



Office of Classification

Classification

Training

Institute





Office of Classification

Unclassified Controlled Nuclear Information (UCNI) Reviewing Official Training

April 2012

For DOE Headquarters personnel: Prior to completing this training a Request for Authority form should have been submitted to the Office of Quality Management, HS-61. This training is the next step to becoming an Unclassified Controlled Nuclear Information (UCNI) Reviewing Official (RO).

Once you have completed this training, contact Charlie Jones, Senior Trainer, at 301-903-4421 or charlie.jones@hq.doe.gov to request the marking exercises and policy exam. The policy and marking exam must be returned for evaluation.

If the exam is completed with a score of 80% or higher, you will be sent a Letter of Authority which will identify the jurisdiction of your authority and authorize you to review documents and determine whether they contain UCNI.

In order to retain your authority, you must complete training every 2 years.

For other Programs and Elements: Contact your Classification Officer for information on becoming an UCNI RO.



*U*nclassified

*C*ontrolled

*N*uclear

*I*nformation



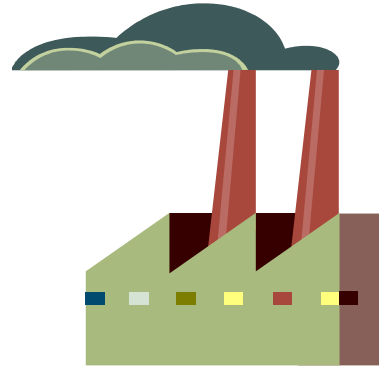


Overview

- Definition
- Review authority
- Guidance
- UCNI Facilities
- Markings



What is UCNI?



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

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



UCNI – Who does what?

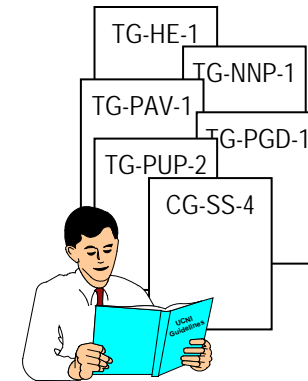
- **Director, HS-60** – decides what information is UCNI and approves UCNI guidance
- **Reviewing Officials** – review documents for UCNI consistent with UCNI authority description
- **DOE/NNSA Employees** – refer documents that may contain UCNI to an UCNI Reviewing Official





Reviewing Official

- **Decisions within Authority Description**
- **Must be based on Guidance**





What is my authority description?

- Identifies which documents you have authority to review
 - Documents generated by a specified office
 - Containing information in a specified subject area
- Lists the date of authority expiration

**DESCRIPTION OF
UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION
REVIEWING OFFICIAL AUTHORITY**

DESIGNEE: John Doe

TITLE: Intelligence Analyst

ORGANIZATION: Office of the Management Directorate
Office of Intelligence
 oqj Counterintelligence

EFFECTIVE DATE: June 2, 2011

You are hereby designated as having **Unclassified Controlled Nuclear Information (UCNI) Reviewing Official Authority**. This authority shall be exercised in conformance with 10 Code of Federal Regulations Part 1017, Identification and Protection of Unclassified Controlled Nuclear Information, and Department of Energy Order 471.1B, Identification and Protection of Unclassified Controlled Nuclear Information. This authority allows you to:

- determine, based on applicable UCNI guidance authorized for your use, that documents or material (a) contain, (b) do not contain, or (c) no longer contain UCNI;
- make such determinations only after first determining that the documents or material:
 - were previously reviewed by a derivative classifier or declassifier, as appropriate, and found to be unclassified;
 - have not been widely disseminated in the public domain; and
 - were originated by the Office of Intelligence and Counterintelligence, its contractors, or the predecessors of these organizations, in the following area(s): Arms Control/Nonproliferation, Isotope Separation, Safeguards and Security, and Transportation Safeguards System.

You shall retain this authority so long as you remain in your current position and satisfy the biennial training and testing requirements. Failure to meet these requirements will result in the automatic suspension of this authority.

This authority may not be re delegated.

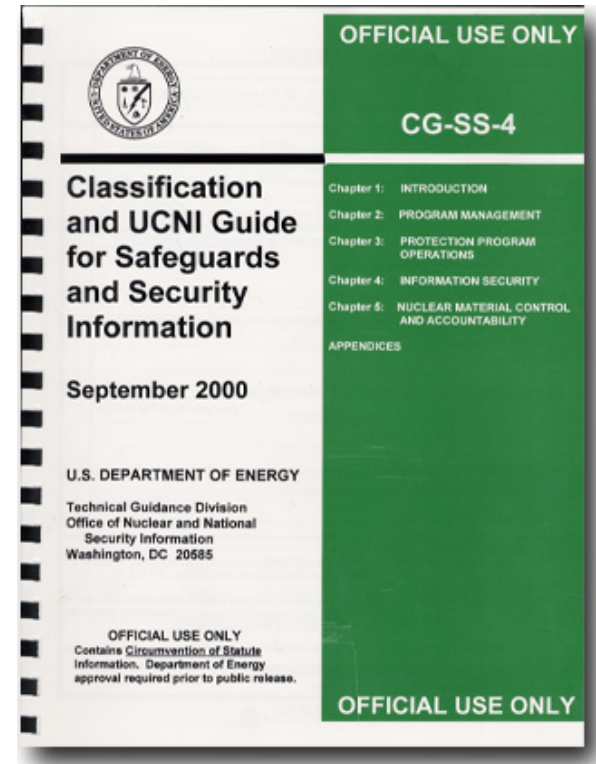
Andrew P. Weston-Dawkins

Andrew P. Weston-Dawkins
Director
Office of Classification
Office of Health, Safety, and Security



Classification Guides

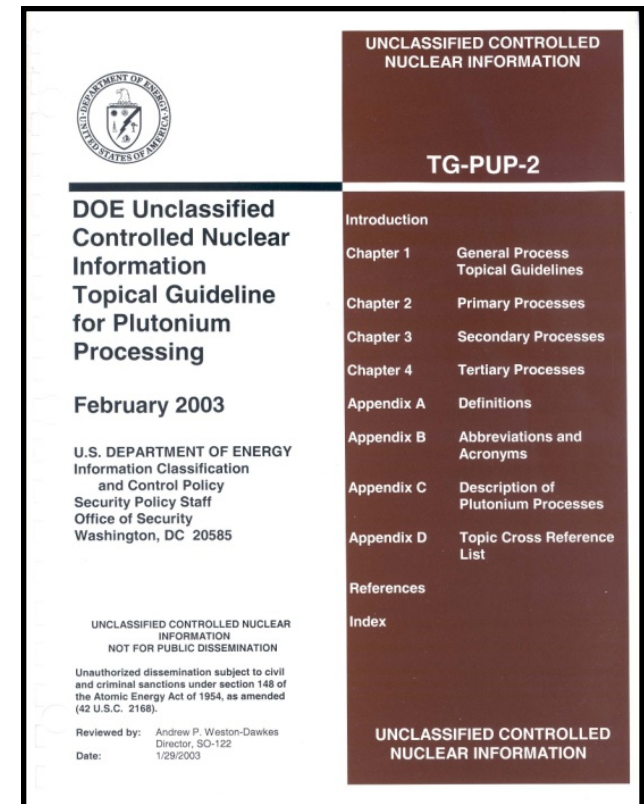
- Many classification guides have UCNI topics
- Approved by Director, HS-60
- Apply Department-wide
- Basis for determinations by Reviewing Officials





UCNI Topical Guidelines

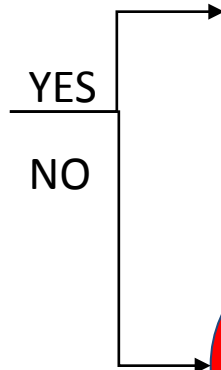
- Approved by Director, HS-60 (with NNSA concurrence in their subject areas)
- Apply Department-wide
- Basis for determinations by Reviewing Officials



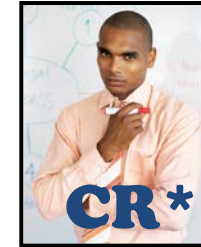


How is a determination on a new document made?

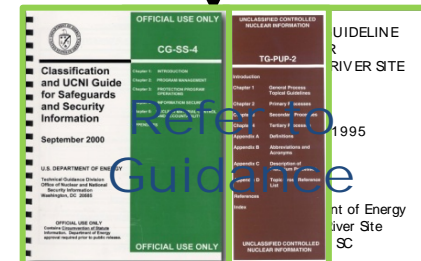
Is the information in the new document in an UCNI subject area?



Is the information from the document covered in a guide?



NO
YES



Caution: If you cannot find a guide topic, refer to the CR*.

* Contact the CR if the information appears to be sensitive, but you cannot find a topic or the appropriate guide.



Subject Areas Covered by UCNI Guidance

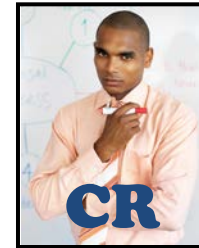
- Safeguards and Security
- Arms Control and Verification
- Intra-Site Secure Transport Vehicle
- Transportation Safeguards System
- Radiological Emergency Response
- High Explosives in Nuclear Weapons
- Nuclear Nonproliferation
- Uranium AVLIS
- Plutonium AVLIS
- Gaseous Diffusion
- Plutonium Processing

Also a small number of facts about nuclear weapons that were previously classified as Restricted Data

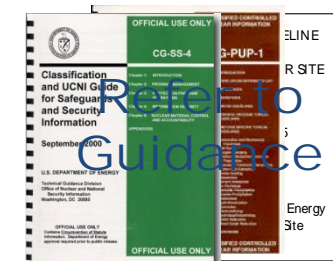
Note: Most UCNI subject areas overlap with classified subject areas



How is a determination on an old document made?



Caution: If you cannot find a guide topic, refer to the CR*.



* Contact the CR if the information appears to be sensitive, but you cannot find a topic or the appropriate guide.

Has this old document been “widely disseminated” in the public domain?

YES

The document cannot be marked UCNi

NO

The document could be UCNi

Markings are for training purposes only.



Classification Guide Containing UCNI Topics

Classification Guide for the Pear Program (CG-Pear-1)

- 3000 Information that pears will be inspected U
- 3003 Specific date and time that specified pears will be inspected at the DOE Facility ABC
- 3003.1 Fact that a specific type of pear will be inspected at a specified facility without specifying the date and time OUO/UCNI
- NOTE 1:* UCNI for UCNI facilities
NOTE 2: OUO is “Exemption 2 – Circumvention of Statute” information.
- 3003.2 Date and time of planned inspection without specifying the specific type of pear being inspected UCNI
- 3003.3 Date and time of planned inspection, if the specific type of pear is specified CNSI[EV]
- NOTE:* Declassify following completion of the inspection.



What if a guide topic indicates UCNI or OUO?

- Determination depends on facility - UCNI for UCNI production or utilization facilities; OUO for others
- Previously referred to as an “UCNI sensitive” facility
- Revised Regulation language now refers to “production or utilization” facility



What are some examples of UCNI production and utilization facilities?

- UCNI production facilities
 - Paducah and Portsmouth Gaseous Diffusion Plants
 - May not be an entire site, but “activities” within a site (e.g., Highly Enriched Uranium Materials Facility)
- UCNI utilization facilities
 - Pantex Plant
- Facilities that are not UCNI production or utilization facilities
 - Kansas City Plant, DOE Headquarters, Argonne National Laboratory



Example of Applying an OUO/UCNI Topic

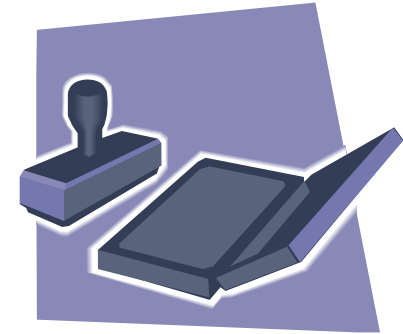
Example - Security-related information

- Pantex Plant is an UCNI utilization facility
 - Security-related OUO/UCNI guide topics are UCNI for Pantex
- Kansas City Plant is not an UCNI production or utilization facility

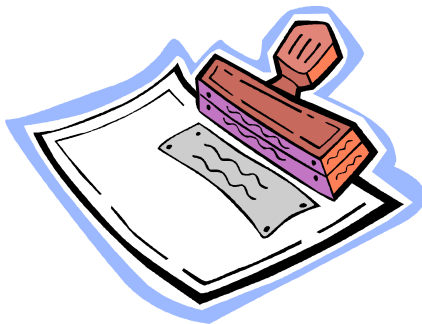
Security-related OUO/UCNI guide topics are OUO for Kansas City Plant

NOTE: The fact that security measures in use at an UCNI production or utilization facility are the same as those at a site that is not a production/utilization facility is also UCNI.

Association reveals UCNI



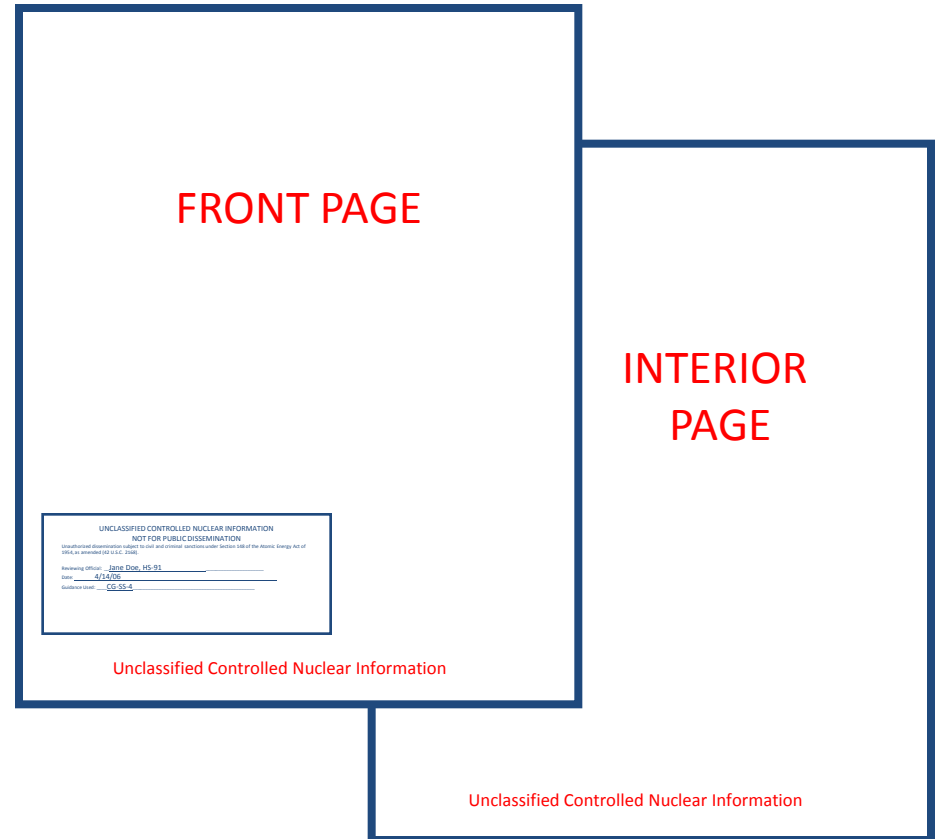
Marking UCNI





How do you mark an UCNI document?

- **Front marking**
 - Apply front marking to front page of any unclassified document containing UCNI information
- **Page markings**
 - All pages marked with UCNI on bottom of page
 - Unless choosing to mark individual pages with highest sensitivity on each page





UCNI Markings

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:

Date:

Guidance Used:

(Name and Organization)

(List all UCNI Guidance Used)

Page Markings

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

UCNI

(If space is limited)



Marking for Back of Document

- Purpose is to identify sensitivity when document is turned over
- Mark outside of the back cover or back of last page of text

Outside of Back Cover
OR
Back of Last Page of Text

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION



UCNI in a Title/Subject Line

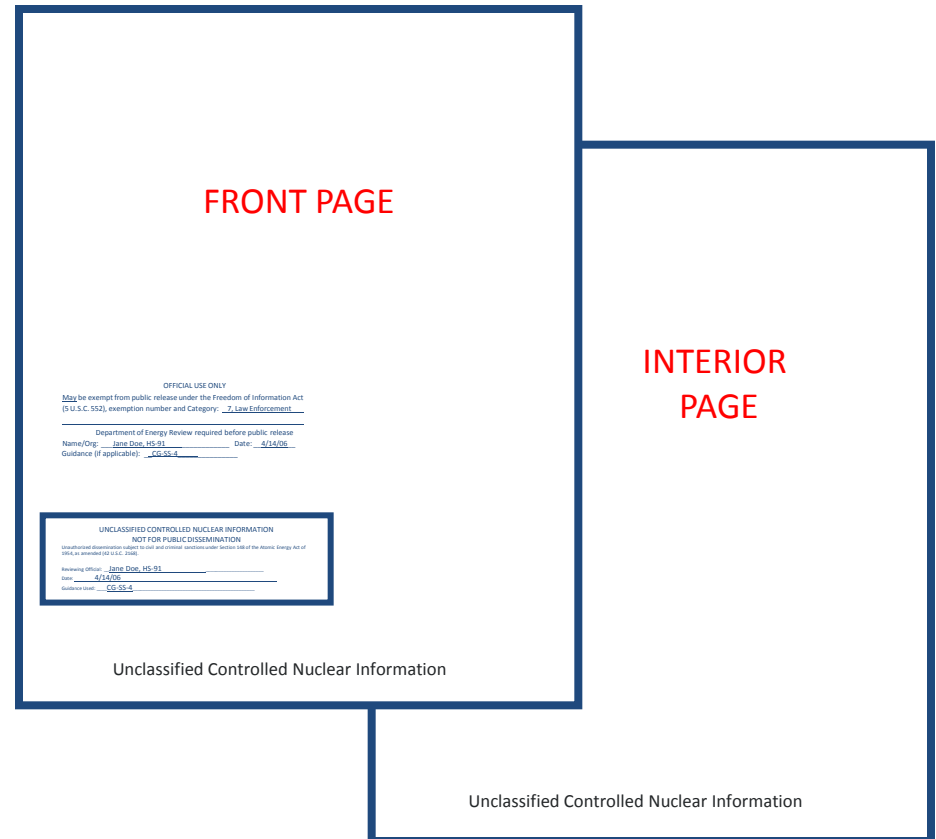
- Title/Subject marking is not required for documents containing UCNI
- The text of the title or subject line should not contain UCNI unless it is unavoidable.
- If title/subject contains UCNI, the title/subject must be marked using the acronym (UCNI)*

* Note: In a classified document , the title subject marking must be placed at the front of the title or subject



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

- If a document contains OOU and UCNI, **both** the UCNI front marking and the OOU front marking must also be on the front page.
- For interior pages for documents that contain UCNI and OOU
 - All pages may be marked with highest category (UCNI)
 - Alternatively, the individual pages may be marked with highest category on each page





Relationship of UCNI Markings to Classification Markings

- Apply all required classification markings
- Do **not** apply UCNI front and page markings
- **Do** apply UCNI **portion** and **title/subject marking**

SECRET

(UCNI) Title

(S) _____

(UCNI) _____

(U) _____

Derivative Declassifier review required prior to declassification

Classified By: Joe Smith, Director, DOE, HS-91
Derived From: CS-SS-4, 9/12/2000, DOE/OC
Declassify On: Upon Completion of Exercise

SECRET

* When marking a classified document on a page-by-page basis, the UCNI page marking would be used if the page contained UCNI but no classified.

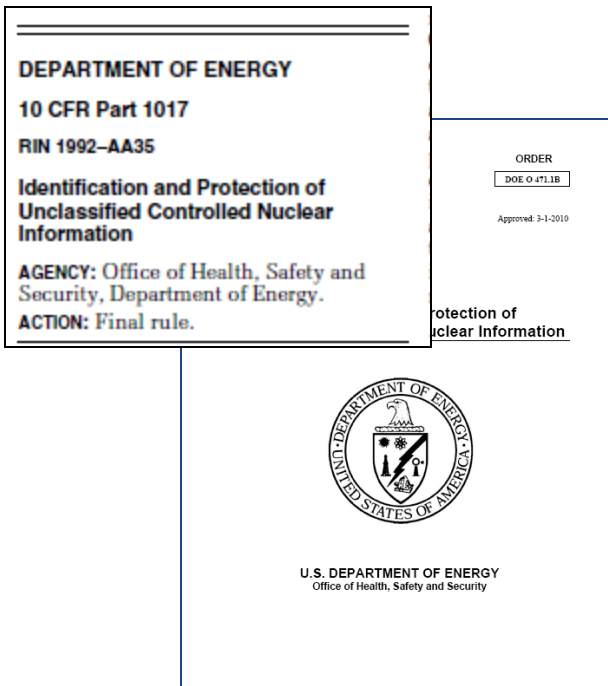


If you have questions about UCNI refer to:

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



*Note: The Regulation and the Order must be used in conjunction with one another. The Order details additional requirements that apply to DOE employees.

Also see the Office of Classification's webpage on UCNI at:
<http://www.hss.doe.gov/classification/ucni/index.html>



Point of Contact

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Questions may also be directed to

outreach@hq.doe.gov



Summary

- Definition
- Review authority
- Guidance
- UCNI Facilities
- Markings