



*U*nclassified  
*C*ontrolled  
*N*uclear  
*I*nformation



August 25, 2015



# Office of Classification (AU-60)

Germantown, MD

**C**lassification

**T**raining

**I**nstitute





## Office of Classification

# Unclassified Controlled Nuclear Information (UCNI) Reviewing Official Training

August 2015



**For DOE and NNSA Headquarters personnel:** Prior to completing this training, a Request for Authority form should have been submitted to the Office of Quality Management, AU-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 Alex Schrider at 301-903-1626 or email [william.schrider@hq.doe.gov](mailto:william.schrider@hq.doe.gov) to request the marking exercises and policy exam. The policy exam must be returned for evaluation.

If the exam is completed with a score of 80% or higher, you will be sent a Description of Authority that identifies the jurisdiction of your authority and authorizes you to review documents to determine if they contain UCNI for those subject areas in which you have completed performance based tests (PBT).

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

**If you are not in a DOE or NNSA Headquarters element or a Classification Officer,** contact your Classification Officer for information on becoming an UCNI RO.

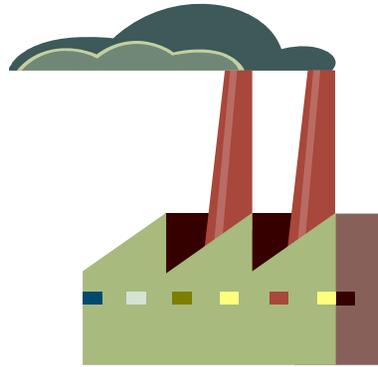


# Overview

- Definition
- Legal Basis
- Review authority
- Guidance
- Markings
- Handling requirements
- Infractions and Violations



# What is UCNI?



**Certain unclassified Government information concerning the design and security of certain nuclear facilities, materials, 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**

Atomic Energy Act, Section 148 a(1) and (2)

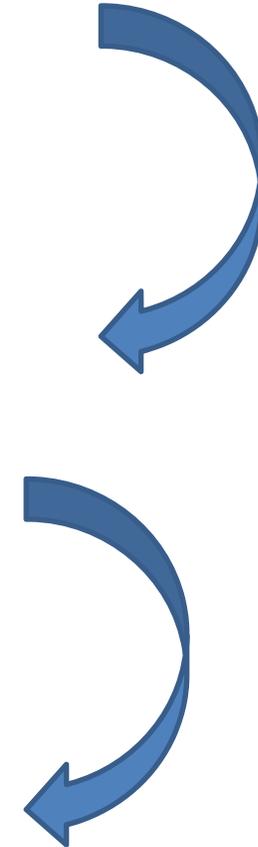
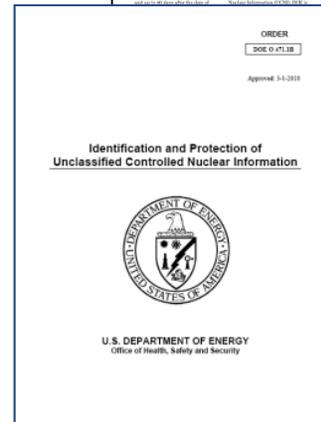
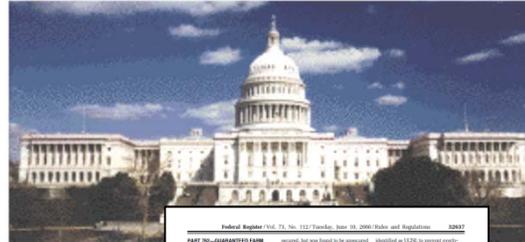


# UCNI Authority Flow

Atomic Energy Act of 1954, section 148

10 Code of Federal Regulations Part 1017 (June 2008)

DOE Order 471.1B (March 2010)





# What information can be UCNI?

- 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
- Adverse effect caused by its release\*

\* The adverse effects test is only used by Director, Office of Classification, when making the initial determination that information is UCNI



## There is information that cannot be controlled as UCNI

- Safeguards information (SGI)
- Basic scientific information
- Radiation exposure data and all other personal health information
- Information concerning the transportation of low level radioactive waste



# UCNI Subject Areas

- 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

**Includes 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**



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## When does a document have to be reviewed to determine if it contains UCNI?

Anyone who originates or possesses a document that he or she **thinks may contain UCNI**, must send the document to an UCNI Reviewing Official before it is finalized, sent outside his or her organization or filed.



# UCNI – Who does what?

- **Director, Office of Classification** – 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





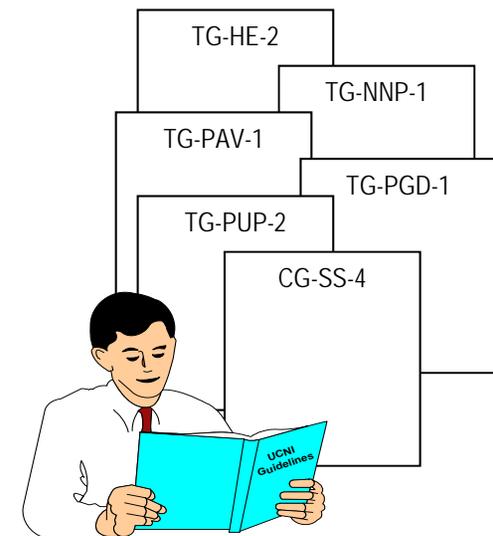
## Director, Office of Classification

- Determines what information is UCNI based on criteria in 10 CFR Part 1017
- Is the only one authorized to use the UCNI General Guidelines (GG-5) to make that determination
- Promulgates UCNI determinations in classification/UCNI guides
- Approves UCNI guides



# Reviewing Official

- Determines if documents or material contain UCNI
- Decisions must be within his or her authority description
- Must be based on guidance





# What is a “Description of Authority”?

- Identifies which documents you have authority to review
  - Documents generated by a specified office
  - Containing information in a specified subject area
- Training must be refreshed every 2 years (biennially)

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

**DESIGNEE:** John Doe  
**TITLE:** Intelligence Analyst  
**ORGANIZATION:** Office of the Management Directorate  
Office of Intelligence  
300 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 applicable, 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 areas: 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 redelegated.

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



## DOE/NNSA Employees

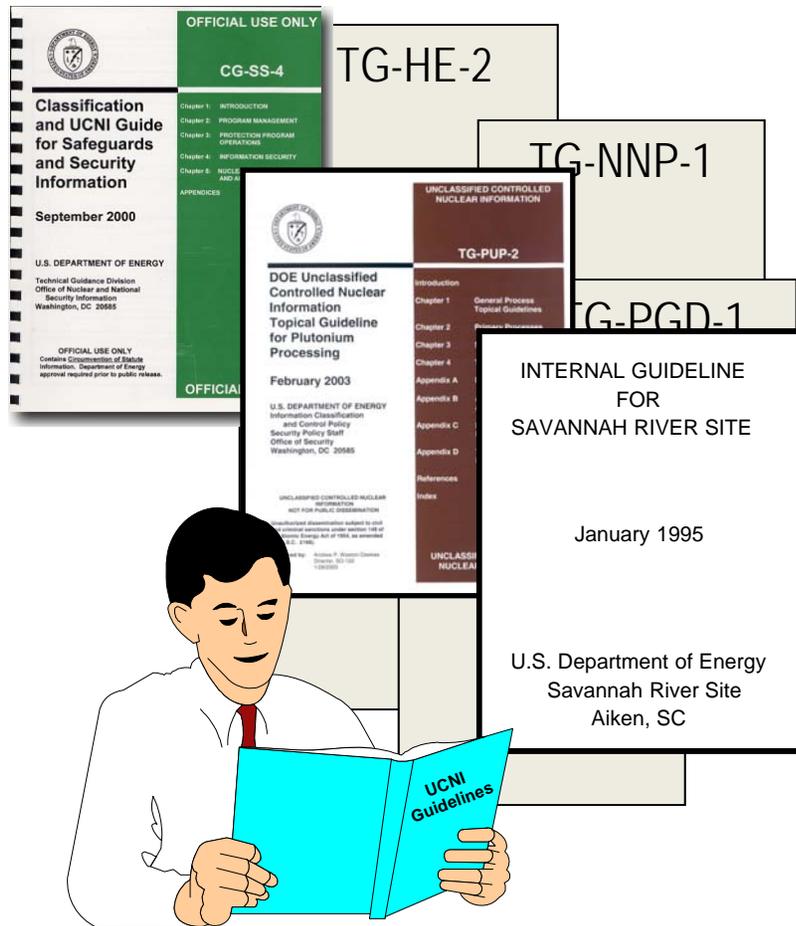
- Ensure unclassified documents he or she originates or possesses that may contain UCNI are sent to an UCNI Reviewing Official
- With routine access to UCNI must be briefed periodically on their responsibilities for identifying and protecting UCNI



# Using UCNI Guidance to make a Review Determination



# What is UCNI Guidance?



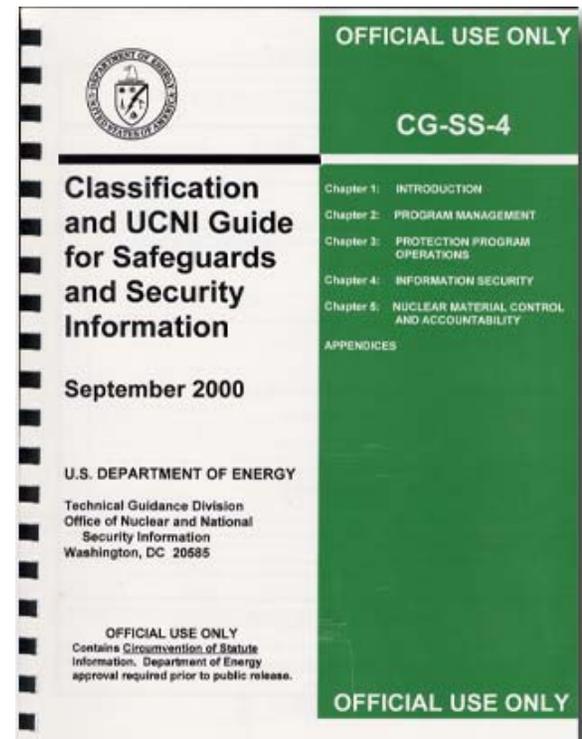
- Detailed instructions describing what is and is not UCNI
- Consists of classification guides, topical guidelines and internal guidelines
- Used by Reviewing Officials as the basis for determining whether documents contain UCNI

*OUO and UCNI markings are for training only.*



# Classification Guides

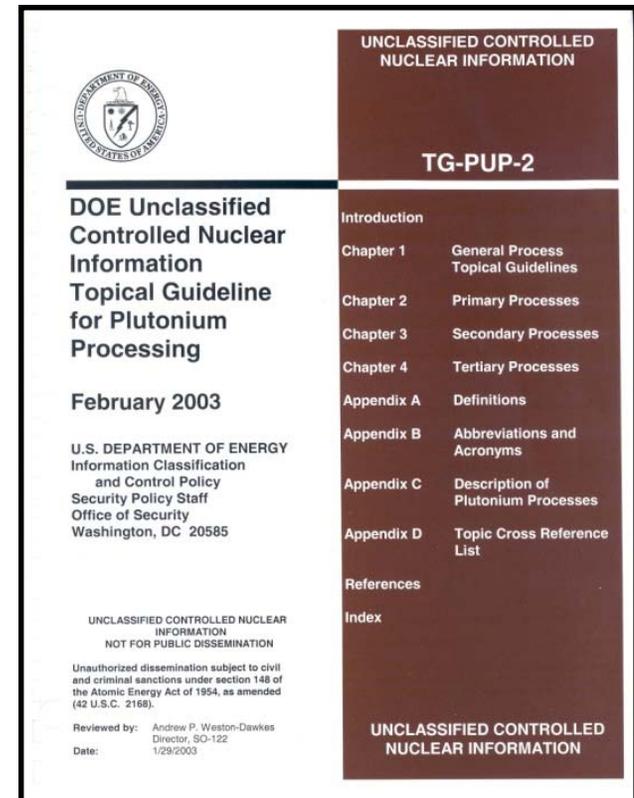
- Many classification guides have UCNl topics
- Approved by Director, AU-60 (with NNSA concurrence in their subject areas)
- Apply throughout the Department
- Basis for determinations by Reviewing Officials





# UCNI Topical Guidelines

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





# Internal Guidelines

- Approved by Director, AU-60
- Issued by AU-60, program office, or field element
- Basis for
  - Determinations by Reviewing Officials
    - In the issuing organization
    - In AU-60
    - In other organizations authorized to use the guideline by the issuing organization

INTERNAL GUIDELINE  
FOR  
SAVANNAH RIVER SITE

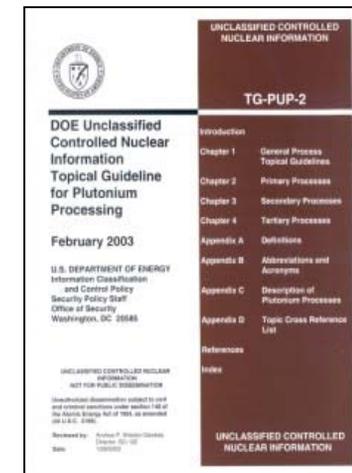
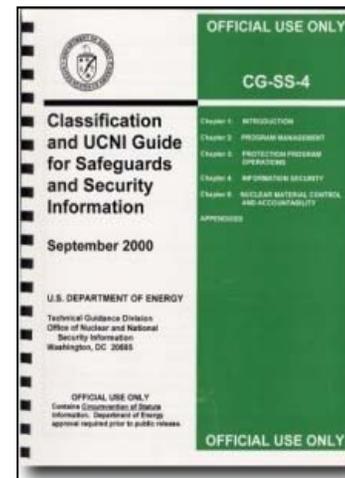
January 1995

U.S. Department of Energy  
Savannah River Site  
Aiken, SC



# How does an UCNI RO make a determination?

If an unclassified document falls within an UCNI subject area, an UCNI RO will review the document using UCNI guidance to determine whether the document contains UCNI information



Refer to  
Guidance



## What if I have a document requested by the public 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 controlled as an UCNI document
- This only applies if it is the same document
- If it is not the same document that can be found in the public domain, the requested document can still be marked and withheld as UCNI even if the exact **information** appears in different documents in the public domain



# Classification Guides with 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 7 – Law Enforcement” 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.



## OUO/UCNI ?

(What if a guide topic indicates UCNI or OUO?)

- Determination depends on facility –
  - UCNI for UCNI production or utilization facilities;
  - OUO for others



## What are some examples of UCNI production and utilization facilities?

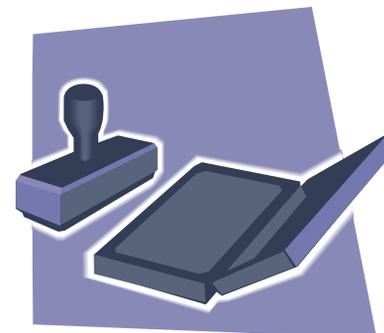
- UCNI production facilities
  - Paducah and Portsmouth Gaseous Diffusion Plants
  - May not be an entire site, but “activities” within a site (e.g., Highly Enriched Uranium Materials Facility)
- UCNI utilization facilities
  - Pantex Plant
- Facilities that are not UCNI production or utilization facilities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



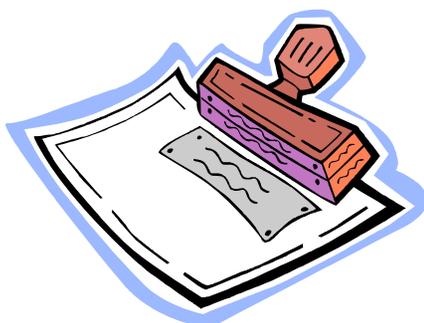
# Applying an OUO/UCNI Topic

## 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



# Marking UCNI





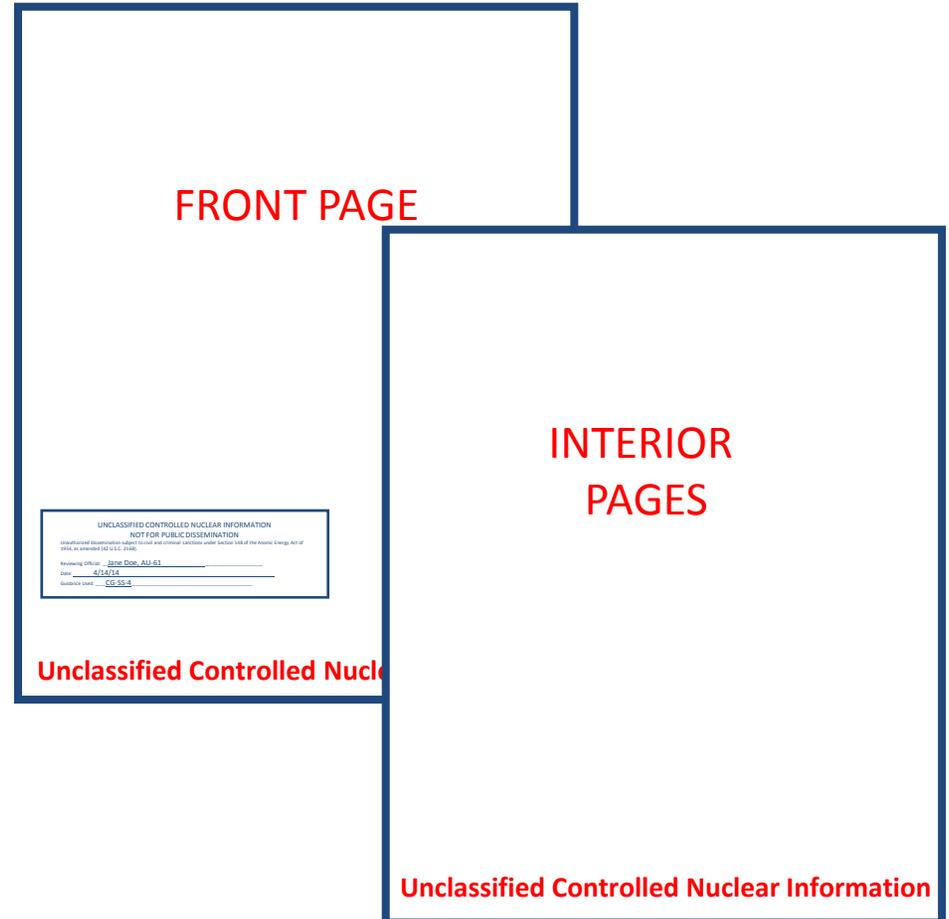
# How do you mark an UCNi document?

## UCNi Front Marking:

- Apply front marking to front page of any unclassified document containing UCNi information

## Interior page marking options:

- Mark all pages with UCNi on bottom of page
- Mark only those pages that contain UCNi





# 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: \_\_\_\_\_  
(Name and Organization)

Date: \_\_\_\_\_

Guidance Used: \_\_\_\_\_

## Page Markings

**UNCLASSIFIED CONTROLLED NUCLEAR  
INFORMATION**

or

**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**



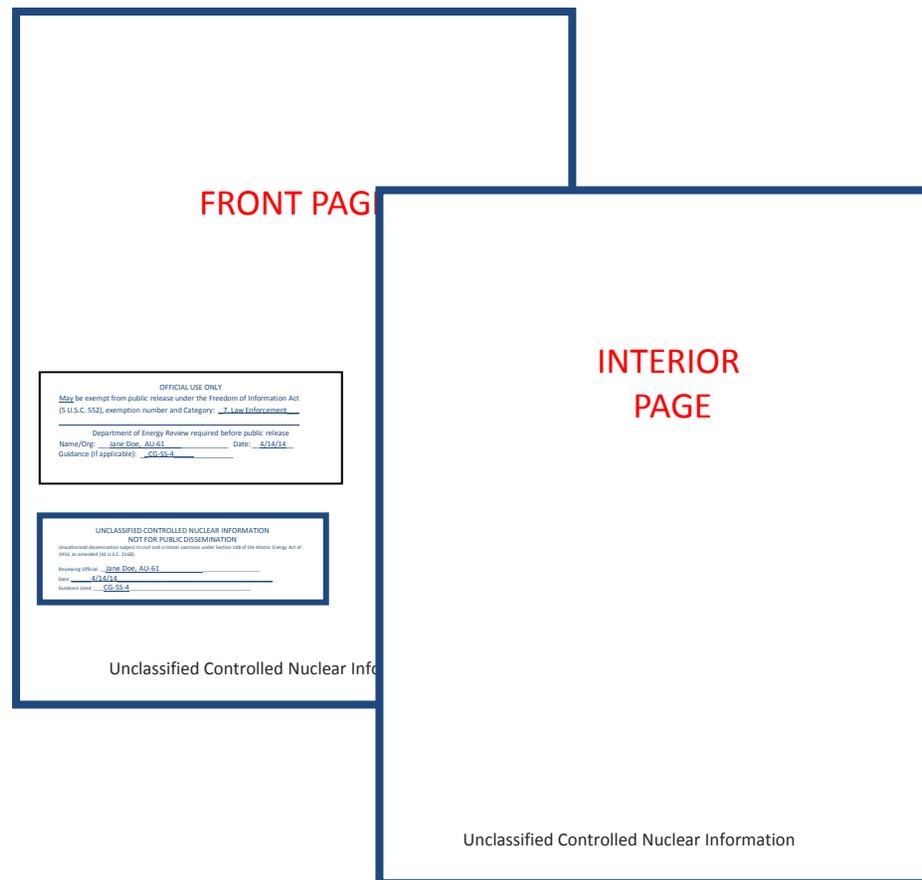
## UCNI in a Title/Subject Line

- The text of the title or subject line of a document should not contain UCNI (or any other controlled or classified information) unless it is unavoidable
- If it does contain UCNI, “title mark” it with (UCNI) in 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 be on the front page
- For all other marking purposes, UCNI has precedence over OOU
- For interior pages for documents that contain UCNI and OOU:
  - All pages may be marked Unclassified Controlled Nuclear Information
  - Or each page may be marked according to the highest marking precedence of the information on that 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: CG-SS-4, 8/12/2000, 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.



# Sample Marking: Document Transmitting UCNI

- Required if transmittal document does not contain UCNI, but has an UCNI attachment
- Calls attention to the presence of UCNI information in the attachment

XXX XXXXXX XX XXXXXXX  
XXXXX XXXXXXXXXXXXXXX XXXXXXX

XXXXXXXX. Xxxx xxxxxx xxxxxxxxxxx xxx xxxxxxxx xxxx xxxxxxx  
xxxxxxxx xxx xxxxxxxxxxxx, xxxxxxx, xxx xxxxxxxxxxx XXXxxxxx  
Xxx Xxxx (XXX) xxxxxxxxxxx. Xxxxx xxxxxxx xxxxxxx xxxxxxxxxxx  
xxxxxxxxxxx xxx xxxxxxxxxxx xxxxxxxxxx. Xxxxxxx X xxxxxxxxxx xxx  
xxxxxxxxxxxxxxx xxx xxxxxxxxxxxxxx xxx xxxxxxx XXX xxxxxxxxxxxxxx;  
Xxxxxxx XX xxxxxxxxxxx xxxxxxxxxxx XXX xxxxxxxxxxx. Xxx  
Xxxxxxxxx XXXxxxxxxxx XXXxxxx (XXX), XXXxxxxxx x, xxxx  
xxxx xxxxxxxxxxxxxx xx xxx Xxxxx xxx xxxxx xx xxx/xxxxxxxx  
xxxxxxxxxxx xxxxxxxxxxx.

XXXXXXXX. Xxxxxxxx xxxxxxxxxxx xxx Xxxxx xx xxxxxxxxxx xx  
XXXXXXXXXXXX XXXXXXXXXXXXXXX xxx XXXxxxx XXXxxxx xx xxx-xxx-  
xxxx.

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



# Sample Marking: UCNI Document Transmitting a Classified NSI Document

**SECRET**

XXX XXXXXX XX XXXXXXXX  
XXXXX XXXXXXXXXXXXXXX XXXXXXX

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

XXXXXXXX. XXXXXXX XXXXXXXXXXX XXXX XXXXXXX XXXXXXX XX XXXXXXX  
XX XXXXXXXXXXX XXXXXXXXXXXXXXX XXX XXXXXXX XXXXXXX 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)

When separated from enclosures, handle  
this document as UCNI

**SECRET**



## Sample: Email Containing UCNI

**From:** Martinez, Paul  
**Sent:** Friday, June 5, 2009 3:15 PM  
**To:** Puits, Clair  
**Cc:**  
**Subject:** UCNI Marking on Email Message  
**Attachments:**

**UCNI; Paul Martinez, UP-32; CG-SS-4** – When the email contains UCNI, the first line must have this information.

First line must have “UCNI”, Reviewing Official’s name and organization, and guidance used to make the determination



# Sample of an Email Transmitting an UCNI Attachment

**From:** Martinez, Paul  
**Sent:** Friday, June 5, 2009 3:18 PM  
**To:** Puits, Clair  
**Cc:**  
**Subject:** Marking on Email Message with an UCNI Attachment  
**Attachments:** Security Vulnerabilities at the Rockville Site

The attachment to this message contains UCNI.

- First line must alert recipient that the message has an attachment containing UCNI
- Attachment must have all required markings



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

- A Reviewing Official may determine that an unclassified document or material previously marked as containing UCNI no longer contains UCNI using classification guide topics
- In such a case, the Reviewing Official **MUST** ensure—
  - That all UCNI markings are removed or crossed out
  - That the front of the document or material is marked as follows:

DOES NOT CONTAIN UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION Reviewing/Denying Official: <u>Michael Kieszkowski, IM-40</u> (Name/Organization) Date: <u>4/30/15</u>
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## Redacted Version of a Document

- A document from which UCNI has been physically removed such that the document no longer requires control
- Must clearly indicate it is a redacted version



# Protecting UCNI





# Who can have access to UCNI?

- Routine Access
  - Authorized person
    - Clearance not necessary
    - Must meet criteria in Subpart D of 10 CFR part 1017
  - Need to know
- Limited Access – for persons not eligible for Routine Access



## How is Routine Access determined?

- Criteria for authorized individuals can be found in 10 CFR part 1017
- One authorized individual can pass to another authorized individual with a need to know



Example:

- You are an **Authorized Individual** if you are a **Government or contractor employee who needs to know the UCNI to do your job**
- You can give an UCNI document to another **Government or contractor employee who needs the UCNI to do his or her job**

§ 1017.20



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

**Maybe**

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 Subpart D of 10 CFR part 1017 (some limitations for individuals who are not U.S. citizens)
- Must submit request for access in accordance with 10 CFR part 1017.21

§ 1017.21



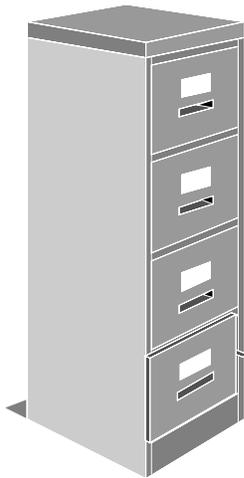
## Limited Access

- For persons who are not eligible for 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



# Maintaining physical control of UCNI documents and materials

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.





# Storage

- Must be stored to preclude unauthorized disclosure
- When not in use, UCNI must be:
  - In non-secure areas -
    - Stored in locked receptacles (e.g., file cabinet, desk drawer).
  - In secure areas -
    - Stored in a manner that would prevent inadvertent access by an unauthorized individual.





# Reproduction

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





# Transmittal

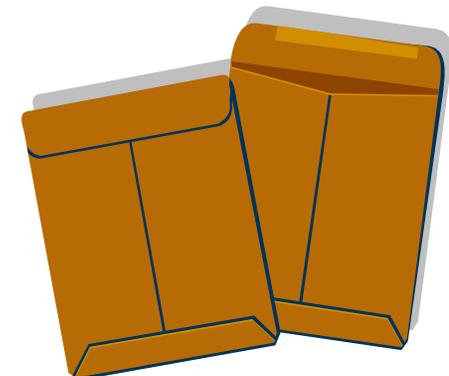
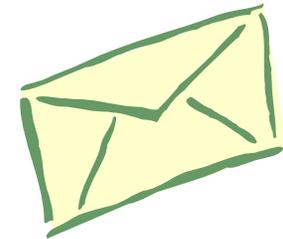
- A document or material marked as containing UCNI may be transmitted by
  - U.S. First Class, Express, Certified, or Registered mail
  - Any means approved for transmission of classified documents or material
  - An Authorized Individual or person granted limited access as long as physical control of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





## Transmittal (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?



Encryption is required

Examples: telephone, facsimile, e-mail, Internet





# Disposal



- Any classified method
- 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
- Other comparable destruction methods may be used



# Are there penalties for infractions and violations?

- Infraction

- Administrative penalty

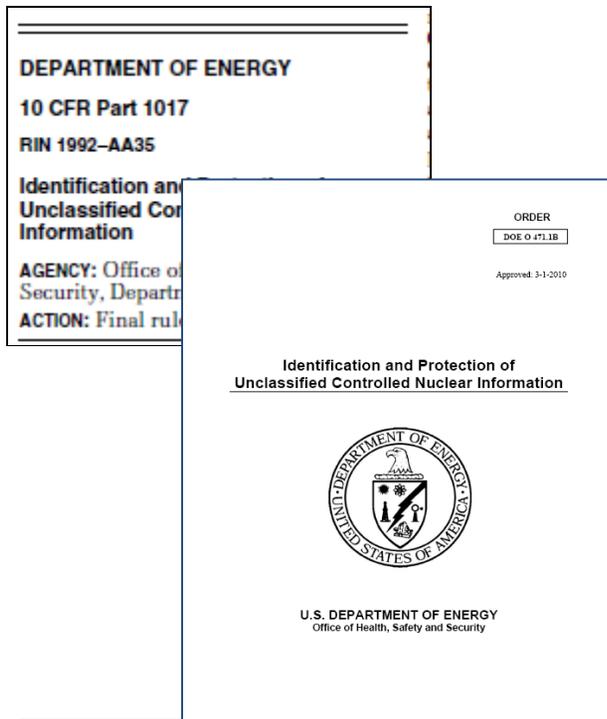
- Violation

- 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 UCNI*, revision effective 12/8/08

and

DOE Order 471.1B, *Identification and Protection of UCNI*, approved 3/1/2010

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



# Point of Contact

Lesley Nelson-Burns

301.903.4861

[Lesley.Nelson-Burns@hq.doe.gov](mailto:Lesley.Nelson-Burns@hq.doe.gov)

Questions may also be directed to the  
Outreach Program

301.903.7567

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



# Summary

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