

Unclassified Controlled Nuclear Information (UCNI)

Document Markings: A Brief Summary

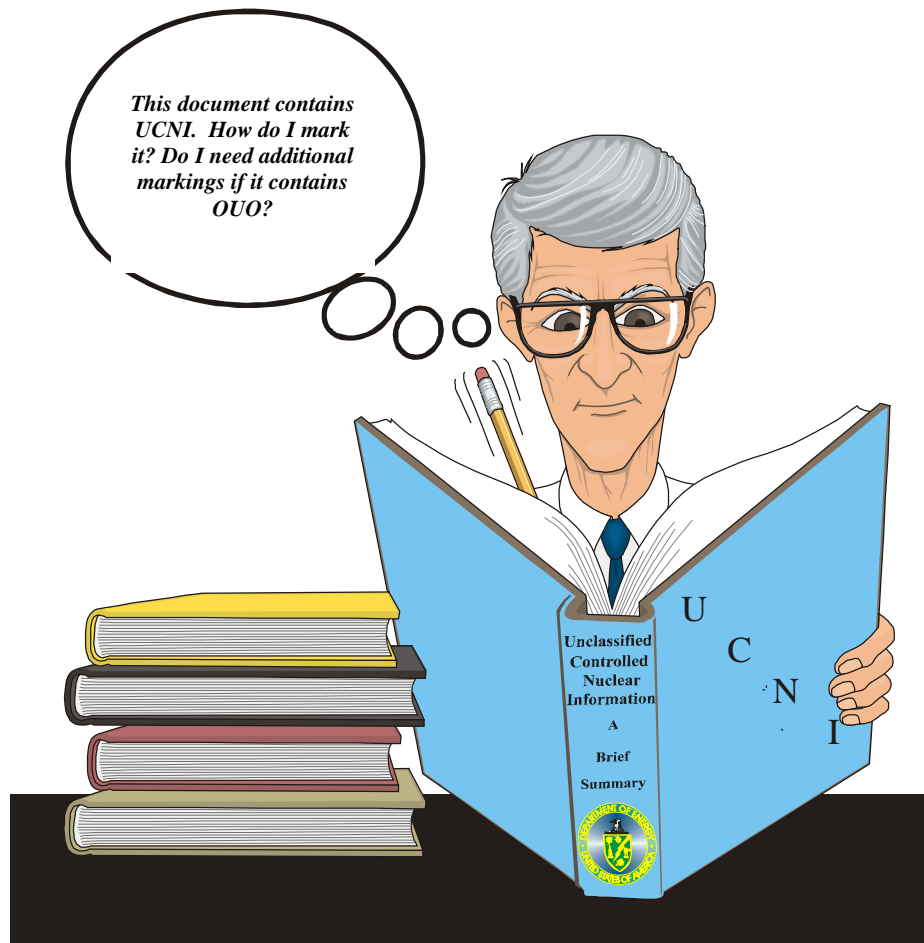


**U.S. Department of Energy
Classification Training Institute
Office of Quality Management
Office of Classification
Office of Health, Safety and Security**

November 2011

Unclassified Controlled Nuclear Information (UCNI)

Document Markings: A Brief Summary



Prepared by:
Office of Quality Management
Office of Classification
U.S. Department of Energy
1000 Independence Avenue, SW.
Washington, D.C. 20585-1290

Table of Contents

Marking UCNI Documents and Material.....	1
Marking a Document that Contains UCNI.....	2
Marking Material that Contains UCNI.....	3
Marking Items on which Documents Containing UCNI are Saved or Stored.....	3
Marking Transmittal Documents	4
Marking a Classified Document or Material that also Contains UCNI	4
Marking a Document or Material that Contains OUO Information as well as UCNI	4
Marking a Document or Material that Does Not or No Longer Contains UCNI	5
Marking Example – Front Page	6
Marking Example – Interior Page.....	7
Marking Example – Decontrolled UCNI Document	8
Marking Example – Document Transmitting an UCNI Document that Does Not Itself Contain UCNI	9
Marking Example – Document Contains Both UCNI and Official Use Only Information	10
Marking Example – E-Mail Message that Contains UCNI Or Has an Attachment that contains UCNI	11
Marking Example – Marking Special-Format Documents Containing UCNI	12
Marking Example – Marking Material Containing UCNI	13

Marking UCNI Documents and Material

Once an UCNI Reviewing Official has determined that a document or material contains UCNI, the document or material must be marked to ensure its protection.¹ At the time the determination is made, the Reviewing Official may mark the document or material or he or she may authorize someone else (e.g., the originator of the document, an administrative assistant) to do it.

First, though, it is important to understand what constitutes a document and material as defined in 10 CFR 1017.4.

Document means the physical medium on or in which information is recorded, regardless of its physical form or characteristics.

Material means a product (e.g., a part or a machine) or substance (e.g., a compound or an alloy), regardless of its physical form or characteristics.

Of course, a **document** still includes the example with which everyone is very familiar – information printed on paper – but it also goes much further. For example, photographs, viewgraphs, films, magnetic tapes, and audio or video tapes are all considered documents.



The definition in the regulation for **material** is fairly clear, but it is important to remember that the information is not recorded on or in the item but is intrinsically part of the item. For example, the shape of a part that goes into a uranium enrichment cascade could be UCNI based on topics in guidance. Similarly, the metal alloy used to make the same part could also be UCNI.

The markings that are required to be applied to a document or material are addressed below. In addition, items on which documents containing UCNI are electronically saved or stored, such as a CD, a DVD, or a USB Flash Drive, also must be marked, and marking these items is also addressed below.

¹ 10 CFR 1017.16 and DOE O 471.1B, 5j(3)

MARKING A DOCUMENT THAT CONTAINS UCNI.

Each document that contains UCNI must have the following markings:

Front Marking.² The following marking is placed on the front of each document that contains UCNI:

<p>Unclassified Controlled Nuclear Information Not for Public Dissemination</p> <p>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).</p> <p>Reviewing Official: _____ <i>(Name/Organization)</i></p> <p>Date: _____</p> <p>Guidance Used: _____</p>
--

The name and organization of the Reviewing Official making the determination goes on the “Reviewing Official” line. The date the determination is made goes on the “Date” line. The short title of the guidance used to make the determination goes on the “Guidance Used” line. NOTE: To be consistent with the information contained on the “Derived From” line on a classified document, you may also add the approval date of the guidance and “DOE OC” after the short title of the guide. For example, then the “Guidance Used” line for an UCNI determination based on CG-SS-4 would read: “CG-SS-4, 9/12/2000, DOE/OC.”

Page Marking.³ The words –

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

are placed on the bottom of the front of each document and on the bottom of each interior page of the document that contains text or, if more convenient, on the bottom of only those interior pages that contain UCNI. These words must also be placed on the back of the last page of the document.

² 10 CFR 1017.16(a)(1)

³ 10 CFR 1017.16(a)(2)

UCNI Document Markings: A Brief Summary

Special-Format Documents.⁴ The markings required above are easily placed on a paper or electronic document; however, there are some special-format documents that may present problems (e.g., a USB Flash Drive, a CD or DVD, a photograph). Where space is limited, just the acronym

UCNI

may be used. In the case of a photograph, the markings may need to be placed on the back of the photograph. Regardless, any special-format document that contains UCNI must be marked so that both a person in physical possession of the document and a person with access to the information in or on the document are aware that it contains UCNI. This means that a DVD, its container, and its appropriate content must all be marked – the person seeing just the DVD and its container and the person seeing the images on the DVD must know that the contents have been determined to be UCNI.

MARKING MATERIAL THAT CONTAINS UCNI.

The front and page markings identified in the section above on marking documents are also required to be applied to any material that contains UCNI.⁵ This can be difficult because some materials do not lend themselves to being marked. However, as with the special-format documents, material must be marked so that a person in physical possession of the material knows that it contains UCNI. If marking the material itself is not practical, then placing the markings on a tag affixed to the material or providing a written notification to the recipients is acceptable.

MARKING ITEMS ON WHICH DOCUMENTS CONTAINING UCNI ARE SAVED OR STORED.

In this age of electronics, many documents are never printed but are used and sent to others electronically. Each document in electronic form must be marked as required above, but the item on which the document is saved (such as a CD, a DVD, or a USB Flash Drive) must also be marked to ensure that the person who possesses it knows that UCNI is present in the files.⁶ Each item saving or storing UCNI documents must be marked with the words “Unclassified Controlled Nuclear Information” (or “UCNI” if space is limited).

⁴ DOE O 471.1B, 4h(3)

⁵ 10 CFR 1017.16(b); DOE O 471.1B, 4h(3)

⁶ DOE O 471.1B, 4h(3)

UCNI Document Markings: A Brief Summary

MARKING TRANSMITTAL DOCUMENTS.

A document that does not itself contain UCNI may be used to transmit a document that does contain UCNI. (NOTE: Such a transmittal document may be unclassified or contain classified or Official Use Only (OUO) information, which would require the appropriate classification or OUO markings on the transmittal document.) In that case, it is important to alert the recipient that the attachment contains UCNI. The following marking is placed on the front of the transmittal document in addition to any other required markings:⁷

Document(s) transmitted contain(s) Unclassified Controlled Nuclear Information. When separated from enclosures, this transmittal document does not contain UCNI
--

MARKING A CLASSIFIED DOCUMENT OR MATERIAL THAT ALSO CONTAINS UCNI.

A document that contains classified information is marked with the appropriate classification markings. No UCNI front or page markings are applied. However, if the classified document is portion marked, then those unclassified portions that contain UCNI are marked using the acronym "UCNI."⁸

MARKING A DOCUMENT OR MATERIAL THAT CONTAINS OUO INFORMATION AS WELL AS UCNI.

A document or material that contains both UCNI and OUO information is marked with the UCNI front and page markings as well as the OUO front marking.⁹ Each interior page is marked at the highest level of information in the overall document (i.e., UCNI) or at the highest level of information on that page (e.g., either UCNI, OUO, or Unclassified).

⁷ DOE O 471.1B, 4h(4)

⁸ 10 CFR 1017.16(a)(3)

⁹ DOE O 471.1B, 4h(1); DOE M 471.3-1, Admin Chg 1, Chapter I, 3h(1)

MARKING A DOCUMENT OR MATERIAL THAT DOES NOT OR NO LONGER CONTAINS UCNI.

A Reviewing Official may review an unclassified document or material and determine that it does not contain UCNI. No UCNI markings are required on that document or material, but if the Reviewing Official wants to confirm the fact that the document has been reviewed for UCNI, the marking shown below may be used.¹⁰ This same marking is also used on a document or material that was marked as containing UCNI and has now been determined by a Reviewing or Denying Official to no longer contain UCNI. In either case, the Reviewing Official (or Denying Official, as appropriate) may mark the document or material or he or she may authorize someone else (e.g., the originator of the document, an administrative assistant) to do it.

<p>DOES NOT CONTAIN UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION</p> <p>Reviewing/ Denying Official: _____ <i>(Name and organization)</i></p> <p>Date: _____</p>
--

The name and organization of the Reviewing or Denying Official goes on the "Reviewing/Denying Official" line and the date of the determination goes on the "Date" line. For a document or material that no longer contains UCNI, the original UCNI front and page markings must also be lined through or crossed out.

¹⁰ 10 CFR 1017.17(b)

MARKING EXAMPLE – FRONT PAGE

DEPARTMENT OF ENERGY
Washington, D.C. 20585

This is a sample of the front page of a document with the required UCNI markings:

1. The front marking, which identifies the Reviewing Official with his or her organization, the date the UCNI determination was made, and the guidance used to make the determination, must be placed on front of the document.
2. The words “Unclassified Controlled Nuclear Information” must be placed on the bottom of the first page.

<p>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).</p>
<p>Reviewing Official: <u>Jane Smith, HS-91</u> (Name/Organization)</p>
<p>Date: <u>12/6/06</u></p>
<p>Guidance Used: <u>CG-SS-4</u></p>

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

UCNI markings are for training purposes only.


MARKING EXAMPLE – INTERIOR PAGE

2

This is a sample of an interior page of a document with the required UCNI marking. The words “Unclassified Controlled Nuclear Information” must appear on the bottom of each interior page or on just those pages that contain UCNI.

Remember the words “Unclassified Controlled Nuclear Information” must also be placed on the back of the last page of the document.

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

MARKING EXAMPLE – DECONTROLLED UCNI DOCUMENT


DEPARTMENT OF ENERGY
Washington, D.C. 20585

This is a sample of the front page of a document that once contained UCNI and now no longer contains UCNI:

1. The front marking must be lined through or crossed out.
2. The words “Unclassified Controlled Nuclear Information” on the bottom of the first page must also be lined through or crossed out.
3. The “Does Not Contain” marking is then placed on the document, identifying the Reviewing or Denying Official who made the determination that the document no longer contains UCNI and the date the determination was made.
4. The page marking on interior pages would also be lined through or crossed out.

Does Not Contain Unclassified
Controlled Nuclear Information

Reviewing/Denying Official: David Pyle, HS-91
(Name/Organization)

Date: 5/14/09

~~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: 12/8/06

Guidance Used: CG-SS-4

~~UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION~~

UCNI markings are for training purposes only.

MARKING EXAMPLE – DOCUMENT TRANSMITTING AN UCNI DOCUMENT THAT DOES NOT ITSELF CONTAIN UCNI

DEPARTMENT OF ENERGY
Washington, D.C. 20585

This is a sample of the front page of a document that transmits a document that contains UCNI. Since this document does not itself contain UCNI, no UCNI markings are placed on this document, but a transmittal notice is used to advise recipients that the enclosures contain UCNI and must be protected.

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

UCNI markings are for training purposes only.

MARKING EXAMPLE – DOCUMENT CONTAINS BOTH UCNI AND OFFICIAL USE ONLY INFORMATION



DEPARTMENT OF ENERGY
Washington, D.C. 20585

This is a sample of the front page of a document that contains both UCNI and Official Use Only (OUO) information.

1. The front UCNI marking, which identifies the Reviewing Official with his or her organization, the date the UCNI determination was made, and the guidance used to make the determination, must be placed on front of the document.
2. The words “Unclassified Controlled Nuclear Information” must be placed on the bottom of the first page.
3. The front OUO marking, which identifies the exemption number and category, name and organization of person making the determination, date of determination, and any guidance used, must also be placed on the front of the document.
4. Every Interior page is marked at the highest level of information in the document (i.e., UCNI) or at the highest level of information on the page (i.e., either UCNI, OUO, or Unclassified).

OFFICIAL USE ONLY	
<small>May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category <u>7, Law Enforcement</u></small>	
<small>Department of Energy review required before public release.</small>	
<small>Name/Organization:</small> <u>Jane Smith, HS-91</u>	<small>Date:</small> <u>12/6/06</u>
<small>Guidance (if applicable):</small> <u>CG-SS-4</u>	

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION NOT FOR PUBLIC DISSEMINATION	
<small>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).</small>	
<small>Reviewing Official:</small> <u>Jane Smith, HS-91</u>	
<small>(Name/Organization)</small>	
<small>Date:</small> <u>12/6/06</u>	
<small>Guidance Used:</small> <u>CG-SS-4</u>	

UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION

UCNI markings are for training purposes only.

**MARKING EXAMPLE – E-MAIL MESSAGE THAT CONTAINS
UCNI OR HAS AN ATTACHMENT THAT CONTAINS UCNI**

From: Martinez, Paul
Sent: Friday, June 5, 2009 3:15 PM
To: Puits, Clair
Cc:
Subject: UCNI Markings on E-Mail Messages
Attachments:

UCNI; Paul Martinez, UP-32; CG-SS-4 – The first line of an e-mail message must include the abbreviation “UCNI,” the Reviewing Official’s name and organization, and the guidance used to make the determination.

Reminder: An e-mail message containing UCNI **must** be sent encrypted.

DOE O 471.1B, 4h(5)(a)

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

The attachment to this message contains UCNI.

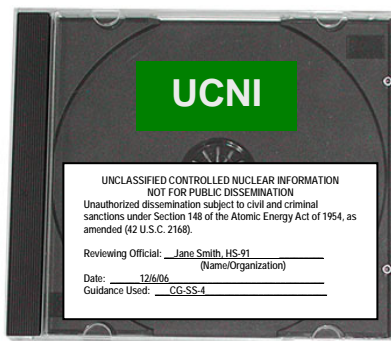
If the message itself is not UCNI but the attachment contains UCNI, the message must indicate that the attachment is UCNI, and the attachment must have all the required UCNI markings.

Reminder: An e-mail message with an UCNI attachment **must** be sent encrypted.

DOE O 471.1B, 4h(5)(b)

UCNI markings are for training purposes only.

UCNI Document Markings: A Brief Summary

MARKING EXAMPLE – MARKING SPECIAL-FORMAT DOCUMENTS CONTAINING UCNI**VCR Tape****CD/DVD Case****CD/DVD****USB Flash
Memory Drive**

Reminder: Special-format documents must be marked so that a person who physically has the special-format document knows it contains UCNI

AND

a person who has access to the information on/in a special-format document must also know that it contains UCNI.

UCNI markings are for training purposes only.

MARKING EXAMPLE – MARKING MATERIAL CONTAINING UCNI

Container must be clearly marked when the material itself is unable to be marked.



UCNI markings are for training purposes only.