

Information Security

1.0 GENERAL

This chapter describes the various types of classified documents and how they are processed, marked/identified, and controlled at Brookhaven National Laboratory. It includes information on transmitting, reproducing, marking, and destroying classified matter. It also provides laboratory personnel with basic guidelines for the protection of classified matter.

2.0 MARKING

2.1 Standard Identification and Marking at Time of Origination

Note:

- Newly generated documents must be reviewed by a Derivative Classifier as soon as possible.
- If more than one level and/or category is contained in the matter, the more restrictive level & category designation shall be used.
- The first page of a classified document is the cover page, title page, or first page with text, which ever comes first.

Required Markings:

Originator Identification – The date of preparation, originator name and originator address are marked on the first page.

Classifier Markings – The name and position or title of the classifier, as well as the title and date of the classification guidance used in making the determination shall be placed on the lower portion of the first page. Classifier markings on National Security Information documents shall also include declassification instructions.

Classification of Subject /Title - The Subject /Title marking is placed immediately following the subject or title.

Classification Level Marking - The classification level marking shall be placed at the top and bottom of the first page, the top and bottom of all interior pages, and the top and bottom of the back page.

Classification Category Marking - Matter containing Restricted Data and Formerly Restricted Data must have the appropriate classification category, including the full admonishment as displayed below, on the lower portion of the first page. Each interior page is marked with the abbreviated category marking (RD or FRD) adjacent to the level marking. Matter containing National Security Information (NSI) does not require a category marking.

Restricted Data Notice

Restricted Data

This document contains Restricted Data as defined by the Atomic Energy Act of 1954. Unauthorized disclosure subject to Administrative and Criminal Sanctions.

Formerly Restricted Data Notice

Formerly Restricted Data

Unauthorized disclosure subject to Administrative and Criminal Sanctions. Handle as Restricted Data in Foreign Dissemination, Section 144b, Atomic Energy Act of 1954.

Caveat Marking - Matter shall be marked with the appropriate caveat(s) to identify special handling or dissemination requirements. Caveat markings are placed in the lower left portion of the first page.

Portion Marking - Executive Order 12958 as amended, "Classified National Security Information" requires that each classified document containing National Security Information (NSI) indicate, by marking or other means, which portions are classified, which portions are exempt from declassification, and which portions are unclassified.

Bound Matter - Matter that is permanently fastened together shall be marked on each page with the highest overall classification level of the matter, or of the information contained on that particular page. The classification level marking shall be placed on the top and bottom of each page of text in letters clearly distinguishable from the informational text. The classification level, category if RD or FRD, and caveat(s) markings shall be placed on the outside of the front and back cover (or last page).

Unbound Matter - All pages of unbound matter shall be handled as bound documents.

2.2 Photographic Matter, Charts, Maps, Drawings

All photographic matter generated in conjunction with BNL classified interests shall be treated as classified until they are reviewed by a derivative classifier and a classification determination has been made. When the classification is determined, the photographic matter shall be marked in accordance with DOE M 471.2-1, "Manual for Classified Matter protection and Control."

Classifier Markings - The classifier's identity shall appear on the slide, negative, print, at the beginning of the negatives in roll form, motion picture film, and videotape, in a frame directly following the category marking.

2.3 Drafts & Worksheets

Working papers shall be marked with the highest probable classification level, category and appropriate caveat markings. The cover sheet and first page must identify the document as a working draft that has not yet received a classification review. Within 180 days (six months) the matter shall be either reviewed by a Derivative Classifier and finalized, or destroyed.

2.4 Binders, Folders and Notebooks

The front and back covers of **ALL** binders, folders, and notebooks, in which classified matter is placed, shall be marked with highest classification level and category commensurate with the matter contained therein.

Hanging file folders, if not removed from the repository, do not need to be marked.

2.5 Letter of Upgrade

When matter that was issued as unclassified is subsequently determined to be classified, the originator shall take the following action:

- Notify the BNL Classification/Security Office
- Identify and notify the recipient(s) in writing that the matter contains information determined to be classified.
- Request the recipients to upgrade the matter to the determined classification level and category and advise them of the markings required, and how and where they must be affixed.

- Request the recipients to advise the originator if access was given to persons not possessing appropriate security clearance. If so, the originator shall notify the Classified Document Control Officer or Security Deputy Manager.
- Forward a copy of the Letter of Upgrade to SE.

The Letter of Upgrade shall contain at a minimum:

The title, identification number, (if any), author, date, classification level, category, and caveat(s) marking to be applied.

3.0 STORAGE

Classified matter shall be stored in a Limited Area and within a GSA-approved security container or vault type room.

3.1 Combination Changes

The combination of the lock to the safe, security container, or vault shall be changed when it is first placed in use and in the following circumstances:

- An employee who has access to the combination terminates employment, no longer holds the appropriate AA, or is transferred to other duties where knowledge of the combination is no longer required.
- Knowledge, or suspicion that an unauthorized person has gained access to the combination or that the combination has been compromised
- The security container is found open and unattended

Records of Lock Combinations

A record of combinations to safes and vaults shall receive the same degree of physical protection and access control as for the highest level and category of matter stored therein.

Selections of Lock Combinations

Brookhaven National Laboratory's Classified Document Control Officer (CDCO) or facility Custodian shall select numbers for combinations at random, avoiding arithmetical series, birthdays, anniversaries, and telephone numbers, which could be easily associated with the person selecting the combinations. Combinations are changed by the BNL Locksmith (a Q-cleared individual) under the supervision of the CDCO or facility Custodian.

3.2 Posting of Custodial Information

Part I of SF-700 "Security Container Information" form shall be affixed to security containers on the inside of the locking drawer. On rooms or vaults, Part I of SF-700 or a listing of personnel having the combination, shall be affixed to the inside of the door containing the combination lock.

3.3 Monitor System

SF-702, "Security Container Check Sheet" Form

A security monitor system shall be established in all CDRs to ensure that all classified matter is properly stored and that all vault-type rooms or security containers have been secured. The SF-702 form provides a record of the names and times that a person(s) has opened, closed, or checked a particular vault-type room or security container holding classified matter. The form shall be used in all situations requiring the use of a security container check sheet and shall be affixed to the vault-type door or security container to ensure high visibility on inspection.

SF-701, "Activity Security Checklist" Form

The SF-701 form provides a systematic means of checking end-of-day activities for certain security work areas. This form allows employee accountability in the event that irregularities are discovered. Use of this form is not required.

4.0 ACCESS CONTROL TO THE CLASSIFIED DOCUMENT ROOM (CDR)

Access to the CDR shall be limited to personnel holding an Access Authorization (AA), having an established need-to-know and designated by the Department Chair or Division Head. A copy of the individuals having access to security areas shall be sent to BNL's CDCO.

The door to the CDR shall have a three-position tumbler combination lock with no override key. SF-700 forms containing CDR/VTR door and safe combinations shall be appropriately stored in Building 50.

The CDR door shall be alarmed and the room shall have motion detector protection. The CAS operator shall be notified the first time the CDR door is opened on normal shift hours, and when it is closed at the shift end. During normal shift hours, the alarms shall be kept in the access mode. During off-shift hours, the CAS operator must be notified before the CDR is opened.

When the CDR door is opened, the Document Custodian shall be responsible for the security of the area and shall ensure that only authorized individuals will have access to the room.

Classified Documents shall be stored in an approved three-position tumbler combination safe. Access to the combination is restricted to personnel who hold the appropriate AA and need-to-know for all matter stored within the security container.

Safe A, located in Building 50, shall store SE classified matter that is required by the Police Group, as well as working drafts that need immediate review. The combination to Safe A shall be given to the:

- Police Group Personnel designated by the Manager of the Police Group.
- BNL CDCO.
- SE Document Custodian.

Safes shall normally be locked. Whenever safes are opened, it shall be recorded on the Security Container Check Sheet. When the safe is closed, the Closed by and Checked by boxes shall be completed. At the end of the normal shift, an individual holding an AA shall check all safes in the CDR to verify and record that they have been locked and checked.

4.1 Classified Document Review

When an individual requires that a document be removed for review, the following procedures are followed:

- A Classified Document Sign-Out Sheet must be completed.
- A salmon-colored "OUT" card will be placed in the file folder from which the document was removed.
- The document will be placed in a folder marked on the front and back with the appropriate Level, Category, and Caveats.
- When returned, the Document Sign-Out Sheet is completed and initialed by the custodian.
- The document is returned to the file folder.
- The salmon-colored "OUT" card is removed.

Locations for Review

Classified documents may be reviewed on the second floor of Building 50 or the 2nd floor of Building 197C. The individuals must maintain possession of the document at all times, close the door, draw the blinds, protect the document from unauthorized disclosure, sign the "Reviewed By" form and ensure the documents return to proper storage.

At the Security Manager's discretion, documents may be reviewed at other locations on site, such as the Director's office in Building 460, providing the document can be protected from unauthorized disclosure. This authority applies to visual review only. Classified information may not be discussed in these areas.

5.0 TRANSMITTAL

Classified Letter of Transmittal - The highest classification level contained in the letter of transmittal and the transmitted attachment shall be placed at the top and bottom of the transmittal memorandum. The following notations, compatible to the category of information being transmitted, shall be placed in the lower left-hand corner of the first page:

"Documents transmitted herewith contain"

Level and Category of matter being transmitted

The lower right corner will show:

When separated from enclosures,
handle this document as

Level & Category of Letter of Transmittal

The transmitted attachment shall be marked as an independent document.

Unclassified Letter of Transmittal - If the LOT is unclassified, the following notations shall apply:

"Documents transmitted herewith contain"

Level and Category of matter being transmitted

"When separated from enclosures,
handle this document as

Unclassified"

Before transmitting classified matter, the Document Custodian shall ensure that the person or facility to whom the document is to be transmitted needs the information to perform official duties, is authorized to receive it, possesses the appropriate AA, and has approved storage facilities for its safeguarding. Classified Mailing Addresses (CMA) must be verified through the DOE Safeguards &

Security Information Management System (SSIMS) via the Chicago Operations Safeguards and Security Services office (CH-SSS).

Transmitting Between BNL Facilities - Secret and Confidential matter may be transmitted between BNL secure facilities by BNL employees or others possessing an AA appropriate for the level and category of information transmitted. Local receipts may be used for document transfers between on site facilities.

Transmitting Outside BNL Facilities - Secret and Confidential matter shall be transmitted to outside facilities by the U.S. Postal Service registered or certified mail within and among the 50 states, the District of Columbia, and Puerto Rico. The use of commercial express delivery service for transmitting classified matter is restricted to emergency situations where the information has to be at the receiving facility the next day. All documents transferred off site, regardless of means, must have a DOE F 5635.3 Classified Document Receipt, or form of similar content, enclosed in the package. Procedures for mailing classified matter are as follows:

Inner Envelope - The inner opaque envelope must contain the current CMAs for both the sending and receiving facilities, include the recipient's name, and be stamped with the level, category, and caveat(s) of the contained matter. The envelope shall be sealed with reinforced tape.

Location of Classification Markings -

- The level should appear on the top and bottom of both the front and back of the envelope.
- The category should appear once on the front and back of the envelope.
- The caveat(s) should appear once on the front and back of the envelope.

Outer Envelope - The outer opaque envelope must contain the current CMAs for both the sending and receiving facilities. The outer envelope should not have any classification markings and often the recipient's name is omitted. At the DOE Germantown/Forrestal locations, the name and routing symbol of the intended recipient is part of the mailing address. The entire envelope shall be sealed with brown paper filament tape.

Mailing Requirements - Even though the DOE has eliminated the need for return receipts, BNL has elected to utilize them. A Register Number sticker is selected and applied to the center top of the outside opaque envelope. U.S. Postal Service mail receipts PS Form 3811 and 3806 are completed and the SE Document Custodian retains a copy of the 3806 form after mailing. When the 3811 form returns, it is attached to the 2806 form and filed with the corresponding receipt.

Delivery - When the outgoing classified matter is ready for mailing, it is brought by the SE Document Custodian or Control Officer to the Upton Post Office in Building 179B. The Post Office Clerk will

stamp the PS Form 3806, return a copy to the Custodian, and report the mailing costs to BNL's Communications Division.

5.1 Hand Carry Transmittal

BNL employees, who possess an AA appropriate for the level and category of information transmitted, may hand carry classified matter (documents or material) when urgently required in the performance of their duties; e.g., when there is an emergency or an unanticipated requirement for the matter, and it is impractical to use the U. S. Postal Service.

Authorization – A completed request to hand carry classified matter, citing justification, must be submitted to the CDCO. Couriers must possess an AA commensurate with the matter to be hand carried. Upon approval, the courier will receive a briefing from the CDCO or SSD Deputy Manager and receive a Letter of Authorization to be presented to airline security personnel. Briefings are valid for one year, but Letters of Authorization must be obtained for each trip.

Wrapping - Hand carried classified matter must be sealed in two opaque envelopes, marked in the same manner as described in section 6.6, and carried in a locked briefcase or other carrying case which has a return Classified Mailing Address on the exterior of the case.

Safeguarding - The envelope, package, briefcase, or carrying case in which classified matter is carried shall not be left unattended at anytime while being transported and shall be delivered by the most direct route available. Trips must be completed in one day, and a contingency plan for delayed arrival must be on file with the CDCO. A signed record of transmittal (U.S. DOE F 5635.3, "Classified Document Receipt") shall be maintained at the facility from which the matter was taken.

Storage - Classified matter shall be stored at U.S. DOE or DOE Contractor/Consultant facilities equipped for classified storage and authorized for the same level of classification as the matter being stored.

5.2 Authorization for Hand Carrying Outside the United States

Only Federal employees possessing Diplomatic passports may be authorized to hand carry classified matter outside of the United States.

6.0 BNL CLASSIFIED MAILING ADDRESS (CMA)

Classified Mailing Address:

Outer Envelope

Inner Envelope

Brookhaven Science Associates
Brookhaven National Laboratory
Attention: Document Custodian
Post Office Box 155
Upton, NY 11973-0155

Brookhaven Science Associates
Brookhaven National Laboratory
Attention: Recipient
Post Office Box 155
Upton, NY 11973-0155

Classified Shipping Address:

Outer Package

Brookhaven Science Associates
Brookhaven National Laboratory
Attention: Document Custodian
Police Headquarters, Building 50
Upton, NY 11973

Inner Package

Brookhaven Science Associates
Brookhaven National Laboratory
Attention: Recipient
Police Headquarters, Building 50
Upton, NY 11973

Any person who expects to receive classified matter must have it mailed or delivered to one of the addresses cited above. Although prior notification of deliveries via the Postal service is not necessary, the CDCO must have prior notification of any incoming *shipments*.

Upon notification of incoming classified matter, the SE Document Custodian shall notify the recipient, or the appropriate Document Custodian.

Classified matter, whose size precludes use of U.S. Postal Service Registered Mail, must be addressed with the Classified Shipping Address.

When sending or receiving classified material, all applicable HAZMAT regulations must be adhered to.

6.1 Misaddressed Mail

Classified Mail Not Sent to P.O. Box 155 - If classified mail is improperly addressed and not sent to P.O. Box 155, notification of such an incident shall be made to CH-SSS, the SE Manager, and the sender by BNL's CDCO indicating the correct classified mailing address at BNL, and citing the potential consequences of the error.

Classified Mail Not Properly Addressed - If classified mail is improperly addressed, but is sent to P.O. Box 155, notification of such misuse shall be made to CH-SSS, SE Manager, and the sender of the mail by BNL's CDCO.

Evidence of Tampering - If the envelope (or wrapper) sealing classified matter indicates any evidence of tampering, SE's Document Custodian shall preserve the envelope, as received, and notify the BNL Security Manager immediately for instructions.

7.0 UNACCOUNTED-FOR DOCUMENTS

Whenever classified matter is unaccounted-for, the Document Custodian shall immediately notify the BNL's CDCO via telephone and conduct a physical search of the last known document location, as well as other offices and locations where the matter could logically be found. The search shall include reviewing the Classified Document Sheets.

If the document is not immediately located follow up with written notification as described below. The notification shall contain the following about the unaccounted- for matter:

- Title
- A brief description of the contents
- Type of matter (memo, report, manual)
- Date of matter
- Number of pages
- Level, category, and caveat(s)
- Originator
- Originating organization
- Name of the person who is responsible for custody
- Circumstances of the loss and the result of the initial investigation.

BNL's CDCO will notify the SE Manager. SE will then notify the Directors Office, the DOE/Brookhaven Area Office, and the DOE Chicago Operations Office, Safeguards and Security Services (CH-SSS) of the date the matter became unaccounted-for and the action taken.

Written notifications and all documentation relating to the unaccounted-for matter shall be unclassified unless the information contained therein requires classification.

8.0 INITIATION OF CLASSIFIED WORK

The Department Chair or Division Head is responsible for assuring that any classified or Special Nuclear Material (SNM)-related projects or new initiatives that may be classified are referred to SE, so that security measures may be provided. (See BNL SPI 5-11.)

9.0 USE OF CLASSIFIED MATTER

Classified matter in use must be constantly attended by, or under the control of, a person possessing the proper Access Authorization and the “need to know”. All classified matter shall be processed in an approved security area. Processing may include generation, transmission, review, reproduction, storage, and destruction. Applicable security areas are the CAS in Building 50, the second floor security area of Building 197C, and the 1st floor VTR in Building 801, designated by the Department Chair/Division Head concerned with each and approved by DOE/CH-SSS. See section 6.5.1 for additional areas, acceptable at the Security Manager’s discretion, for reviewing classified matter.

10.0 NO FOREIGN DISSEMINATION (NOFORN)

NOFORN information must not be released to foreign nationals, any parties representing foreign interests, or to members of the public, because it is considered to be tantamount to foreign disclosure.

11.0 DISPOSITION OF CLASSIFIED MATTER

Upon completion or termination of a contract, all classified matter received or generated will follow the procedures for Contract Closeout/Facility Termination outlined in DOE M 471.2-1.

12.0 CONTROL PROCEDURES

All incoming matter must be received by the SE Document Custodian or Control Officer. The Document Custodian at Building 50 or 197C handles any incoming or newly created matter by preparing:

- A folder
- A DOE cover sheet to attach to the matter

- A reviewed by / need-to-know list
- A notification letter (or E-mail message) to notify the recipient that classified matter has been received.

Document Folder

A manila folder showing the title is prepared. The folder will contain the need-to-know information, the Classified Document Reviewed-by List, and any cover letters that accompany the matter. No folder is required for Line drawings.

Classified Cover Sheets

A DOE cover sheet reflecting the appropriate classification level, category and caveat marking(s) shall be attached to the face of each copy of a classified document immediately after preparation and shall remain on the document at all times.

Classified Document Review List

Names of cleared individuals who may have access to the document are notated on the Classified Document Review-by List. These names are obtained from the recipient of the matter or the individuals responsible for the program using the matter. Any individual not on the list seeking access to the matter must receive approval from the person(s) responsible for the program before access is granted.

Classified Working Drafts

Classified working papers, documents, drawings, plans, etc. shall be handled and marked as classified. They shall also be stored in an assigned section of the CDR in Building 197C, or in Safe A of Building 50. Such drafts should have a "Working Draft - Document Undergoing Classification Review" cover sheet marked with the highest level and category of information that the originator believes to be contained in the document. In addition, the document should be placed in a folder or envelope that displays the level, category if RD or FRD, caveat(s), originator's name, title, and date of origination. Classified working drafts shall become permanent documents within 180 days of origination or be destroyed.

Electronic Storage Media (ESM)

ESM shall be treated as separate documents if they contain information concerning more than one document. If the media contains information related to only one document, it may be stored with that document. All ESM must be marked with the highest Level, Category and Caveats of information stored on the media.

Documents Pending Review

Documents that are believed by the originator to be classified, which cannot be immediately reviewed by an authorized classifier, shall have all necessary markings placed on them. Additionally, a "Document Undergoing Classification Review" cover sheet, marked with the highest level and category of information the originator believes to be contained in the document, shall be attached to the document. All protection requirements applicable to the highest probable classification level apply. Such documents shall undergo a classification review within 30 days of origin.

Removal of Classified Documents from a Secure Area

Documents may not be removed from the Limited Area without authorization from the Custodian or CDCO. Personnel who have signed out matter are responsible for its protection and control. All documents must be returned to their proper location before the end of the working day.

13.0 REPRODUCTION

Reproduction shall be kept at a minimum, consistent with operational need.

Documents that do not specify reproduction restrictions, i.e. ORCON, may be reproduced as necessary by the Document Custodian or designee.

Classification and Category Markings

When a classified document is reproduced, it shall bear the same level, category, and caveat(s) markings as the original.

If part of a classified document is reproduced and incorporated into another document, the resulting document must be reviewed by a Derivative Classifier. Copies of pages used for data sheets, or other purposes, shall bear the same category markings of the parent matter, unless determined to be of a different classification by a Derivative Classifier.

14.0 REVIEW FOR RETENTION/DESTRUCTION

In order to determine retention requirements, the Document Custodians and users shall conduct an annual review of classified matter. Classified matter must be destroyed in a manner that prevents any possible retrieval of classified information as soon as it is determined that they are no longer useful. A F5635.9 "Record of Destruction" form shall be used for recording destruction of Accountable matter. Only BNL's CDCO and designated document custodians may destroy classified matter. Only DOE-

approved shredders may be used in approved security areas in the destruction process. Matter that cannot be destroyed by shredding will be destroyed in accordance with DOE M 471.2.

15.0 SECURITY INFRACTIONS AND VIOLATIONS

Non-compliance with provisions of this manual, DOE Orders or Manuals, and any other security requirements shall be handled on a case-by-case basis commensurate with the severity of the incident. This policy is in compliance with the BNL Supervisors' Personnel Manual, Section 3, "Disciplinary Procedures."

Infraction: An infraction is an act or omission, involving failure to comply with BNL and DOE security orders and directives. The following represent examples of when a "Report of Security Infraction" may be issued. The list is not all-inclusive. If it is determined that any of these actions were intentional or caused by gross negligence, such action may constitute a violation, resulting in criminal prosecution or other administrative actions.

- Leaving classified matter exposed and unattended or unsecured at the close of business or whenever a room is unattended
- Failing to safeguard or account for classified matter resulting in the compromise or unaccountability of the matter
- Failing to maintain prescribed records for Top Secret or Secret matter
- Removing classified matter from a security area without proper authorization
- Failing to properly mark matter after its classification has been determined
- Failing to obtain classification guidance, thereby causing a compromise or possible compromise of classified information
- Changing classified matter classification status without proper authorization
- Failing to properly safeguard combinations of repositories containing classified matter
- Destroying classified matter in other than the prescribed manner
- Improperly transmitting classified matter
- Discussing classified information in the presence or within hearing of unauthorized persons
- Discussing classified information over unencrypted or within nonsecure telephone systems
- Failing to escort uncleared persons in security areas
- Permitting an unauthorized person to hear, obtain visual access to, or otherwise obtain classified information
- Failing to safeguard a computer access password

- Leaving a computer workstation unattended which contains classified information or connected to a classified host computer
- Processing classified information on a non-accredited system.

Violation: Alleged, suspected, or actual criminal breach of Federal laws, involving a national or departmental security interest. Such Federal laws include, but are not limited to the following:

1. The Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.)
2. The Internal Security Act of 1950, as amended (50 U.S.C. 781 et seq.), when related to DOE activities (e.g., sections 781 and 784)
3. Title 18, U.S.C. as it pertains to:
 - Espionage (sections 791-798)
 - Sabotage (sections 2151-2156)
 - Treason and subversive activity (sections 238-285)
 - Malicious mischief (sections 1361-1363)
 - Actual or threatened use of explosives against persons or property (sections 841-848)
 - Destruction of Government property
 - Embezzlement and theft (sections 641 and 6619)
 - Extortion and threats (sections 876-878)
 - Civil disorders (section 231)

Potential Consequences to Employee

1. Letter of reprimand
2. Formal Security Infraction filed with DOE and permanently kept in your Security Clearance file
3. Termination of Security Clearance
4. Termination of employment
5. Monetary fines
6. Jail or prison

16.0 DEFINITIONS

Access Authorization (AA) – an administrative determination that an individual is eligible for access to classified information on a need-to-know basis, and designating the level, category, and special access permissions associated with the authorization.

Caveats - Markings placed on classified matter to identify special handling or dissemination requirements, or to assist in describing the type of information and who distributed or originated the information. Examples include, but are not limited to:

NOFORN. Information that must not be released to foreign nationals, any parties representing foreign interests, or to members of the public, because it is considered to be tantamount to foreign disclosure.

ORCON. Indicates that the classified matter is controlled by the originator. Reproduction or redistribution of this matter requires the permission of the originator.

SIGMA Categories. Categories of weapon data concerning the design, manufacture, or use of atomic weapons or nuclear explosive devices. These categories are used to compartmentalize weapon data for more effective access.

Classification – the process of identifying information that needs to be protected from unauthorized disclosure in the interest of national security, and identifying documents or material that contain such information.

Classification Category - Identification of the kind of information contained in classified matter:

National Security Information (NSI) - Information that has been determined pursuant to Executive Order 12958 "Classified National Security Information," or any order to require protection against unauthorized disclosure and that is so designated.

Formerly Restricted Data (FRD) - Classified information jointly determined by the U.S. Department of Energy (DOE) (or its predecessors, the Atomic Energy Commission and the Energy Research and Development Administration) and the Department of Defense to be related primarily to the military use of atomic weapons where unauthorized disclosure is subject to administrative and criminal sanctions. Handle as Restricted Data in foreign dissemination, Section 144b, Atomic Energy Act of 1954, as amended.

Restricted Data (RD) - All data concerning the:

- Design, manufacture and use of nuclear weapons
- Production of special nuclear material (SNM)
- Use of special nuclear material in the production of energy.

Restricted Data does not include data declassified or removed from the RD category pursuant to Section 142 of the Atomic Energy Act of 1954, as amended.

Classification Guide - A document containing classification guidance for Derivative Classifiers and Derivative Declassifiers to use in determining the classification level and category of classified matter.

Classification Level - A designation assigned to specific elements of information based on the potential damage to national security if disclosed to unauthorized persons:

Top Secret (TS) - The classification level applied to information, which upon unauthorized disclosure, could reasonably be expected to cause exceptionally grave damage to the national security.

Secret (S) - The classification level applied to information, which upon unauthorized disclosure, could reasonably be expected to cause serious damage to the national security.

Confidential (C). The classification level applied to information whose unauthorized disclosure could reasonably be expected to cause damage to the national security.

Classification/Security Markings - Markings affixed to classified matter in order to indicate the classification level (TS, S, or C), classification category (if RD or FRD), caveats (NOFORN, ORCON, etc.), classifier and originator information and signifying the level of protection required.

Classified Document(s) - Any document, regardless of physical form, containing information whose unauthorized disclosure could damage the national security. Formats include, but are not limited to, the following:

- Handwritten, printed, or typed matter.
- Painted, drawn, or engraved matter.
- Sound, magnetic, or electromechanical recordings.
- Photographic prints and exposed or developed film, still in motion pictures.

Classified Material – Chemical compounds, metals, fabricated or processed items, machinery, equipment, or any combination thereof, containing or revealing classified information

Classified Matter - Any documents and/or material containing classified information.

Compromise - The acquisition of classified information by persons not authorized to receive such information.

Declassification – The determination by appropriate authority that information is no longer classified, or a classified document or material no longer contains classified information.

Declassified Document - A previously classified document that has been declassified by the appropriate authority in accordance with approved declassification procedures and from which the classification markings have been removed or struck out.

Derivative Classification - A determination in accordance with approved classification guides, source documents, or other guidance made by a Derivative Classifier that a document or material contains classified information.

Derivative Classifier - An individual who has been formally authorized to determine that documents should be classified pursuant to written classification guides, one or more classified source documents, or at the direction of an original classification authority.

Derivative Declassifier - An individual who has been formally authorized to downgrade and declassify documents and material.

Document Custodian - An individual who is responsible for the receipt, transmission, and safeguarding of classified matter. A person assigned responsibility for the control and accountability of classified matter.

Downgrading- A determination by appropriate authority that currently classified information, documents or material may be protected at a lower level and/or category than the initial classification dictated. Does not include the immediate correction of erroneous classification decisions or any declassification actions.

Exclusion Area - A security area where mere access to the area constitutes access to classified information.

Information - Facts, data, or knowledge itself, rather than the medium of its conveyance. (Classified matter is deemed to convey or contain information, and is not considered to be information per se).

Infraction - An act, or omission, involving failure to comply with BNL and/or DOE security regulations/directives.

Letter of Transmittal - An instructive document that indicates the protection level for the document being transmitted.

Message - A document transmitted by teletype, telegraph, facsimile, or other electrical means.

Original Classification - An initial determination that information requires, in the interest of national security, protection against unauthorized disclosure, together with a classification designation signifying the level of protection required.

Original Classifier - An individual who has been authorized by the U.S. Department of Energy to make original classification judgments in areas of National Security Information (NSI) when classification guidance does not exist.

Reclassification - A determination by appropriate authority that restores the classification to (a) information that was classified as NSI and then declassified, or (b) a document or material that was classified as RD, FRD, or NSI and then erroneously declassified.

Security Area - A physically defined space containing a Safeguards and Security interest subject to physical protection and personnel access control.

Source Document - A document, other than a classification guide, from which information is extracted for inclusion in another document. The term source document is used in the context that the classification of information extracted from the document is determined by the classification specified in the source document.

Subject and Title Markings - Markings used to indicate the classification level, category and caveats of the classified matter's subject or title. This marking is placed at the end of the subject or title line. (U) designates Unclassified, (TS) designates Top Secret (S) designates Secret, and (C) designates Confidential.

Upgrading - A determination by appropriate authority that raises the classification level and/or category of information, documents, or material. Includes correction of classification on documents or material erroneously issued as unclassified or at too low a classification level and/or category.

Visual Materials - Photographs, motion pictures, slides, article concepts, engineering drawings, plant layouts, plots, plans, and maps.

Weapon Data - Restricted Data (RD) or Formerly Restricted Data (FRD) concerned with the design, manufacture, or use of:

- Nuclear weapons
- Nuclear weapons components
- Nuclear explosive devices.

Weapons data includes theory, development, storage, characteristics, performance, and effects of such weapons.

Weapon Data Document - Weapon data recorded upon, but not limited to, the following:

- Handwritten, printed, or typed matter
- Painted, drawn, or engraved matter
- Sound, magnetic, optical, or electro-mechanical recordings
- Photographic prints and exposed or developed film or still or motion pictures
- Automated data processing input and contents of equipment and/or media, including memory, punch cards, tapes, diskettes, and visual displays

Working Papers (Drafts) - Material such as notes, drafts and drawings accumulated or created in the preparation of a finished document.