNI transmitted?

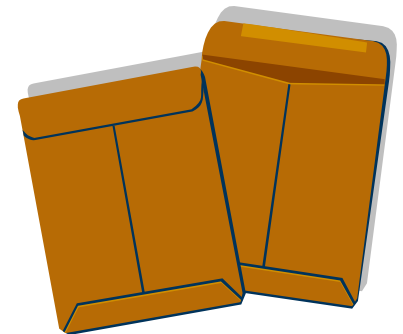
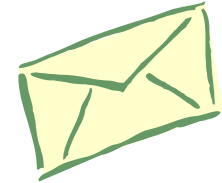
- A document or material marked as containing UCNI may be transmitted by
  - U.S. First Class, Express, Certified, or Registered mail;
  - Any means approved for transmission of classified documents or material;
  - An Authorized Individual or person granted limited access as long as physical control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



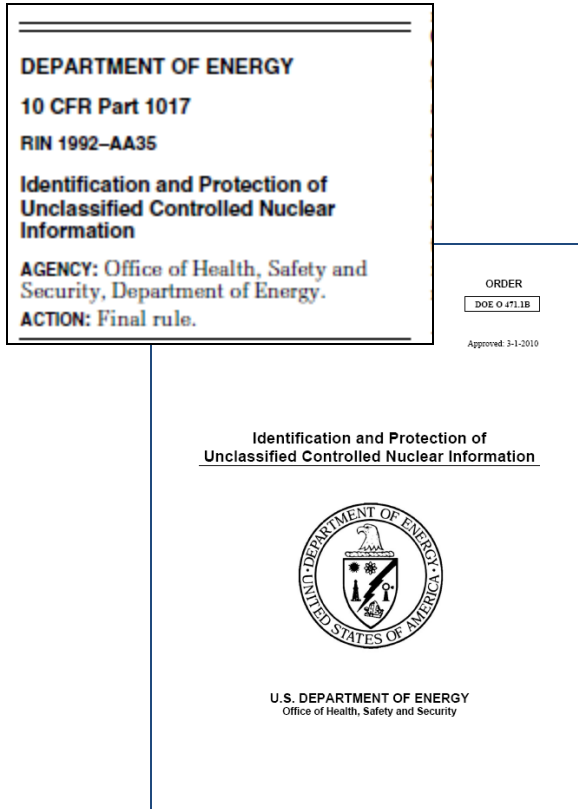


# If you have questions about UCNi refer to:

*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://www.hss.doe.gov/classification/ucni/index.html>



# 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](mailto:outreach@hq.doe.gov)